



**United States Department of Energy**

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**Office of Worker and Community Transition**

# **COMMUNITY TRANSITION**

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**Funding, Assistance, and Points of Contact  
Handbook**

**Third Edition**

**June 2000**

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## Preface

This handbook provides information on federal and state economic development funding, assistance, and points of contact. It is for planning purposes only and is not intended as a solicitation.

As with any reference guide, revisions will be necessary as conditions change or as new factors come to light. Of immediate concern to the economic development planner are budget appropriation figures which will affect economic development funding levels for FY 2001. FY 2001 budget appropriation figures should be available in the Fall of 2000.

Updates will be provided to assess programs contained in the handbook, identify changes as they occur, and to provide updated information as new contacts, funding, and programs are established.

This document was prepared under contract with the U.S. Department of Energy, in consultation with the agencies described in the following text.

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## Introduction

This handbook is intended as a reference for Department of Energy (DOE) sites and communities to assist them in economic development and related activities at sites experiencing a change in mission or closure.

### Scope

This document provides an overview of federal and state organizations and contacts that can provide economic development assistance to communities near DOE sites including the services rendered by those organizations, the most current funding information available, and points of contact.

### Federal Organizations

The following list of federal organizations can provide funding and/or other assistance to DOE sites and communities for economic development and related activities:

- Department of Agriculture (USDA)
  - Rural Development Administration (RDA)
- Department of Commerce (DOC)
  - Economic Development Administration (EDA)
  - National Institute of Standards and Technology (NIST)
  - Office of Economic Conversion Information (OECI)
- Department of Energy (DOE)
  - Office of Worker and Community Transition (WT)
  - Office of Economic Impact and Diversity (ED)
- Department of Housing and Urban Development (HUD)
  - Office of Community Planning and Development (CPD)
- Department of Labor (DOL)
  - Employment and Training Administration (ETA)
- National Aeronautics and Space Administration (NASA)
- Small Business Administration (SBA)

### Other Organizations and Sources

A great deal of online information about federal funding programs exists, so much as to potentially overwhelm the funding and assistance seeker. Since federal funding programs and priorities change frequently, it is a good idea to call the agency of interest prior to applying for government funding in order to obtain the most up-to-date information on its programs.

The *Catalog of Federal Domestic Assistance Programs* (CFDA) is a government-wide compendium of all 1,424 federal programs, projects, services, and activities that provide assistance or benefits to the American public. The CFDA is a searchable database of information about these federal assistance programs and can be accessed by visiting: <http://aspe.os.dhhs.gov/cfda/index.htm>

Other organizations exist at the state and local levels that can also provide funding and assistance. These organizations are often networked with a number of economic development organizations including Federal Agencies and can be of great service; however, information on state and municipal grants may prove difficult to find. Check with local government officials and congressional offices to see what information they have. The local Chamber of Commerce is also a good place to start. These organizations are resourceful and knowledgeable on the programs available to fund and assist economic development activities.

## United States Department of Agriculture

The United States *Department of Agriculture (USDA)* works to enhance the quality of life for the American people by supporting production of agriculture. The Department strives to ensure a safe, affordable, nutritious, and accessible food supply; care for agricultural, forest, and range lands; support sound development of rural communities; provide economic opportunities for farm and rural residents; expand global markets for agricultural and forest products and services; and reduce hunger in America and throughout the world. The USDA actively seeks to improve the quality of life for rural Americans through its Rural Development Administration.

### **RURAL DEVELOPMENT ADMINISTRATION**

#### **Background**

USDA works to make sure that rural citizens can participate fully in the global economy – with technical assistance and programs that help rural Americans build strong economies to improve their quality of life. USDA also helps rural communities meet their basic needs by building water and wastewater systems; financing decent, affordable housing; supporting electric power and rural businesses, including cooperatives; and supporting community development with information and technical assistance.

The Rural Development Administration (RDA) consists of four organizations reporting to the Under Secretary for Rural Development. An organization which provides financial assistance to rural communities which may be experiencing economic distress and/or the need to create jobs is the Rural Business-Cooperative Service (RBS).

The mission of the RBS is to enhance the quality of life for rural Americans by providing leadership in building competitive businesses including sustainable cooperatives that can prosper in the global marketplace. RBS meets these goals by investing financial resources and providing technical assistance to businesses and cooperatives located in rural communities and by establishing strategic alliances and partnerships that leverage public, private, and cooperative resources to create jobs and stimulate rural economic activity.

#### **RDA Assistance Programs**

Promoting a dynamic business environment in rural America is the goal of RBS, Business Programs (BP). BP works in partnership with the private sector and the community-based organizations to provide financial assistance and business planning. BP helps fund projects that create or preserve quality jobs and/or promote a clean rural environment. The financial resources of RBS BP are often leveraged with those of other public and private credit source lenders to meet business and credit needs in under-served areas. Recipients of these programs may include individuals, corporations, partnerships, cooperatives, public bodies, nonprofit corporations, Indian tribes, and private companies.

The delivery of programs is accomplished through three national Office Divisions and a nationwide field staff serving the 50 States, the Virgin Islands, Puerto Rico, and Western Pacific Territories. All USDA Rural Development mission area programs are administered by Rural Development field staff.

The RBS Business Programs include the following:

## **Business and Industry Direct Loans**

### *Types of Assistance*

The Business and Industry (B&I) Direct Loan Program provides loans to public entities and private parties who cannot obtain credit from other sources. Loans to private parties can be made for improving, developing, or financing business and industry, creating jobs, and improving the economic and environmental climate in rural communities (including pollution abatement).

### *Funding Information*

Funds available for B&I Direct Loans in FY 2000 total \$50 million. The maximum aggregate B&I Direct Loan amount to any one borrower is \$10 million.

### *Eligibility*

This type of assistance is available to rural areas (this includes all areas other than cities or unincorporated areas of more than 50,000 people and their immediately adjacent urban or urbanizing areas). Priority is given to applications for loans in rural communities of 25,000 population or less.

## **Business and Industry Guaranteed Loans**

### *Types of Assistance*

The Business and Industry (B&I) Guaranteed Loan Program helps create jobs and stimulates rural economies by providing financial backing for rural businesses. This program provides guarantees up to 90 percent of a loan made by a commercial lender. Loan proceeds may be used for working capital, machinery and equipment, buildings and real estate, and certain types of debt refinancing. The primary purpose is to create and maintain employment and improve the economic climate in rural communities. This is achieved by expanding the lending capability of private lenders in rural areas, helping them make and service quality loans that provide lasting community benefits.

### *Funding Information*

Funds available for B&I Guaranteed Loans in FY 2000 total \$850 million. The maximum aggregate B&I Guaranteed Loan(s) amount that can be offered to any one borrower under this program is \$25 million.

### *Eligibility*

Eligible Areas: B&I Loans can be made by commercial or other authorized lenders in rural areas including all areas other than cities of more than 50,000 people and their immediately-adjacent urban or urbanizing areas. Priority is given to applications for loans in rural communities of 25,000 population or less.

Eligible Borrowers: Any legal entity, including individuals, public and private organizations and federally-recognized Indian tribal groups, may borrow. There is no size restriction on the business. Local economic development organizations can be considered.

## **Rural Business Opportunity Grants**

### *Types of Assistance*

Rural Business Opportunity Grant funds provide for technical assistance, training, and planning activities that improve economic conditions in rural areas. RBS is designing the program to promote sustainable economic development in rural communities with exceptional needs.

### ***Funding Information***

Funds available for Rural Business Opportunity Grants in FY 2000 total \$3.5 million. A maximum of \$1.5 million per grant is authorized by the legislation.

### ***Eligibility***

Applicants must be located in rural areas (this includes all areas other than cities of more than 10,000 people). Nonprofit corporations and public bodies are eligible.

## **Rural Economic Development Grants**

### ***Types of Assistance***

RBS provides grants to rural communities through Rural Utilities Service (RUS) borrowers to be used for revolving loan funds for community facilities and infrastructure and for assistance in conjunction with rural economic development loans. Grant funds may be used in the following ways: to establish a revolving loan fund; for project feasibility studies/technical assistance; for community development assistance (nonprofit and public bodies); for projects to public for-profit or nonprofit entities to provide education and training to rural residents to facilitate economic development; and for projects to public for-profit or nonprofit entities to provide medical care to rural residents. The program is administered at the state level by Rural Development State Offices. Addresses and telephone numbers of State Offices can be obtained by calling the RBS National Office at (202) 720-0813. For further information on this program, please call either the State Office servicing your state or the Speciality Lenders Division of the Rural Business-Cooperative Service at (202) 720-1400.

### ***Funding Information***

Funds available for Rural Economic Development Grants in FY 2000 total \$4 million. The maximum size of a grant is 3 percent of projected total funds available under section 313 of the Act during that fiscal year, rounded to nearest \$10,000.

### ***Eligibility***

Funds may be granted to any electric or telephone RUS borrower that is not financially distressed, delinquent on any federal debt, or in bankruptcy proceedings. Initial loan funds may be used for business incubators by nonprofit groups; community development; facilities and equipment for education; facilities and equipment for medical care. Loans made from repayment of the initial loans made by RUS borrowers may be used for any rural economic development purpose in accordance with a prior agreement between the borrower and RBS.

## **Intermediary Relending Program**

### ***Types of Assistance***

The purpose of the Intermediary Relending Program (IRP) is to finance business facilities and community development projects in rural areas. This is achieved through loans made by the RBS to intermediaries. Intermediaries re-lend funds to ultimate recipients for business facilities or community development. Intermediaries establish revolving loan funds so collections from loans made to ultimate recipients in excess of necessary operating expenses and debt payments will be used for more loans to ultimate recipients.

### ***Funding Information***

Funds available for the IRP in FY 2000 total \$38.3 million.

### ***Eligibility***

Intermediaries may be private nonprofit corporations, public agencies, Indian groups, or cooperatives. Ultimate recipients may be private or public organizations or individuals. At least 51 percent of the owners or members of both intermediaries and ultimate recipients must be United States citizens or admitted for permanent residency. Both intermediaries and ultimate recipients must be unable to obtain the proposed loan elsewhere at reasonable rates and terms. For more information, contact the USDA, Rural Business-Cooperative Service at (202) 720-1400.

## **Rural Business Enterprise Grants**

### ***Types of Assistance***

The RBS makes grants under the Rural Business Enterprise Grants (RBEG) Program to public bodies, nonprofit corporations, and federally-recognized Indian tribal groups to finance and facilitate development of small and emerging private business enterprises located in areas outside the boundary of a city or unincorporated area of 50,000 or more and its immediately-adjacent urbanized or urbanizing area. Costs that may be paid from grant funds include the acquisition and development of land and the construction of buildings, plants, equipment, access streets and roads, parking areas, and utility and service extensions; refinancing; fees for professional services; technical assistance and related training for adults; startup operating costs and working capital providing financial assistance to a third party; production of television programs to provide information to rural residents; and to create, expand, and operate rural distance learning networks. Grants may also be made to fund revolving loan programs.

### ***Funding Information***

Funds available for RBEG in FY 2000 total \$34.7 million.

### ***Eligibility***

Eligibility is limited to public bodies, private nonprofit corporations, and federally-recognized Indian tribal groups. Public bodies include incorporated towns and villages, boroughs, townships, counties, states, authorities, districts, Indian tribes on federal and state reservations, and other federally-recognized Indian tribal groups in rural areas. Small and emerging businesses with less than 50 new employees and less than \$1 million in gross annual revenues are eligible for assistance.

## **Rural Economic Development Loans**

### ***Types of Assistance***

This program provides zero-interest loans and grants to Rural Utilities Service (RUS) financed telephone and electric utilities to promote rural economic development and job creation projects. Reference: section 313 of the RE Act 7 CFR 1703, Subpart B. The purposes of the loans are to promote rural economic development and/or job creation projects including, but not limited to, project feasibility studies, startup costs, incubator projects, or other reasonable expenses.

### ***Funding Information***

Funds available for Rural Economic Development Loans in FY 2000 total \$15 million.

### ***Eligibility***

Any RUS borrower that is not delinquent on any federal debt or in bankruptcy proceeding.

**United States Department of Agriculture  
Rural Development Administration  
Rural Development State Offices**

| <b>STATE</b>   | <b>CONTACT PERSON</b> | <b>ADDRESS</b>   | <b>PHONE (P) / FAX (F)</b>           |
|----------------|-----------------------|--|--------------------------------------|
| Colorado       | Fred Eases            | 655 Parget<br>Room E-100<br>Lakewood, CO 80215   | (P) 303-236-2801<br>(F) 303-236-2854 |
| Georgia        | Karyn Bryan           | 355 East Hancock<br>Athens, GA 30601-2768  | (P) 706-742-2154<br>(F) 706-546-2135 |
| Idaho          | Dale List             | 3232 Elder Street<br>Boise, ID 83705   | (P) 208-378-5600<br>(F) 208-378-1712 |
| Indiana        | Michael Doherty       | 402 N. Kays Drive<br>Normal, IL 61761  | (P) 309-454-2658<br>(F) 309-452-6642 |
| Kentucky       | Jeff Jones            | 771 Corporate Drive<br>Suite 200<br>Lexington, KY 40503  | (P) 606-224-7300<br>(F) 606-224-7340 |
| Nevada         | Mike Stover           | 1390 South Curry Street<br>Carson City, NV<br>89703-5405   | (P) 702-887-1222<br>(F) 702-885-0841 |
| New Mexico     | Bill Culbertson       | 6200 Jefferson NE<br>Albuquerque, NM 87109   | (P) 505-761-4950<br>(F) 505-761-4976 |
| Ohio           | Randel Monheimus      | Rural Development<br>Federal Building<br>Room 507<br>200 North High Street<br>Columbus, OH 43215 | (P) 614-469-5606<br>(F) 614-469-5802 |
| South Carolina | William Molnar        | Strom Thurmond<br>Federal Building<br>1835 Assembly Street<br>Room 1007<br>Columbia, SC 29201    | (P) 803-765-5163<br>(F) 803-765-5633 |
| Tennessee      | Tom Mayberry          | 3322 West End Avenue<br>Suite 300<br>Nashville, TN<br>37203-1071                                 | (P) 615-783-1300<br>(F) 615-783-1301 |

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Community Transition Funding, Assistance, and Points of Contact Reference Guide

| <b>STATE</b> | <b>CONTACT PERSON</b> | <b>ADDRESS</b>  | <b>PHONE (P) / FAX (F)</b>           |
|--------------|-----------------------|---|--------------------------------------|
| Washington   | Karen Bailor          | Federal Building<br>Room 319<br>301 Yakima Street<br>P.O. Box 2427<br>Wenatchee, WA 98807 | (P) 509-664-0240<br>(F) 509-664-0202 |

## United States Department of Commerce

The *Department of Commerce (DOC)* encourages, serves, and promotes the Nation's international trade, economic growth, and technological advancement. Within this framework, and together with a policy of promoting the national interest through the encouragement of the competitive-free enterprise system, the DOC provides a wide variety of programs.

To meet this mission, the DOC offers assistance and information to increase the U.S.'s competitiveness in the world economy; administers programs to prevent unfair foreign trade competition; provides social and economic statistics and analyses for business and government planners; provides research and support for the increased use of scientific, engineering, and technological development; works to improve understanding and benefits of the earth's physical environment and ocean resources; grants patents and registers trademarks; develops policies and conducts research on telecommunications; provides assistance to promote domestic economic development; promotes travel to the United States by residents of foreign countries; and assists in the growth of minority businesses.

### **ECONOMIC DEVELOPMENT ADMINISTRATION**

#### **Background**

The Economic Development Administration (EDA) was established under the Public Works and Economic Development Act of 1965 (42 U.S.C. 3121), as amended by the Economic Development Administration Reform Act of 1998, to generate jobs, help retain existing jobs, and stimulate industrial and commercial growth in economically-distressed areas of the United States. EDA assistance is available to rural and urban areas of the Nation experiencing high unemployment, low income, or other severe economic distress.

As outlined in their mission statement, "EDA is guided by the basic principle that distressed communities must be empowered to develop and implement their own economic development and revitalization strategies. Based on these locally- and regionally-developed priorities, EDA works in partnership with state and local governments, regional economic development districts, public and private nonprofit organizations, and Indian tribes. EDA helps distressed communities address problems associated with long-term economic distress, as well as sudden and severe economic impacts of natural disasters, the closure of military installations and other Federal facilities, changing trade patterns, and the depletion of natural resources."

#### ***Types of Assistance***

The EDA is the primary agency responding to defense adjustment impacts on Department of Energy (DOE) communities. Usually, EDA defense adjustment assistance is funded under Sec. 202 Base Closings and Realignments of Title II Grants For Public Works And Economic Development of 42 U.S.C. 3121, as amended. However, affected DOE communities may also be eligible to apply for non-defense related assistance from EDA under this and other programs outlined in 42 U.S.C. 3121. These programs are discussed in detail in the EDA assistance programs section. EDA will work closely with DOE communities to determine which of these programs can be used to provide funding for economic development projects and related activities.

#### ***Funding Information***

For fiscal years (FY) 1996-1998, the Department of Defense (DoD) transferred approximately \$310 million to EDA's Title II programs specifically for defense-related adjustment projects. These funds continue to be appropriated and are available to both DoD and DOE communities. In addition, Title VII of 42 U.S.C. authorized funding of \$398

million for FY 1999, appropriates \$368 million for FY 2000, and \$335 million annually for fiscal years 2001-2003. Funding levels for each program for FY 1999 are included in the EDA assistance programs section.

### ***Contacts***

EDA has regional offices in Atlanta, Austin, Chicago, Denver, Philadelphia, and Seattle, and a field office in Oakland. DOE communities facing defense-related cut-backs should contact their EDA regional office for more detailed information about EDA's programs and application procedures. The EDA regional offices will also identify an area Economic Development Representative (EDR) for DOE sites to assist them in determining eligibility and in applying for EDA assistance. EDA's regional office contacts are listed below. Note that the EDA also operates a toll-free defense conversion information exchange "hotline" Monday through Friday 9:00 AM to 6:00 PM (EST), **1-800-345-1222**.

## **EDA Assistance Programs**

### **Economic Adjustment Program**

#### ***Types of Assistance***

The Economic Adjustment Program helps states and local areas design/implement strategies for facilitating adjustment to changes in their economic situation that are causing or threaten to cause serious structural damage to the underlying economic base. Such changes may occur suddenly (Sudden & Severe Economic Dislocation) or over time (Long-Term Economic Deterioration), and result from industrial or corporate restructuring, new federal laws/requirements, reduction in defense expenditures, depletion of natural resources or natural disasters.

Strategy grants provide the recipient with the resources to organize and carry out a planning process resulting in an adjustment strategy tailored to particular economic problems and opportunities of the impacted area(s).

Implementation grants may be used to support one or more activities identified in an adjustment strategy approved, though not necessarily funded by EDA. Implementation activities may include but are not limited to: creation or expansion of strategically-targeted business development and financing programs; including grants for revolving loan funds; infrastructure improvements; organizational development; and market or industry research and analysis.

#### ***Funding Information***

| <b>Regular Programs</b>   | <b>Defense Conversion</b> |
|---------------------------|---------------------------|
| FY 99: \$34,629,000       | \$84,800,000              |
| FY 00: \$34,629,000       | \$77,300,000              |
| <b>Average FY Grants:</b> |                           |
| FY 98: \$243,066          | \$1,176,621               |
| FY 99: \$180,000          | \$1,300,000               |

#### ***Eligibility***

DOE communities are eligible for funding assistance under this program because they meet special need criteria. In this case, the special need is constituted by a DOE defense-related funding reduction. This refers to a DOE facility that has experienced or will experience a reduction of employment resulting from its defense mission change. The community is eligible from the date of the DOE announcement of reductions until five years after the actual date of reduced operations at the installation, provided that the reduction is not canceled sooner.

### ***Selection Criteria***

Key selection factors include the relative severity of the adjustment problem, the quality and potential effectiveness of the adjustment strategy (for implementation investments), and the extent to which the proposed activities will

contribute to facilitating private sector investment in the types of enterprises and industry sectors that will strengthen the economic base of the area.

### ***Application Process***

Prospective applicants should contact the state representative or appropriate EDA regional official for the area to ascertain eligibility and guidance for preparing an investment proposal. Normally, no deadline for the submission of proposals exists. Depending on the merits of a proposal, EDA may invite submission of a formal application. Complete funding availability information appears annually in the Federal Register.

## **Public Works and Development Facilities Program**

### ***Types of Assistance***

Grants are provided to help distressed communities attract new industry, encourage business expansion, diversify local economies, and generate long-term, private-sector jobs. Among the types of projects funded are water and wastewater facilities, primarily serving industry and commerce; access roads to industrial parks or sites; port improvements; business incubator facilities; technology projects; sustainable development activities; export programs; brownfields redevelopment; and other infrastructure projects.

### ***Funding Information***

FY 99: \$205,850,000      Average FY 99 Grant: \$849,000  
FY 00: \$204,521,000

### ***Eligibility***

DOE communities are eligible for funding assistance under this program because they meet special need criteria. In this case, the special need is constituted by a DOE defense-related funding reduction. This refers to a DOE facility that has experienced or will experience a reduction of employment resulting from its defense mission change. The community is eligible from the date of the DOE announcement of reductions until five years after the actual date of reduced operations at the installation, provided that the reduction is not canceled sooner.

### ***Selection Criteria***

Priority consideration shall be given to projects that: improve opportunities for the successful establishment or expansion of industrial or commercial facilities; assist in creating or retaining private sector jobs in the near term as well as providing additional long-term employment opportunities, provided the jobs are not transferred from other labor market areas; benefit the long-term unemployed and members of low-income families residing in the area served by the project; fulfill a pressing need of the area and can be started and completed in a timely manner; and demonstrate adequate local funding with evidence that such support is committed.

### ***Application Process***

Eligible applicants should contact the Economic Development Representative (EDR) or other appropriate EDA regional official in the area. The EDA regional office official or EDR will describe the program and provide guidance on preparing a proposal for EDA's consideration. EDA evaluates proposals before deciding whether to invite formal applications. Complete funding availability information appears annually in the Federal Register.

## **Planning Program For States and Urban Areas**

### *Types of Assistance*

Grants under this program assist economically-distressed states, sub-state planning regions, cities, and urban counties to undertake significant new economic development planning, policymaking, and implementation efforts. Grants provide financial assistance to support significant economic development planning and implementation activities such as: economic analysis; definition of program goals; determination of project opportunities; and formulation and implementation of a development program. Assistance under this program enhances economic development planning capability, continuous economic development planning processes and procedures, and helps build institutional capacity. A grant award under this program is generally for a period of 12 months. Up to two additional awards may be considered if funds are appropriated by Congress. The maximum federal share is 50 percent of the total project cost.

### *Funding Information*

Beginning in 1999, the funding for this program was included in the funding for the Program For Economic Development Districts, Indian Tribes and Eligible Areas. The 1998 funding reported below is included to give the reader a sense of the appropriation level for the State and Urban Programs.

#### **State Program**

FY 98: \$1,101,000                      Average FY 98 Grant: \$69,000

#### **Urban Program**

FY 98: \$2,576,000                      Average FY 98 Grant: \$74,000

### *Eligibility*

Eligible applicants are states, sub-state planning units, cities, urban counties within metropolitan statistical areas, and combinations of these entities.

### *Selection Criteria*

Among the factors EDA considers in evaluating proposals are economic distress of the area; appropriateness of the work program to area needs; relationship of the proposed activities to the problems of the area's unemployed and underemployed; and commitment of the chief executive. Consideration is given to the innovativeness of the proposed project and the replicability of the process and/or results.

### *Application Process*

Eligible applicant proposals should include an indication of commitment from the chief executive, significant verifiable information on the level of economic distress including recent unemployment and income data, and a work program outlining specific activities to be accomplished under the grant. The original proposal will be submitted to the appropriate regional office with a copy to the area EDA representative or regional official. Complete funding availability information appears annually in the Federal Register.

## **Planning Program for Economic Development Districts, Indian Tribes, and Eligible Areas**

### *Types of Assistance*

Grants under this program support the formulation and implementation of economic development programs designed to create or retain full-time permanent jobs and increase income for the unemployed and underemployed in areas of economic distress. Planning grants for administrative expenses are awarded to establish and implement effective economic development programs at local and multi-jurisdictional levels. Eligible activities under this program include the preparation and continuation of a Comprehensive Economic Development Strategy (CED Strategy) and planning, and implementation and technical assistance services to communities and local governments within the organization's jurisdiction. Assistance is normally provided for a period of 12 months, not to exceed 50 percent of

the total project cost. For economic development districts, EDA may waive part of the 50 percent local share provided that the non-federal share is at least 25 percent of the total project cost. For Indian grants, EDA may waive the 50 percent non-federal share.

### ***Funding Information***

Note that beginning in 1999, the funding listed below includes the funding for the Planning Program for States and Urban Areas. In addition, EDA anticipates this program to be funded at the fiscal year 2000 level in fiscal year 2001 and fiscal year 2002.

|                     |   |
|---------------------|---|
| FY 98: \$20,347,000 | Average FY 98 Grant: \$97,000           |
| FY 99: \$24,000,000 | Average FY 99 Grant: \$10,000-\$200,000 |
| FY 00: \$24,000,000 |   |

### ***Eligibility***

Eligible applicants are Economic Development Districts, Redevelopment Areas, Indian tribes, organizations representing redevelopment areas or multiple Indian tribes, and commonwealths and territories.

### ***Selection Criteria***

Among the factors EDA considers in evaluating proposals are economic distress of the area, performance of previously-funded grantees, and involvement of the local leadership in economic development activities. Priority consideration goes to funded grantees that are performing well.

### ***Application Process***

EDA regional offices contact currently-funded grantees to inform them of procedures for submitting applications for continuation funding. Other potential applicants should submit a letter requesting funding and provide evidence of area economic distress to the area EDA representative or regional official with a copy to the appropriate EDA regional office. Following review of the proposals submitted by current grantees as well as other entities, if funds are available, EDA will invite applicants selected for funding consideration to submit formal applications. Complete funding availability information appears annually in the Federal Register.

## **Local Technical Assistance Program**

### ***Types of Assistance***

Grants awarded under the Local Technical Assistance Program are designed to assist in solving specific economic development problems, respond to development opportunities, and build and expand local organizational capacity in distressed areas. The majority of local technical assistance projects focus on technical or market feasibility studies of economic development projects or programs.

### ***Funding Information***

|                    |                               |
|--------------------|-------------------------------|
| FY 99: \$1,530,000 | Average FY 99 Grant: \$28,000 |
| FY 00: \$1,530,000 |                               |

### ***Eligibility***

Eligible applicants include public or private nonprofit national, state, area, district, or local organizations; public and private colleges and universities; Indian tribes; local governments; and state agencies.

### ***Selection Criteria***

Priority consideration for funding is given to proposals that benefit areas of severe economic distress; lead to near-term (one to five years) generation or retention of private-sector jobs; are consistent with the EDA-approved

Comprehensive Economic Development Strategy (CED Strategy); document strong local support and financial commitment, public and private leadership involvement (applicants are expected to provide at least 25 percent of the total project cost); and support the Agency's special initiatives identified in the annual "Notice of Funds Availability" published in the Federal Register. Recent special initiatives have included: export promotion; commercialization and deployment of technology; sustainable development; entrepreneurial development (especially capacity building); economic adjustment in response to base and federal laboratory closures and downsizing; federally-authorized and designated Enterprise Communities and Empowerment Zones as well as state enterprise zones; and innovative approaches to economic development.

### ***Application Process***

Potential applicants should contact the Economic Development Representative (EDR) or regional official for the area who will explain the program and guide the applicant in submitting the proposal. EDA screens all proposals before deciding whether to invite formal project applications. Complete funding availability information appears in the Federal Register.

## **University Center Program**

### ***Types of Assistance***

Grants and cooperative agreements awarded under the University Center Program help colleges and universities in using their own and other resources to address the economic development problems and opportunities of their service areas. University Centers are evaluated at least once every three years. Proposals funded under the basic University Center Program must focus on providing technical assistance to clients outside the sponsoring institution. A limited amount of University Center-initiated activity, such as applied research on general economic development issues, is permitted if approved as part of the work plan.

### ***Funding Information***

Note that EDA anticipates the same funding as fiscal year 2000 to be appropriated in fiscal year 2001 and fiscal year 2002 for this program.

FY 99: \$6,469,000                      Average FY 99 Grant: \$98,300

FY 00: \$6,469,000

### ***Eligibility***

Eligible applicants include public and private institutions of higher education.

### ***Selection Criteria***

Priority consideration for funding is given to proposals which focus on service areas with significant economic distress (EDA prefers a statewide service area; however, EDA will consider a service area which covers a substantial portion of the state's population or its geographic area.); address the economic development needs of the service area; complement, rather than replicate, the efforts of other technical assistance providers such as Trade Adjustment Assistance Centers and Small or Minority Business Development Centers; furnish evidence that the sponsoring institution will provide significant financial and nonfinancial support for the activities of the proposed University Center; and support, to the extent possible, the special initiatives of the EDA.

### ***Application Process***

EDA considers University Centers as partners in the economic development process. In recent years, most program funding has been used to support existing University Centers. Institutions already participating in the program and performing well will be notified by the appropriate EDA regional office of the application procedures for continuation funding.

Institutions seeking initial funding for a University Center should send a proposal to the appropriate EDA regional office and a copy to the EDR or regional official for the area. The proposal should describe the economic distress of the service area, the activities that will be financed with EDA funds, and the relationship of these activities to the economic development needs of the service area.

## **National Technical Assistance, Research, and Evaluation Program**

### *Types of Assistance*

The goals of the National Technical Assistance, Research, and Evaluation Program are to increase knowledge about emerging economic development issues, measure program performance, and meet the information and education needs of local, state and national economic development practitioners and organizations. EDA funds projects to determine the causes of excessive unemployment, underemployment, out-migration or other problems indicating local economic distress; to assist in formulating and implementing new economic development tools that will raise employment and income in economically-distressed areas; to evaluate the effectiveness and impact of programs; and to assist in disseminating information about effective economic development programs, projects and techniques.

### *Funding Information*

#### **National Technical Assistance**

FY 99: \$1,101,000                      Average FY 00 Grant: \$108,000

FY 00: \$1,101,000

#### **Research and Evaluation**

FY 99: \$500,000                      Average FY 99 Grant: \$41,000

FY 00: \$500,000

### *Eligibility*

Eligible applicants include private individuals and for-profit organizations. National technical assistance, research, and evaluation funds may not be used to start or expand a private business.

### *Selection Criteria*

Priority consideration for funding is given to projects which do not depend on further EDA or other federal funding assistance to achieve results; strengthen the capability of local, state or national organizations or institutions, including nonprofit economic development groups, to undertake and promote effective economic development programs targeted to people and areas of distress; benefit severely-distressed areas; help to diversify distressed economies; and demonstrate innovative approaches to stimulating economic development in distressed areas.

### *Application Process*

Ordinarily, EDA announces the scope of work of each project to be funded through a notice in the Federal Register and requests preliminary proposals of no more than ten (10) pages. From among the preliminary proposals, it selects a limited number for submission of full proposals and applications. A complete list of the proposed projects, proposal and application deadlines, and funding information appear annually in the Federal Register.

## **Trade Adjustment Assistance Program**

The goal of this program is to help firms, which have been injured by increased imports, in improving their operations in order to compete more effectively in the marketplace.

***Funding Information***

FY 99: \$ 9,500,000

Average FY 99 Grant: \$791,000

FY 98: \$10,500,000

***Eligibility***

A firm affected by import competition may petition for certification of impact. Firms that believe they meet this criterion may contact the Headquarters Trade Adjustment Assistance Division (TAAD) or one of the twelve Trade Adjustment Assistance Centers (TAACs). The appropriate TAAC will help the firm complete and submit a petition to TAAD. If the firm is certified, it may apply for technical assistance in diagnosing its problems and assessing its opportunities. The TAAC then helps the firm develop an adjustment proposal which outlines the firm's recovery strategy and any need for technical assistance. The adjustment proposal is reviewed by TAAD and, if accepted, the firm is authorized to apply for technical assistance to implement the recovery strategy. Organizations representing trade-injured industries may also apply to the TAAD to receive industry-wide assistance.

***Selection Criteria***

To be certified eligible, a firm must demonstrate that increased imports of articles directly competitive with its products contributed importantly to declines in sales or production and to actual or threatened job loss.

***Application Process***

To apply, a firm must submit a petition for Certification of Eligibility (Form ED-840P). Within two years of certification, the firm is required to submit an acceptable adjustment proposal and an application for technical assistance. A letter requesting technical assistance may be submitted to the appropriate TAAC.

To be approved, an adjustment proposal from a certified firm must demonstrate that the proposal (1) is reasonably calculated materially to contribute to the economic adjustment of the firm; (2) gives adequate consideration of the interest to the workers of the firm; and (3) demonstrates that the firm is using its resources for its economic adjustment. Complete funding availability information appears annually in the Federal Register.

**Economic Development Administration Regional Offices**

| <b>STATE</b>   | <b>REGIONAL OFFICE</b> | <b>ADDRESS</b>  | <b>PHONE (P)/FAX (F)</b>             |
|----------------|------------------------|---|--------------------------------------|
| Colorado       | Denver, Colorado       | 1244 Speer Boulevard<br>Room 670<br>Denver, CO 80204                        | (P) 303-844-4715<br>(F) 303-844-3968 |
| Georgia        | Atlanta, Georgia       | 401 W. Peachtree Street, NW<br>Suite 1820<br>Atlanta, GA 30308-3510         | (P) 404-730-3002<br>(F) 404-730-3025 |
| Idaho          | Seattle, Washington    | Jackson Federal Building<br>915 Second Ave., Room 1856<br>Seattle, WA 98174 | (P) 206-220-7660<br>(F) 206-220-7669 |
| Indiana        | Chicago, Illinois      | 111 N. Canal Street<br>Suite 855<br>Chicago, IL 60606-7204                  | (P) 312-353-8143<br>(F) 312-353-8575 |
| Kentucky       | Atlanta, Georgia       | 401 W. Peachtree Street, NW<br>Suite 1820<br>Atlanta, GA 30308-3510         | (P) 404-730-3002<br>(F) 404-730-3025 |
| Nevada         | Seattle, Washington    | Jackson Federal Building<br>915 Second Ave., Room 1856<br>Seattle, WA 98174 | (P) 206-220-7660<br>(F) 206-220-7669 |
| New Mexico     | Austin, Texas          | 903 San Jacinto Boulevard<br>Suite 121<br>Austin, TX 78701                  | (P) 512-916-5595<br>(F) 512-916-5613 |
| Ohio           | Chicago, Illinois      | 111 N. Canal Street<br>Suite 855<br>Chicago, IL 60606-7204                  | (P) 312-353-8143<br>(F) 312-353-8575 |
| South Carolina | Atlanta, Georgia       | 401 W. Peachtree Street, NW<br>Suite 1820<br>Atlanta, GA 30308-3510         | (P) 404-730-3002<br>(F) 404-730-3025 |
| Tennessee      | Atlanta, Georgia       | 401 W. Peachtree Street, NW<br>Suite 1820<br>Atlanta, GA 30308-3510         | (P) 404-730-3002<br>(F) 404-730-3025 |
| Washington     | Seattle, Washington    | Jackson Federal Building<br>915 Second Ave., Room 1856<br>Seattle, WA 98174 | (P) 206-220-7660<br>(F) 206-220-7669 |

## **NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY**

### **Background**

The *National Institute of Standards and Technology (NIST)* was established to assist industry in developing technology to improve product quality, to modernize manufacturing processes, to ensure product reliability, and to facilitate rapid commercialization of products based on new scientific discoveries. This explicit mission builds on a long-standing agency responsibility to both assist and to develop, maintain, and retain custody of the national standards of measurement. As a non-regulatory agency of DOC's Technology Administration, NIST aids U.S. industry through research and services, carries out selected programs in public health and safety and environmental improvement, and supports the U.S. scientific and engineering research communities through fundamental research. Furthermore, NIST develops generic technology and measurement techniques and standards for physical science and engineering research. NIST researchers work at the frontiers of science and technology in such areas as chemical science and technology, physics, materials science and engineering, electronics and electrical engineering, manufacturing engineering, computer systems, building and fire research, and computing and applied mathematics.

The Institute is also a valuable behind-the-scenes partner to industry providing many of the tools U.S. businesses need to compete in the marketplace. Several NIST programs have been established to spur innovation and accelerate adoption of new ideas and technology by U.S. companies and to act as catalysts to assist affected DOE communities. These programs, the Manufacturing Extension Partnership (MEP) programs, and the Advanced Technology Program (ATP) are essential to help small and medium-sized manufacturers to become more competitive by:

- Implementing appropriate advanced technology;
- Using best manufacturing practices; and
- Adopting modern business and work force approaches.

### ***Types of Assistance***

Assistance can be obtained through NIST's MEP Programs or the ATP. The MEP programs include Manufacturing Technology Centers; the National Center for Manufacturing Sciences; and the State Technology Extension Program.

### ***Funding Information***

FY 1999 appropriations for all programs of the NIST was over \$656 million. FY 2000 funding is approximately \$647 million. The level of funding for individual programs is discussed in the NIST Assistance Programs section.

### ***Contacts***

Over 400 MEP offices are located throughout the U.S. and Puerto Rico. Those MEP offices which serve particular DOE communities are listed in the following table. However, the nearest MEP office can be found by calling **1-800-637-4634** and your call will automatically be routed to the nearest MEP center which serves the region you are calling from.

## **NIST Assistance Programs**

### **Manufacturing Extension Partnership**

The NIST Manufacturing Extension Partnership (MEP) is a nationwide network of locally-managed extension centers offering technical assistance and the latest business practices to help the Nation's smaller manufacturers improve their competitiveness. At the heart of MEP is a network of more than 400 manufacturing extension centers and field offices located throughout the country. Started in 1989, today's network delivers services to manufacturers in all 50 states and Puerto Rico.

### ***MEP Extension Centers***

MEP centers are local resources serving their local markets that are part of a national network of manufacturing and business experts. They exist as the result of a partnership among the federal, state, and local governments and industry to help local manufacturers. They are created through a competitive, merit-based process where funding is contingent upon successful annual reviews of each center. MEP centers are supported by contributions from public and private organizations that match federal funding.

While part of a national network, MEP centers are independent, nonprofit organizations. They offer products and services that meet the specific needs of the region's local manufacturers. Each center works directly with area firms to provide expertise and services tailored to their most critical needs, which range from process improvements and worker training to business practices and applications of information technology. Solutions are offered through a combination of direct assistance from center staff and work with outside consultants. MEP centers are staffed by knowledgeable manufacturing engineers and business specialists who typically have years of practical experience gained from working on the manufacturing floor, managing plant operations, or both. MEP center staff also know the local business community and the available local resources and can access additional resources available through the MEP network. As a result, centers help small firms to overcome barriers in locating and obtaining private-sector resources.

### ***Funding Information***

Funding for FY 2000 for the MEP program is \$104.8 million.

### **Advanced Technology Program**

The Advanced Technology Program (ATP) is a unique partnership between U.S. industry and government to advance the Nation's competitiveness and economy by developing high-risk, but powerful, new technologies that enable a broad spectrum of potential new applications, commercial products, and services. Through cooperative agreements with individual companies or groups of companies, large and small, the ATP invests in industrial projects to develop technologies with high-payoff potential for the Nation. The ATP accelerates technologies that, because they are risky, are unlikely to be developed in time to compete in rapidly changing world markets without such a partnership of industry and government. By sharing the cost of such projects, the ATP catalyzes industry to pursue promising technologies.

### ***Funding Information***

Funding for FY 2000 for the ATP is \$211 million.

### ***Contacts***

The ATP is administered from the NIST Headquarters at the address and telephone number listed below.

| <b>CONTACT OFFICE</b> | <b>PROGRAM</b>   | <b>ADDRESS</b>   | <b>PHONE (P)/FAX (F)</b>   |
|-----------------------|--|--|--|
| Headquarters          | Advanced Technology Program<br><a href="http://www.atp.nist.gov/">http://www.atp.nist.gov/</a> | 100 Bureau Dr., Stop 4701<br>Administration Bldg. 101<br>Room A407<br>Gaithersburg, MD 20899 | (P) 800-ATP-FUND<br>(P) 301-975-4644<br>(F) 301-590-3053<br>(F) 301-926-9524 |

## Applicable Manufacturing Extension Partnership Offices

| STATE          | REGIONAL OFFICE   | ADDRESS  | PHONE (P)/FAX (F)  |
|----------------|---|--|--|
| Headquarters   | Manufacturing Extension Partnership<br><a href="http://www.mep.nist.gov/">http://www.mep.nist.gov/</a>                                  | 100 Bureau Drive<br>Building 301, Room C100<br>Gaithersburg, MD 20899          | (P) 301-975-5020<br>(F) 301-963-6556                     |
| Colorado       | Mid-America Manufacturing<br>Technology Center<br><a href="http://www.mamtc.com/">http://www.mamtc.com/</a>                             | 10561 Barkley<br>Suite 602<br>Overland Park, KS 66212                          | (P) 913-649-4333<br>(F) 913-649-4498                     |
| Georgia        | Georgia Manufacturing Extension<br>Partnership<br><a href="http://www.industry.gatech.edu/">http://www.industry.gatech.edu/</a>         | Georgia Institute of Technology<br>Atlanta, GA 30332-0640                      | (P) 404-894-8989<br>(F) 404-894-8194                     |
| Idaho          | Idaho TechHelp<br><a href="http://www.techhelp.org/">http://www.techhelp.org/</a>   | 1919 University Drive<br>Boise, ID 83725-1655                                  | (P) 800-637-4634<br>(P) 208-426-3767<br>(F) 208-426-2185 |
| Indiana        | Indiana Business Modernization and<br>Technology Corporation<br><a href="http://www.bmtadvantage.org/">http://www.bmtadvantage.org/</a> | One North Capitol Avenue<br>Suite 925<br>Indianapolis, IN 46204-2242           | (P) 800-877-5182<br>(P) 317-635-3058<br>(F) 317-231-7095 |
| Kentucky       | Kentucky Technology Service<br>(no current web address)   | 167 West Main Street<br>Suite 500<br>Lexington, KY 40507                       | (P) 606-252-7801<br>(F) 606-252-7900                     |
| Nevada         | Manufacturing Assistance Partnership<br><a href="http://www.map-assist.org/">http://www.map-assist.org/</a>                             | University of Nevada - Reno<br>Clark Administration Bldg 005<br>Reno, NV 89557 | (P) 775-784-1935<br>(F) 775-327-2266                     |
| New Mexico     | Industry Network Corporation - New<br>Mexico<br><a href="http://www.mfg-inc.com/">http://www.mfg-inc.com/</a>                           | 1155 University Boulevard, SE<br>Albuquerque, NM 87106                         | (P) 800-716-6462<br>(F) 505-843-4255                     |
| Ohio           | Miami Valley Manufacturing Extension<br>Center<br><a href="http://www.iams.org/">http://www.iams.org/</a>                               | 1111 Edison Drive<br>Cincinnati, OH 45216-2265                                 | (P) 800-345-4482<br>(P) 513-948-2000<br>(F) 513-948-2109 |
| South Carolina | South Carolina Manufacturing Extension<br>Partnership<br><a href="http://www.scmep.org/">http://www.scmep.org/</a>                      | 1136 Washington Street<br>Suite 300, PO Box 7008<br>Columbia, SC 29201         | (P) 803-252-6976<br>(F) 803-254-8512                     |
| Tennessee      | Tennessee Manufacturing Extension<br>Partnership<br><a href="http://www.cis.utk.edu/">http://www.cis.utk.edu/</a>                       | 226 Capitol Boulevard<br>Suite 606<br>Nashville, TN 37219-1804                 | (P) 615-532-8657<br>(F) 404-532-4937                     |
| Washington     | Washington Manufacturing Services<br><a href="http://www.wamfg.org/">http://www.wamfg.org/</a>  | 2333 Seaway Boulevard<br>Everett, WA 98203                                     | (P) 800-637-4634<br>(P) 425-267-0173<br>(F) 425-267-0175 |

## **OFFICE OF ECONOMIC CONVERSION INFORMATION**

### **Background**

The *Office of Economic Conversion Information (OECI)* is a clearinghouse of information needed to anticipate, plan for, and respond to, defense downsizing. OECI is a collaborative effort between the Economic Development Administration (EDA) and the Economics and Statistics Administration (ESA) within the U.S. Department of Commerce and the Office of Economic Adjustment (OEA) of the Department of Defense. OECI is designed to serve the basic information needs of three major groups of customers – communities, industries, and workers. In addition, the clearinghouse is a valuable resource for policymakers and public service providers at the federal, state and local level. OECI is a free service that provides information about defense adjustment and defense conversion, economic development, and technology transfer. The OECI database contains a compendium of government programs and a host of other materials designed to assist businesses, communities, and workers affected by defense budget cutbacks and other economic development challenges.

The clearinghouse has basic information in six broad categories:

#### ***General Background***

- Current news and press releases on economic conversion
- Bulletins announcing updated and new information
- Calendar of events related to conversion
- Bibliography of pertinent publications, articles and resource materials

#### ***Contact Points***

- Military installations slated for closure
- Economic Development Administration, DoC
- Office of Economic Adjustment, DoD
- Department of Labor
- Small Business Administration
- Base Transition Offices, DoD
- Other Federal Departments and Agencies

#### ***Economic and Defense Data***

- Military Base Closure and Realignment Status Reports
- Defense Budgets
- Defense Industry and Employment Impacts
- Civilian Industry Trends
- General Economic Data

#### ***Information Sources***

- Organizational models
- Community and industry case studies
- Financing strategies
- Materials on planning, marketing, finance and other adjustment-related issues
- Idea clearinghouse (enable users to share ideas)

***Adjustment Programs***

Federal, state and private sector programs for communities, industries and workers  
Federal grant announcements and awards  
Pertinent federal and state legislation, regulations and policies

***Technology Development and Application***

Civilian application of defense technology  
Research and development incentives  
Emerging products and innovations  
Industrial process advances

***Contacts***

OECI can be contacted at the following:

| <b>CONTACT OFFICE</b> | <b>PROGRAM</b>   | <b>ADDRESS</b>  | <b>PHONE (P)/FAX (F)</b> |
|-----------------------|--|---|--------------------------|
| Headquarters          | Office of Economic Conversion Information<br><a href="http://netsite.esa.doc.gov/oeci">http://netsite.esa.doc.gov/oeci</a> | Economic Development Administration.<br>HCHB Room 7231<br>U.S. Department of Commerce<br>Washington, DC 20230 | (P) 800-345-1222         |

## United States Department of Energy

The *Department of Energy (DOE)* provides the framework for a comprehensive and balanced national energy plan through the coordination and administration of the energy functions of the Federal Government. The Department is responsible for long-term, high-risk research and development of energy technology; federal power marketing; energy conservation; the nuclear weapons program; energy regulatory programs; and a central energy data collection and analysis program.

Efforts to assist workers and communities have included: worker retraining and early retirement programs; planning grants to community groups; seed money for economic development projects; and technology transfer-related assistance. A common thread of community economic development plans has been the employment of the Department's traditional technology transfer mechanisms. Technology transfer can include but is not limited to: technical assistance to solve a specific problem; training in advanced equipment, techniques, and processes; use of facilities with unique capabilities; access to patents and software; exchange of personnel; and cooperative research. Appendix A describes the Department's technology transfer mechanisms. The National Competitiveness Technology Transfer Act of 1989 and the Energy Policy Act of 1992 have firmly established technology transfer as a mission of all federal laboratories and facilities.

### **OFFICE OF WORKER AND COMMUNITY TRANSITION**

The DOE has initiated several efforts to create new products and services; enhance the quality of life of U.S. citizens; create and increase jobs; and help U.S. industry compete more effectively in world markets. In particular, the Secretary of Energy established the *Office of Worker and Community Transition* (the Office) on September 15, 1994. The Office succeeded a task force established by the Secretary in April 1993 to coordinate worker and community assistance for the DOE complex according to section 3161 of the Defense Authorization Act for Fiscal Year 1993.

Community transition activities in FY 1999 focused on moving affected communities toward independence and away from primary reliance on funding by the DOE. The Office is also encouraging the communities to work cooperatively with organized labor on employment and training opportunities for union members affected by downsizing. Between FY 1993 and September 30, 1999, the community transition program has helped communities create or retain 22,436 jobs, at an average cost of \$8,990 per position. By the end of FY 2003, community assistance funding provided by the Department is expected to create or retain a total of over 42,000 jobs.

#### ***Types of Assistance***

The Office offers financial startup assistance not to exceed \$100,000 for Community Reuse Organizations (CRO). The Office also offers planning assistance for the CROs, which is intended to pay for administrative costs and planning studies associated with the development and maintenance of a Community Transition Plan. The Office also offers operational assistance to fund administrative expenses of the CRO beyond startup and planning assistance, as well as community transition program and project assistance to fund the activities deemed most likely to reduce the community's dependence on the Department and to mitigate the negative impacts of defense nuclear facility downsizing.

#### ***Funding Information***

The Office was appropriated a total of \$21 million for community transition and work force restructuring activities and programs for FY 2000. The amount of remaining uncommitted funds available for assistance will not be known until work force restructuring plans are available. Since 1993, a total of over \$250 million has been committed

complex-wide to community transition activities, with \$201 million spent as of September 30, 1999. To date, 12 communities have received community transition assistance.

### **Eligibility**

Communities surrounding DOE sites that are affected by a change or reduction in defense mission are eligible. Non-defense sites are not eligible to receive funding authorized by the Defense Authorization Act but DOE will help to identify other sources of funding and assistance to facilitate economic development activities at these sites.

### **Contacts**

For further information on DOE's community transition and economic development programs, contact:

#### **Community Transition Program Contact:**

Robert Baney  
Grants Administrator  
Office of Worker and Community Transition  
U.S. Department of Energy  
Room 6G-030/FORS (WT-1)  
1000 Independence Avenue, SW  
Washington, DC 20585  
Phone: 202-586-0876  
Fax: 202-586-8403  
E-mail: [robert.baney@hq.doe.gov](mailto:robert.baney@hq.doe.gov)

#### **Work Force Restructuring Program Contact:**

Terry Freese  
Deputy Director  
Office of Worker and Community Transition  
U.S. Department of Energy  
Room 6G-030/FORS (WT-1)  
1000 Independence Avenue, SW  
Washington, DC 20585  
Phone: 202-586-5907  
Fax: 202-586-8403  
E-mail: [terence.freese@hq.doe.gov](mailto:terence.freese@hq.doe.gov)

## **OFFICE OF ECONOMIC IMPACT AND DIVERSITY**

The *Office of Economic Impact and Diversity (ED)* is mandated by various legislation and Executive Orders to advise the Secretary of Energy on the impacts of energy policies, programs, regulations, and other Departmental actions on under-represented communities, minority educational institutions, and small and women-owned business enterprises. ED's program support dollars are used for the functions of the Minority Economic Impact (MI) programs. The mandate requires, in part, that MI programs provide technical training, financial assistance, and small business assistance programs to enhance economic development capabilities among under-represented population segments.

### **Economic Impact and Diversity Programs**

#### **Office of Minority Economic Impact**

The *Office of Minority Economic Impact (MI)* was established in FY 1979 in order to advise the Secretary of Energy on the effects of energy policies, regulations, and other departmental actions on minorities, minority educational institutions, and minority business enterprises. MI provides management and technical assistance to minority educational institutions and business enterprises to enable these enterprises and institutions to participate in the research, development, demonstration, and contract activities of the Department. MI offers technical assistance programs to encourage, promote, and assist minority business enterprises in establishing and expanding energy-related business opportunities which are located in minority communities and that can provide jobs to workers in such communities and programs in assisting minority business enterprises in the commercial application of energy-related technologies. Included in these programs is the Business and Community Outreach Program which incorporates an aggressive communications/outreach effort to identify energy-related minority business enterprises and minority business opportunities that could benefit from the transfer of new and emerging technologies. Its

technology transfer efforts should improve the economy of the communities where those businesses exist, specifically by helping create new job opportunities and empowering community residents.

### ***Funding Information***

MI has been appropriated approximately \$1.7 million to offer management, technical, and financial assistance to eligible groups in FY 2000. Of this amount, approximately \$150,000 has already been committed to socioeconomic research and analysis.

### ***Eligibility***

Minorities, minority business enterprises (i.e., firms, corporations, associations, or partnerships that are at least 50 percent owned or controlled by a minority or group of minorities), and minority educational institutions (i.e., an educational institution with an enrollment in which a substantial proportion – as determined by the Secretary – of the students are minorities).

### **Office of Small and Disadvantaged Business Utilization**

ED also administers the Small and Disadvantaged Business Utilization Program which manages and oversees DOE's small and disadvantaged business initiatives. DOE facilities engaged in technology transfer activities are encouraged to be sensitive to the special needs of small and disadvantaged businesses and develop innovative approaches to address those needs. DOE guidelines for increasing the participation of small businesses in cooperative research and development agreements include special considerations to accelerate the introduction of DOE-developed technology into small businesses.

### ***Contacts***

For further information on DOE's Economic Impact and Diversity Programs, contact:

James B. Lewis  
Director, Economic Impact/Diversity/Minority Economic Impact, ED-1  
Room 5B-110/FORS  
U.S. Department of Energy  
1000 Independence Avenue, SW  
Washington, DC 20585  
Phone: 202-586-8383  
Fax: 202-586-3075

## **TECHNOLOGY TRANSFER PROGRAMS**

### **Small Business Innovation Research (SBIR) Program**

#### **Background**

The *Small Business Innovation Research (SBIR) Program* was established in 1982 with the objectives of stimulating technological innovation by small businesses, increasing small business participation in meeting federal research and development needs; and increasing the commercialization of federal research and development. Under the program, Federal Agencies with extramural R&D budgets over \$100 million are required to establish an SBI program using a set-aside of a stated percentage of that budget. Funding for the DOE SBIR program totaled nearly \$600 million over the first fifteen years. SBIR contracts for Phase I feasibility studies for innovative new technology are valued up to \$100,000 and are awarded for research efforts lasting up to nine months. Phase II development contracts are only awarded to successful Phase I contract winners and are valued up to \$750,000. Phase III involves private sector or Federal Agency funding (outside the SBIR program) to commercialize a Phase II project. DOE funds about 200 Phase I projects and about 80 Phase II projects per year. In Phase III, Federal Agencies may award non-

SBIR funded follow-on grants or contracts for products or processes that meet the mission needs of those Agencies, or for further research or R&D.

DOE's annual solicitation contains topics in technical areas such as: Basic Energy Sciences; Biological and Environmental Research; High Energy and Nuclear Physics; Fusion Energy Sciences; Advanced Scientific and Computing Research; Energy Efficiency and Renewable Energy; Nuclear Energy; Fossil Energy; Environmental Management; and Nonproliferation and National Security.

#### ***Funding Information***

The program's budget for FY 2000 is expected to be about \$80 million, based on a set-aside of 2.5 percent.

#### ***Contact Information***

For information concerning SBIR, contact the SBIR Program Office at **(301) 903-1414** or send an e-mail to [sbir-str@oer.doe.gov](mailto:sbir-str@oer.doe.gov). Individuals may attend one of the following National SBIR Informational Conferences, occurring in the year 2000:

- *National SBIR Conference*, Biloxi, MS, February 27-March 1, 2000  
For more information about this conference, visit the conference website at <http://www.zyn.com/sbir/>.
- *National SBIR 2000 Conference*, Washington, D.C., May 5-7, 2000  
For more information about this conference, visit the conference website at <http://www.seeport.com/conference/friendly.htm>
- *National SBIR Fall Conference*, Seattle, WA, October 30, 2000  
Specific program details and registration information will be posted as soon as it becomes available at <http://www.zyn.com/sbir/>

## **Small Business Technology Transfer (STTR) Program**

### **Background**

The *Small Business Technology Transfer (STTR) Program* was created by Title II of the Small Business Research and Development Enhancement Act of 1992 (P.L. 102-564) and encourages small businesses to team up with universities or research institutions for technology development. Although modeled substantially on the SBIR program, the STTR program is a separately-funded program of the Federal Government. The STTR program provides the opportunity and funding to small firms so they can benefit from partnerships with the academic sector in the pursuit of discovery and technology development. Under this program, 0.15 percent of a Federal Agency's extramural research or research and development (R&D) budget is reserved for awards to small businesses for cooperative R&D to be conducted jointly with a nonprofit research institution.

#### ***Funding Information***

DOE FY 2000 STTR program budget is expected to be about \$5 million. It is anticipated that about 15 Phase I awards will be made with a maximum award amount of \$100,000 for projects of nine months in duration for the FY 2000 solicitation. Phase I awardees will be eligible to compete for Phase II funding of up to \$500,000 over two years.

#### ***Contact Information***

For information concerning STTR, contact the STTR Program Office at **(301) 903-1414** or visit the website at [sbir-str@science.doe.gov](mailto:sbir-str@science.doe.gov).

## United States Department of Housing and Urban Development

The *Department of Housing and Urban Development (HUD)* is the principal Federal Agency responsible for programs concerned with the Nation's housing needs, fair housing opportunities, and improvement and development of the Nation's communities.

In carrying out its responsibilities, HUD administers a wide variety of programs including: Federal Housing Administration mortgage insurance programs that help families become homeowners and facilitate the construction and rehabilitation of rental units; rental assistance programs for lower-income families who otherwise could not afford decent housing; the Government National Mortgage Association mortgage-backed securities program that helps ensure an adequate supply of mortgage credit; programs to combat housing discrimination and affirmatively further fair housing; programs to help protect the home buyer in the marketplace; and the Community Development Block Grant (CDBG) Program to provide economic development assistance and revitalization to communities. The CDBG Program will be the primary focus of this chapter, with a brief discussion of the Empowerment Zone/Enterprise Communities Program.

### **OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT**

#### **Background**

##### *Types of Assistance*

The Assistant Secretary for Community Planning and Development (CPD) administers the grant programs that help communities plan and finance their growth and development, increase their capacity to govern, and provide shelter and services for homeless people. The CDBG Program, HUD's primary program to provide economic development assistance and revitalization to communities, as well as the Empowerment Zones/Enterprise Communities (EZ/EC) Initiative, is also administered by the CPD.

##### *Funding Information*

FY 2000 appropriations for the CDBG Program are as follows:

- C \$4.8 billion - Community Block Grants
- C \$1.261 billion - Section 108 Loan Guarantee Authorization

##### *Eligibility*

Eligibility for assistance varies for each CDBG program. The following sections of this chapter will describe specific eligibility requirements for each assistance program.

For more information regarding CDBG funding assistance and eligibility by state, please refer to the contact list at the end of this chapter. Technical assistance for states and local governments in the planning, development and administration of CDBG programs is available from Community Connections by calling **1-800-998-9999** or accessing the Web site at [www.comcon.org](http://www.comcon.org).

### **CDBG Assistance Programs**

#### **CDBG Entitlement Program**

The *CDBG Entitlement Program* is authorized by the Housing and Community Development Act of 1974, as amended. The Entitlement Program is CDBG's largest component, receiving 70 percent of total annual allocation. Under the CDBG Program, annual direct grants are provided to almost 1,000 of the largest metropolitan cities and urban counties (called "entitlement communities") to revitalize neighborhoods, expand affordable housing and

economic opportunities, and/or improve community facilities and services. Grantees must use at least 70 percent of CDBG funds for activities that principally benefit low- and moderate-income persons. All funded projects also help to create employment opportunities that assist in supporting local economies.

Activities that can be carried out with block grant funds include, but are not limited to:

- C acquisition of real property;
- C education and job training;
- C rehabilitation of residential or nonresidential structures;
- C construction of public facilities and improvements;
- C public services for youth, seniors, or the disabled;
- C assistance to for-profit businesses involved in special economic development activities; and
- C crime reduction initiatives

### ***Eligibility***

Recipients of CDBG entitlement funds include local governments with 50,000 or more residents, other local governments designated as central cities of metropolitan areas, and urban counties with populations of at least 200,000 (excluding the population of entitled cities). Local governments may carry out all activities themselves or award some or all of the funds to private or public nonprofit organizations as well as for-profit entities. A separate component of CDBG - the State CDBG Program - provides program funds to the states, which they allocate among localities that do not qualify as entitlement communities.

### ***Requirements***

To receive its annual CDBG entitlement grant, a recipient must have a HUD-approved Consolidated Plan that fulfills the application and reporting requirements for entitlement communities and contains an action plan describing how the jurisdiction will use its CDBG funds (see 24 CFR Part 91 for guidance). For example, one requirement of the Consolidated Plan is to develop and follow a detailed public participation plan that provides for, and encourages participation with, particular emphasis on participation of persons with low or moderate income.

### ***State CDBG Program***

The State CDBG Program is authorized by the Housing and Community Development (HCD) Act of 1974, as amended, and gives each state the opportunity to administer non-entitlement CDBG funds. Non-entitlement CDBG areas are all those units of general local government that do not receive CDBG funds directly from HUD as part of the CDBG Entitlement Program. HUD's role under the State CDBG Program is to ensure state compliance with federal laws, regulations and policies. HUD continues to administer the program in New York and Hawaii--states that have elected not to participate.

Each year, HUD distributes about 30 percent of CDBG program funds among the states according to the CDBG formula. States administer awards to smaller local governments and must develop a method to distribute funds to eligible local governments. To ensure that funds are used appropriately and distributed in amounts large enough to have an impact, most states hold annual funding competitions for non-entitlement communities. Traditionally, the largest single use of state CDBG funds has been the provision of public facilities. In the last few years, however, the program has played an increasingly key role in stimulating economic development activities that expand job and business opportunities for lower-income families and neighborhoods.

States electing to participate in the CDBG Program develop funding priorities, criteria for selecting projects, and community development objectives; decide how to distribute funds among communities in non-entitlement areas; and ensure that recipient communities comply with applicable state and federal laws and requirements.

Communities receiving CDBG funds from the state may use the funds for many kinds of community development activities including, but not limited to:

- C acquisition of property for program purposes;
- C construction or improvement of public facilities;
- C crime-reduction initiatives;
- C rehabilitation of housing and other property;
- C public services for youth, seniors or the disabled;
- C education and job training;
- C assistance to nonprofit entities for community development activities; and
- C assistance to private, for-profit entities to carry out economic development activities

### ***Eligibility***

Communities that do not qualify for assistance under the CDBG Entitlement Program are eligible for assistance under the State CDBG Program. Non-entitlement communities are municipalities with fewer than 50,000 residents (except certain central cities), and non-urban counties (generally those with populations of 200,000 or fewer, excluding any entitlement cities contained within the county). States must award at least 70 percent of their CDBG funds for activities that benefit low- and moderate-income persons.

### ***Requirements***

To receive its annual CDBG block grant, a participating state must have an approved Consolidated Plan that fulfills the program's application requirements and contains an action plan describing how the state will use its CDBG funds (see 24 CFR 91 for guidance). Each state establishes its own application requirements for non-entitlement communities seeking CDBG funds.

The states may use \$100,000 plus up to 2 percent of its CDBG allocation for costs it incurs in carrying out its CDBG administrative responsibilities, provided that each CDBG dollar over the \$100,000 is matched with a dollar from the state's own resources.

If you are an interested citizen, contact your local officials for more information. The local government may be receiving or may have applied for a grant from the state. If you are a local official, contact the Agency that administers the program for your state. If your local government or state officials cannot answer your questions, you may wish to contact the HUD Field Office that serves your area. A listing of HUD state program offices is provided at the end of this chapter.

### **Section 108 Loan Guarantee Program**

Section 108 is the loan guarantee provision of the CDBG Program that enables states and local governments to obtain federally-guaranteed loans that can help fuel large economic development projects and other revitalization activities.

Activities that are eligible under the program include:

- C acquisition of real property;
- C rehabilitation of publicly-owned real property;
- C economic development activities;
- C related relocation, clearance and site improvements;
- C acquisition, construction, reconstruction, or installation of public facilities; and
- C payment of interest on the guaranteed loan and issuance costs of public offerings

### ***Eligibility***

CDBG entitlement communities are eligible to apply for a loan guarantee, with the principal security for the loan being a pledge of the applicant's current and future CDBG funds. With the exception of Hawaii and New York (where HUD administers the program), non-entitlement communities also may apply provided their state agrees to pledge the CDBG funds necessary to secure the loan.

**Requirements**

HUD makes preliminary commitments and then negotiates formal guarantee agreements with the selected local governments over the succeeding months, resolving issues such as the nature and amount of security to be required, the repayment schedule, and the specific permissible uses of the loan funds.

**Empowerment Zones/Enterprise Communities Program**

The Empowerment Zones and Enterprise Communities (EZ/EC) is a Presidential initiative designed to afford communities opportunities for growth and revitalization. Its mission is to create self-sustaining, long-term economic development in areas of pervasive poverty, unemployment, and general distress and to demonstrate how distressed communities can achieve self-sufficiency through innovative and comprehensive, strategic plans developed and implemented by alliances among private, public, and nonprofit entities. There are a total of 135 urban and rural EZ/ECs benefitting from an array of public and private commitments such as tax incentives, performance grants, and loans. A unique feature of the EZ/EC initiative is its community-based partnerships consisting of community residents and representatives from local and state governments, businesses, and non-profits.

Many areas encompassed by community reuse organizations, including Albuquerque, New Mexico; Knoxville, Tennessee; Las Vegas, Nevada; Allendale County, South Carolina; and Greater Portsmouth, Ohio, are currently designated as EZ/ECs. Employers in EZs are eligible for wage tax credits worth \$3,000 for every employee hired who lives within EZ boundaries. EZ businesses are also eligible for increased tax expensing for equipment purchases. All EZ/ECs are eligible for tax-exempt bond financing that offers lower rates than conventional financing for business property and land, renovations, or expansion. In addition, the EZs designated in 1997 are eligible for the following benefits: a Brownfields Tax Incentive allowing for the designation of up to 2,000 acres of non-poverty, industrial acreage, which will be the focus of job creation for Zone residents; enhanced private-activity bonds allowing for \$60 to \$230 million in flexible private-activity bond authority to subsidize job creation and business expansion in the Zone; and additional section 179 expensing of investments in capital and equipment to promote commercial investment.

For further information about EZ/EC benefits, contact Community Connections at **1-800-998-9999**.

**Community Development Block Grant State Contacts**

| <b>STATE</b>   | <b>ADDRESS</b>   | <b>PHONE</b>                     |
|----------------|--|----------------------------------|
| Colorado       | Department of Local Affairs<br>1313 Sherman Street<br>Denver, CO 80203-2236  | (303) 866-3573                   |
| Georgia        | Department of Community Affairs<br>2555 Shumard Oak Boulevard<br>Atlanta, GA 30329   | (404) 679-4956                   |
| Idaho          | Department of Commerce<br>700 W. State Street<br>Boise, ID 83720-5822  | (208) 334-2470                   |
| Indiana        | Department of Commerce<br>1 North Capitol, Suite 700<br>Indianapolis, IN 46204-2243  | (317) 232-8911                   |
| Kentucky       | Community Programs<br>Department of Local Government<br>1024 Capital Center Drive, Suite 340<br>Frankfort, KY 40601-8204           | (502) 573-2382                   |
| Nevada         | Commission on Economic Development<br>108 E. Proctor Street<br>Carson City, NV 89701-4240  | (775) 687-1812<br>(800) 336-1600 |
| New Mexico     | Local Government Division<br>Bataan Memorial Building, Room 201<br>Santa Fe, NM 87501  | (505) 827-4950                   |
| Ohio           | Department of Development<br>Community Development Division<br>77 S. High Street, P.O. Box 1001<br>Columbus, OH 43266-0101         | (614) 466-2285                   |
| South Carolina | Office of Community Grant Programs<br>Department of Commerce<br>P.O. Box 927, 1122 Lady Street #700<br>Columbia, SC 29101          | (803) 734-0420                   |
| Tennessee      | Department of Economic & Community<br>Development<br>320 6th Avenue North, 6th Floor<br>Nashville, TN 37219-1400                   | (615) 741-6201                   |
| Washington     | Department of Community, Trade &<br>Economic Development<br>906 Columbia Street, GH-51<br>P.O. Box 48300<br>Olympia, WA 98504-4151 | (360) 586-1243                   |

## United States Department of Labor

The purpose of the *U.S. Department of Labor (DOL)* is to prepare the American work force for new and better jobs and ensure the adequacy of America's workplaces. It is responsible for the administration and enforcement of over 180 federal statutes. These legislative mandates and the regulations produced to implement them cover a wide variety of workplace activities for nearly 10 million employers and well over 100 million workers, including: protecting workers' wages, health and safety, employment and pension rights; promoting equal employment opportunity; administering job training, unemployment insurance and workers' compensation programs; strengthening free collective-bargaining; and collecting, analyzing and publishing labor and economic statistics.

### **EMPLOYMENT AND TRAINING ADMINISTRATION**

#### **Background**

The mission of the Employment and Training Administration (ETA) is to contribute to the more efficient and effective functioning of the U.S. labor market by providing high-quality job training, employment, labor market information, and income maintenance services primarily through state and local work force development systems. ETA seeks to ensure that American workers, employers, students, and those seeking work can obtain information, employment services, and training by using federal dollars and authority to actively support the development of strong local labor markets that provide such resources.

The ETA provides a variety of programs related to employment services, job retraining, and unemployment insurance. The majority of ETA's dislocated worker assistance programs fall under the Workforce Investment Act of 1998.

#### **ETA Assistance Programs**

##### **Workforce Investment Act of 1998**

The *Workforce Investment Act of 1998 (WIA)* provides the framework for a national work force preparation and employment system designed to meet both the needs of the Nation's businesses and the needs of job seekers and those who want to further their careers. WIA replaces the Economic Dislocation and Worker Adjustment Assistance Act, an amendment to Title III of the Job Training Partnership Act. As of July 1, 2000, WIA will be fully implemented and will supersede all programs related to the Job Training Partnership Act.

WIA authorizes three funding streams: adults, dislocated workers, and youth. Eighty-five percent of adult and youth funds will be allocated to local areas; the remainder will be reserved for statewide activities. For dislocated workers, 20 percent will be reserved by the Secretary of Labor for National Emergency Grants, dislocated worker demonstration efforts, and technical assistance. Of the remaining 80 percent, 60 percent will be allocated to local areas; up to 15 percent can be reserved for statewide activities; and up to 25 percent can be reserved for state rapid response efforts. States may merge up to 15 percent set-asides for statewide activities from the three separate funding streams if they choose to do so.

##### ***Types of Assistance and Services***

WIA offers core services which include job search and placement assistance (including career counseling); labor market information (which identifies job vacancies, skills needed for in-demand jobs, and local, regional and national employment trends); initial assessment of skills and needs; information about available services; and some follow-up services to help customers keep their jobs once they are placed. Intensive services include more comprehensive assessments; development of individual employment plans; group and individual counseling; case management; and short-term pre-vocational services. In cases where qualified customers receive intensive services, and are still

not able to find jobs, they may receive training services which are directly linked to job opportunities in their local area. These services may include occupational skills training; skill upgrading; job readiness training; and adult education and literacy activities in conjunction with other training.

Title I of the Workforce Investment Act maintains that training and employment programs will be designed and managed at the local level and that customers have easy access to the employment, education, training, and information services they need at a single location in their neighborhoods. Further, customers have choices in deciding the training program that best fits their needs and the organizations that will provide that service and have a right to information about how well training providers succeed in preparing people for jobs. The Act also ensures that businesses will provide information, leadership, and play an active role in ensuring that the system prepares people for current and future jobs.

Title I also authorizes a number of national programs – the Job Corps; Native American Programs; Migrant and Seasonal Farmworker Programs; Veterans' Workforce Investment Programs; Youth Opportunity Grants for high-poverty areas; technical assistance efforts to states and local areas; demonstration, pilot, and other special national projects; program evaluations; and National Emergency Grants.

Title III requires that Employment Service/Job Service activities become part of the “one-stop” system and establishes a national employment statistics initiative. The “one-stop” concept is where information for, and access to, a wide array of job training, education, and employment services is available for customers at a single neighborhood location. Customers will be able to easily:

- receive a preliminary assessment of their skill levels, aptitudes, abilities, and support service needs;
- obtain information on a full array of employment-related services, including information about local education and training service providers;
- receive help filing claims for unemployment insurance and evaluating eligibility for job training and education programs or student financial aid;
- obtain job search and placement assistance and receive career counseling;
- have access to up-to-date labor market information which identifies job vacancies, skills necessary for in-demand jobs; and
- provides information about local, regional and national employment trends

Through the “one-stop,” employers will have a single point of contact to provide information about current and future skills needed by their workers and to list job openings. They will benefit from a single system for finding job-ready skilled workers who meet their needs. The “one-stop” system will also provide customers with a list of eligible training providers and information about how well those providers perform. Payment for training services will be arranged through the Individual Training Accounts. Individual Training Accounts allow adult customers to “purchase” the training they determine best for them.

### ***Funding Information***

The ETA has been appropriated \$3.5 billion for adult, dislocated worker, and youth funding streams that fall under WIA for FY 2000 activities. Of this amount, almost \$1.6 billion is available to dislocated workers, including those in communities surrounding DOE sites that are experiencing downsizing.

### ***Eligibility***

The Act specifies three funding streams to the states and local areas: adults, dislocated workers, and youth. Most services for adults and dislocated workers will be provided through the “one-stop” system and most customers will use their individual training accounts to determine which training programs and training providers fit their needs. The Act authorizes “core” services (which will be available to all adults with no eligibility requirements) and “intensive” services for unemployed individuals who are not able to find jobs through core services alone. Dislocated workers are generally defined as workers who have received a notice or layoff or have lost their jobs and are unlikely to return to their previous industries or occupations. This includes workers who lose their jobs because of plant closures or mass layoffs and workers laid off as a result of federal actions, including those impacted by defense downsizing, timber or fishing policies; long-term unemployed persons with limited job opportunities in their fields.

### **ETA Assistance for Workers Affected by Base Closures and Realignment**

#### ***Types of Assistance***

National emergency grants are funded in response to applications from states and other eligible entities to respond to unexpected or community-wide events such as mass layoffs, plant closures, closures or realignments of military installations and for additional assistance when a state or local work force investment board has expended its formula funds and can demonstrate the need for more funds to serve dislocated workers.

#### ***Funding Information***

The ETA has been appropriated \$320 million in funds to use towards national emergency grants in FY 2000.

#### ***Eligibility***

General eligibility rules as noted under eligibility for WIA assistance apply.

### **Research, Pilot Programs, and Demonstration Grants**

#### ***Types of Assistance***

Under WIA, the Secretary of Labor is required to award grants or contracts to carry out research projects or conduct demonstration and pilot projects to develop and improve techniques and demonstrate the effectiveness of specialized methods in addressing employment and training needs. Awards over \$100,000 must be made on a competitive basis. However, a non-competitive award may be made in the case of a project that is funded jointly with other public or private sector entities that provide a substantial portion of assistance for the project.

#### ***Funding Information***

The Secretary of Labor may not use more than 10 percent of dislocated funds reserved at the national level to carry out demonstration and pilot projects, multi-service projects, and multi-state projects relating to the training and employment needs of dislocated workers (i.e. for FY 2000, no more than \$160 million may be used for these purposes).

For further information on the types of assistance available for dislocated workers, please contact the Dislocated Worker Unit for your state, the Workforce Investment Act contact for your state, or your ETA Regional Office. Contact numbers are listed at the end of this section. For general information on these programs, contact the Office of Worker Retraining and Adjustment Programs at the U.S. Department of Labor, Room N-5426, 200 Constitution Avenue, N.W., Washington, DC 20210 or access the website at [www.doleta.gov](http://www.doleta.gov).

**U.S. Department of Labor  
Employment and Training Administration  
Regional Offices**

| <b>REGION</b>              | <b>ADMINISTRATOR</b> | <b>ADDRESS</b>   | <b>PHONE (P) /FAX (F)</b>             |
|----------------------------|----------------------|--|---------------------------------------|
| Region I<br>Boston         | Robert Semler        | U.S. Dept. of Labor/ETA<br>JFK Federal Building<br>Room E-350<br>Boston, MS 02203                            | (P) 617-565-3630<br>(F) 617-565-2229  |
| Region II<br>New York      | Marilyn Shea         | U.S. Dept. of Labor/ETA<br>201 Varick Street, Room 755<br>New York, NY 10014                                 | (P) 212- 337-2139<br>(F) 212-337-2144 |
| Region III<br>Philadelphia | Edwin Strong, Jr.    | U.S. Dept. of Labor/ETA<br>P.O. Box 8796<br>3535 Market Street, Rm. 13300<br>Philadelphia, PA 19104          | (P) 215-596-6336<br>(F) 215-596-0329  |
| Region IV<br>Atlanta       | Toussaint Hayes      | U.S. Dept. of Labor/ETA<br>Atlanta Federal Center<br>Room 6M12<br>61 Forsyth Street, SW<br>Atlanta, GA 30303 | (P) 404-562-2092<br>(F) 404-562-2149  |
| Region V<br>Chicago        | Byron Zuidema        | U.S. Dept. of Labor/ETA<br>230 S. Dearborn Street<br>Room 628<br>Chicago, IL 60604                           | (P) 312-353-0313<br>(F) 312-353-4474  |
| Region VI<br>Dallas        | Joseph Juarez        | U.S. Dept. of Labor/ETA<br>Federal Building, Room 317<br>525 Griffin Street<br>Dallas, TX 75202              | (P) 214-767-8263<br>(F) 214-767-5113  |
| Region VII<br>Kansas City  | Herman Wallace       | U.S. Dept. of Labor/ETA<br>City Center Square<br>1100 Main Street, Suite 1050<br>Kansas City, MO 64105       | (P) 816-426-3796<br>(F) 816-426-2729  |
| Region VIII<br>Denver      | Thomas M. Dowd       | U.S. Dept. of Labor/ETA<br>1999 Broadway Street<br>Suite 1780<br>Denver, CO 80202-5716                       | (P) 303-844-1650<br>(F) 303-844-1685  |
| Region IX<br>San Francisco | Armando Quiroz       | U.S. Dept. of Labor/ETA<br>71 Stevenson Street, Room 830<br>P.O. Box 193767<br>San Francisco, CA 94119-3767  | (P) 415-975-4610<br>(F) 415-975-4612  |
| Region X<br>Seattle        | Michael Brauser      | U.S. Dept. of Labor/ETA<br>1111 Third Avenue, Suite 900<br>Seattle, WA 98101-3212                            | (P) 206-553-7700<br>(F) 206-553-0098  |

**United States Department of Labor  
Employment and Training Administration  
Job Training Partnership Act (JTPA)  
Dislocated Worker Units Nationwide**

| STATE          | NAME OF CONTACT             | ADDRESS  | PHONE (P) /FAX (F)                    |
|----------------|-----------------------------|--|---------------------------------------|
| Colorado       | Mr. Dick Rautio             | Training Office, Suite 550<br>720 S. Colorado Boulevard<br>Denver, CO 80222                    | (P) 303-620-4200<br>(F) 303-620-4257  |
| Georgia        | Mr. Robert Davis            | Sussex Place, Suite 440<br>148 International Blvd., NE<br>Atlanta, GA 30303                    | (P) 404-656-6336<br>(F) 404-651-6175  |
| Idaho          | Mr. Larry Hertling          | 317 Main Street<br>Boise, ID 83735-0001  | (P) 208-334-6298<br>(F) 208-334-6430  |
| Indiana        | Mr. Thom Heeter             | 10 North Senate Avenue<br>Indianapolis, IN 46024   | (P) 317-232-7461<br>(F) not available |
| Kentucky       | Ms. Jill K. Day             | 275 East Main, 3 Floor West<br>Frankfort, KY 40601   | (P) 502-564-5360<br>(F) 502-564-8974  |
| Nevada         | Ms. Harriet Schaller        | Capitol Complex<br>400 West King Street<br>Suite 108<br>Carson City, NV 89710                  | (P) 702-687-4310<br>(F) 702-687-8917  |
| New Mexico     | Mr. Kent James              | P.O. Box 4218<br>Santa Fe, NM 87502  | (P) 505-827-6866<br>(F) 518-485-1445  |
| Ohio           | Mr. James Turner            | 145 South Front Street<br>P.O. Box 1618<br>Columbus, OH 43215                                  | (P) 614-466-3817<br>(F) 614-728-5938  |
| South Carolina | Mr. Maxwell F. Parrott, Jr. | Manpower Training Unit<br>P.O. Box 1406<br>Columbia, SC 29202                                  | (P) 803-737-2601<br>(F) 803-737-2757  |
| Tennessee      | Mr. Louis Stone             | Gateway Plaza<br>710 James Robertson Pkwy<br>4 <sup>th</sup> Floor<br>Nashville, TN 37243-0658 | (P) 615-741-1031<br>(F) 615-741-3003  |
| Washington     | Ms. DeLores Esser           | P.O. Box 9046<br>Olympia, WA 98507-9046  | (P) 360-438-4629<br>(F) 360-438-3224  |

**United States Department of Labor  
Employment and Training Administration  
Workforce Investment Act State Contacts**

| STATE          | NAME OF CONTACT        | ADDRESS   | PHONE (P)/FAX (F)                    |
|----------------|------------------------|---|--------------------------------------|
| Colorado       | Mr. Clark Bolser       | Office of the Governor<br>1580 Logan, Suite 410<br>Denver, CO 80203           | (P) 303-894-2077<br>(F) 303-894-2064 |
| Georgia        | Mr. Michael Thurmond   | 148 International Blvd., NE<br>Suite 600, Sussex Place<br>Atlanta, GA 30303   | (P) 404-656-3011<br>(F) 404-656-2683 |
| Idaho          | Ms. Tana Shillingstad  | PO Box 83740<br>Boise, ID 83720-0034  | (P) 208-334-2100<br>(F) 208-334-3454 |
| Indiana        | Mr. Craig Hartzler     | 10 North Senate Avenue<br>Indiana Government Center<br>Indianapolis, IN 46204 | (P) 317-233-5661<br>(F) 317-233-1670 |
| Kentucky       | Mr. Allen Rose         | Capital Plaza, Tower, 2nd Floor<br>500 Mero Street<br>Frankfort, KY 40601     | (P) 502-564-6606<br>(F) 502-564-2289 |
| Nevada         | Ms. Carol Jackson      | 1830 East Sahara Avenue<br>Suite 201<br>Las Vegas, NV 89104                   | (P) 702-486-7923<br>(F) 702-486-7924 |
| New Mexico     | Mr. Clinton Harden Jr. | PO Box 1928<br>Albuquerque, NM 87103  | (P) 505-841-8409<br>(F) 505-841-8491 |
| Ohio           | Mr. James Mermis       | 145 South Front Street<br>Columbus, OH 43215                                  | (P) 614-466-2100<br>(F) 614-466-5025 |
| South Carolina | Mr. Joel Cassidy       | PO Box 995<br>Columbia, SC 29202  | (P) 803-737-2617<br>(F) 803-737-2642 |
| Tennessee      | Mr. Michael Magill     | Citizens Plaza, Suite 200<br>400 Deaderick Street<br>Nashville, TN 37243      | (P) 615-253-1324<br>(F) 615-253-1329 |
| Washington     | Mr. Rich Nafziger      | PO Box 43113<br>Olympia, WA 98504-3113  | (P) 360-902-0664<br>(F) 360-586-8830 |

**United States Department of Labor  
Employment and Training Administration  
One-Stop Center State Contacts**

| STATE          | NAME OF CONTACT          | ADDRESS   | PHONE (P)/FAX (F)                     |
|----------------|--------------------------|---|---------------------------------------|
| Colorado       | Ms. Ledy Garcia-Eckstein | 1580 Logan Street, Suite 410<br>Denver, CO 80203  | (P) 303-894-2077<br>(F) 303 894-2064  |
| Georgia        | Ms. Helen Parker         | Sussex Place, Suite 400<br>I-48 International Blvd., NE<br>Atlanta, GA 30303-1751       | (P) 404-656-6380<br>(F) 404-657-8285  |
| Idaho          | Ms. Cheryl Brush         | 317 Main Street<br>Boise, ID 83735  | (P) 208-334-6303<br>(F) 208-334-6430  |
| Indiana        | Ms. Carol Baker          | 10 N. Senate Avenue<br>Indianapolis, IN 46204-2277                                      | (P) 317-233-3919<br>(F) 317-233-4793  |
| Kentucky       | Ms. Julia Gustafason     | 500 Mero Street<br>12th Floor CPT<br>Frankfort, KY 40601                                | (P) 502-564-9146<br>(F) 502-564-9504  |
| Nevada         | Ms. Carol Jackson        | 500 East Third Street<br>Carson City, NV 89713  | (P) 702-687-4440<br>(F) 702-687-3903  |
| New Mexico     | Ms. Clair Lissance       | Tiwa Building (Zip 87102)<br>401 Broadway, NE<br>P.O. Box 1928<br>Albuquerque, NM 87103 | (P) 505-841-8513<br>(F) not available |
| Ohio           | Ms. Jean Sickles         | 145 South Front Street<br>P.O. Box 1618<br>Columbus, OH 43216-1618                      | (P) 614-728-8107<br>(F) 614-728-9094  |
| South Carolina | Mr. Joel Cassidy         | 1550 Gadsden Street<br>P.O. Box 995<br>Columbia, SC 29202                               | (P) 803-737-2617<br>(F) 803-737-2642  |
| Tennessee      | Mr. Michael Magill       | 400 Deaderick Street<br>Citizens Place Building<br>Suite 200<br>Nashville, TN 37243     | (P) 615-253-1324<br>(F) 615-253-1329  |
| Washington     | Mr. Gary Gallwas         | 605 Woodland Square Loop<br>P.O. Box 9046 MS/6000<br>Olympia, WA 98507-9046             | (P) 360-438-4614<br>(F) 360-438-4014  |

## United States National Aeronautics and Space Administration

The *U.S. National Aeronautics and Space Administration (NASA)* conducts research for the solution of problems of flight within and outside the earth's atmosphere and develops, constructs, tests, and operates aeronautical and space vehicles. NASA conducts activities required for the exploration of space with manned and unmanned vehicles and arranges for the most effective utilization of the scientific and engineering resources of the United States with other nations engaged in aeronautical and space activities for peaceful purposes.

NASA's overall program is comprised of four strategic enterprises. Each enterprise covers a major area of the Agency's research and development efforts. The four NASA enterprises are:

- **Aero-Space Technology.** The mission of this enterprise is to pioneer the identification, development, verification, transfer, application, and commercialization of high-payoff aeronautics and space transportation technologies.
- **Earth Science.** The mission of this enterprise, formerly the Mission to Planet Earth Enterprise, is to use the unique vantage point of space to provide information about Earth's environment that is obtainable in no other way. In concert with research and industry partners, the enterprise is developing the understanding needed to support the complex environmental policy and economic investment decisions that lie ahead.
- **Human Exploration and Development of Space.** The mission of this enterprise is to open the space frontier by exploring, using, and enabling the development of space and to expand the human experience into the far reaches of space.
- **Space Science.** The mission of this enterprise is to solve mysteries of the universe; explore the solar system; discover planets around other stars; search for life beyond Earth from origins to destiny and chart the evolution of the universe; and understand its galaxies, stars, planets, and life.

### Commercial Technology Program

#### Background

The mission of the Commercial Technology Program at NASA is to assist the transfer and commercialization of NASA technologies into the private sector to create jobs, improve productivity, and increase U.S. competitiveness. Businesses can enter into agreements to develop new products or applications, find better ways to do business, and solve technical problems using NASA expertise.

#### NASA Commercial Technology Network

The NASA Commercial Technology Network encompasses organizations throughout the U.S. that are sponsored by, and affiliated with, the NASA Commercial Technology Program. These organizations provide unique expertise and services to U.S. enterprises to facilitate and assist the transfer, development, and commercialization of NASA-sponsored technology. The network includes the Commercial Technology Program offices at NASA Headquarters and field centers and specialized technology transfer/commercialization centers and services listed above, as well as other affiliated organizations and services.

## **Commercial Assistance Programs**

### **NASA Headquarters and Field Centers**

NASA Headquarters and the Agency's 10 field centers conduct and oversee NASA's aeronautical and space programs, producing cost cutting-edge research and technology available for transfer and commercial use. The Commercial Technology Program offices at each center serve as gateways to exploring the technological strengths and capabilities of these world-class centers of science and innovation. The points of contact for each of these centers is provided in the table below.

**NASA Headquarters and Field Centers**

| <b>CENTER</b>  | <b>CONTACT</b>   | <b>ADDRESS</b>   | <b>PHONE (P)/FAX (F)</b>             |
|--|--|--|--------------------------------------|
| Headquarters<br><a href="http://www.hq.nasa.gov">http://www.hq.nasa.gov</a>                      | Director, Commercial<br>Technology Division                          | 300 E. Street, S.W.<br>Washington, DC 20546-0001                   | (P) 202-358-2320<br>(F) 202-358-3878 |
| Ames Research Center<br><a href="http://www.arc.nasa.gov">http://www.arc.nasa.gov</a>            | Chief, Commercial<br>Technology Office                               | Mail Stop 202A-3<br>Moffett Field, CA 94035-1000                   | (P) 415-604-0893<br>(F) 415-604-1593 |
| Dryden Flight Research Center<br><a href="http://www.dfrc.nasa.gov">http://www.dfrc.nasa.gov</a> | Chief, Public Affairs,<br>Commercialization, and<br>Education Office | P.O. Box 273<br>Mail Stop D-4839A<br>Edwards, CA 93523-0273        | (P) 805-258-3802<br>(F) 805-258-3088 |
| Goddard Space Flight Center<br><a href="http://www.gsfc.nasa.gov">http://www.gsfc.nasa.gov</a>   | Manager, Commercial<br>Technology Office                             | Mail Stop 750.1<br>Greenbelt, MD 20771-0001                        | (P) 301-286-5810<br>(F) 301-286-0301 |
| Jet Propulsion Laboratory<br><a href="http://www.jpl.nasa.gov">http://www.jpl.nasa.gov</a>       | Manager, Commercial<br>Technology Program<br>Office                  | Mail Stop 180-401<br>Pasadena, CA 91109-8099                       | (P) 818-354-2577<br>(F) 818-393-2754 |
| Johnson Space Center<br><a href="http://www.jsc.nasa.gov">http://www.jsc.nasa.gov</a>            | Director, Johnson<br>Space Center                                    | Mail Stop HA<br>Houston, TX 77058-3696                             | (P) 281-483-0474<br>(F) 281-244-8452 |
| Kennedy Space Center<br><a href="http://www.ksc.nasa.gov">http://www.ksc.nasa.gov</a>            | Associate Director,<br>Programs and<br>Commercialization<br>Office   | Mail Stop MME<br>Kennedy Space Center, FL 32899-<br>0001           | (P) 407-867-6226<br>(F) 407-867-2050 |
| Langley Research Center<br><a href="http://www.larc.nasa.gov">http://www.larc.nasa.gov</a>       | Director, Technology<br>Applications Group                           | Mail Stop 118<br>Hampton, VA 23681-0001                            | (P) 757-864-6005<br>(F) 757-864-8088 |
| John H. Glenn Research Center<br><a href="http://www.lerc.nasa.gov">http://www.lerc.nasa.gov</a> | Chief, Commercial<br>Technology Office                               | Mail Stop 3-7<br>Cleveland, OH 44135-3191                          | (P) 216-433-3484<br>(F) 216-433-5531 |
| Marshall Space Flight Center<br><a href="http://www.msfc.nasa.gov">http://www.msfc.nasa.gov</a>  | Director, Technology<br>Transfer Office                              | Mail Stop CO30<br>Marshall Space Flight Center, AL<br>35812-0001   | (P) 256-544-4266<br>(F) 256-544-3151 |
| Stennis Space Center<br><a href="http://www.ssc.nasa.gov">http://www.ssc.nasa.gov</a>            | Manager, Technology<br>Transfer Office                               | Building 1100, Room 213<br>Stennis Space Center, MS 39529-<br>6000 | (P) 228-688-1914<br>(F) 228-688-2408 |

**Technology Transfer Centers**

The NASA Commercial Technology Program sponsors one national and six regional Technology Transfer Centers (TTCs) that provide services to U.S. firms and industry within their designated regions; assist clients to locate, assess, and commercialize technologies from throughout NASA and the federal research and development base. These organizations, operating throughout the Nation, work closely with NASA to provide a full range of technology transfer and commercialization services and assistance. The points of contact for each of these centers is provided in the table below.

**NASA National and Regional Technology Transfer Centers**

| CENTER  | CONTACT  | ADDRESS  | PHONE (P)/FAX (F)  |
|---|--|--|--|
| National<br><a href="http://www.nctn.hq.nasa.gov">http://www.nctn.hq.nasa.gov</a>                                   | Director, National<br>Technology Transfer<br>Center                      | 316 Washington Avenue<br>Wheeling, WV 26003                                | (P) 800-678-6882<br>(P) 304-243-2455<br>(F) 304-243-4384 |
| Far West<br><a href="http://www.usc.edu/dept/engineering/TTC/NASA">http://www.usc.edu/dept/engineering/TTC/NASA</a> | Director, Far West<br>Regional Technical<br>Transfer Office              | 3716 South Hope Street<br>Suite 200<br>Los Angeles, CA 90007-4344          | (P) 800-472-6785<br>(P) 213-743-2353<br>(F) 213-746-9043 |
| Mid-Continent<br><a href="http://www.tedd.org/mcttc">http://www.tedd.org/mcttc</a>                                  | Director, Mid-<br>Continent<br>Technology Transfer<br>Center             | 301 Tarrow, Suite 119<br>College Station, TX<br>77843-8000                 | (P) 800-472-6785<br>(P) 409-845-8762<br>(F) 409-845-3559 |
| Midwest<br><a href="http://www.battelle.org/glitec/">http://www.battelle.org/glitec/</a>                            | Executive Director,<br>Great Lakes Industrial<br>Technology Center       | 25000 Great Northern Corporate<br>Center, Suite 260<br>Cleveland, OH 44070 | (P) 800-472-6785<br>(P) 440-734-0094<br>(F) 440-734-0686 |
| Mid-Atlantic<br><a href="http://oracle.mtac.pitt.edu">http://oracle.mtac.pitt.edu</a>                               | Executive Director,<br>Mid-Atlantic<br>Technology<br>Applications Center | 3400 Forbes Avenue<br>Fifth Floor<br>Pittsburgh, PA 15260                  | (P) 800-472-6785<br>(P) 412-383-2500<br>(F) 412-383-2595 |
| Northeast<br><a href="http://www.ctc.org/">http://www.ctc.org/</a>  | CEO and Chairman,<br>Center for<br>Technology<br>Commercialization       | 1400 Computer Drive<br>Westborough, MA<br>01581-5043                       | (P) 800-472-6785<br>(P) 508-870-0042<br>(F) 508-366-0101 |
| Southeast<br><a href="http://www.4stac.org/">http://www.4stac.org/</a>  | Director, Southern<br>Technology<br>Applications Center                  | One Progress Boulevard<br>Box 24<br>Alachua, FL 32615                      | (P) 800-472-6785<br>(P) 904-462-3913<br>(F) 904-462-3898 |

## Other NASA-Sponsored Network Centers

Other NASA-sponsored Network Centers include:

**Center for Technology Applications (CTA).** CTA assesses and markets technologies developed by government laboratories and corporations. Leveraging its experienced staff and extensive technical network, CTA also identifies sources of new technology that could improve a corporation's cost savings, market share, or manufacturing process. CTA provides technology transfer and intellectual asset management services. Over the last five years, CTA has helped NASA and other clients screen over 1000 technologies, pursue 54 licenses, and transfer technologies responsible for 27 new commercial products.

**Center for Aerospace Information (CASI).** CASI maintains and distributes NASA technical and program publications and provides general assistance in response to inquiries from the NASA Tech Briefs readership and other U.S. private and public sector organizations. NASA, government agencies, and contractors can register free of charge in order to benefit from the extensive worldwide collection of scientific and technical information.

**Earth Data Analysis Center (EDAC).** EDAC is a service organization of the University of New Mexico providing services in geospatial technologies. EDAC's expertise focuses on Image Processing, Geographic Information Systems (GIS), Global Positioning Systems (GPS), and Clearinghouse Services. EDAC's goal is to assist industry, government, and the general public as they apply spatial and spectral technology to their resource assessments. EDAC provides technology transfer assistance and services in support of the distribution and transfer of remote sensing/geographical information systems data and technology to U.S. private sector users.

**American Technology Initiative (Am Tech).** Am Tech is a nonprofit corporation entirely dedicated to the facilitation of research and development partnerships between the public and private sectors using NASA joint-sponsored research agreements (JSRAs). The JSRAs provide for the creation of research projects combining public and private resources to ensure transfer and commercialization of publicly-funded technology. The purpose of JSRAs is to promote dual-use technology development, accelerate technology transfer and commercialization, and leverage research and development (R&D) resources. Am Tech works directly with NASA's technologists, legal staff, and senior management to provide business expertise, deal-structuring skills, and the knowledge of how to bring a technology to market.

The points of contact for each of these NASA-sponsored network centers is provided in the table below.

**NASA-Sponsored Network Centers**

| <b>CENTER</b>   | <b>CONTACT</b>                              | <b>ADDRESS</b>  | <b>PHONE (P)/FAX (F)</b>                                 |
|---|---|---|--|
| Center for Technology Applications (CTA)<br><a href="http://www.rti.org/technology/services.cfm">http://www.rti.org/technology/services.cfm</a> | Manager, Center for Technology Applications | Research Triangle Institute<br>3040 Cornwallis Road<br>Research Triangle Park, NC 27709 | (P) 919-541-6000<br>(F) 919-621-                         |
| NASA Center for AeroSpace Information (CASI)<br><a href="http://www.sti.nasa.gov">http://www.sti.nasa.gov</a>                                   | Manager, Center for AeroSpace Information   | 7121 Standard Drive<br>Hanover, MD 21076-1320   | (P) 301-621-0390<br>(P) 410-712-0272<br>(F) 301-621-0134 |
| Earth Data Analysis Center (EDAC)<br><a href="http://edac.unm.edu">http://edac.unm.edu</a>  | Manager, Earth Data Analysis Center         | University of New Mexico<br>Bandelier West, Room 111<br>Albuquerque, NM 87131-6031      | (P) 505-277-3622<br>(F) 505-277-3614                     |
| American Technology Initiative, Inc   | Manager, American Technology Initiative     | 5335 Middlefield Road<br>Suite 180<br>Menlo Park, CA 94025                              | (P) 415-325-5353<br>(F) 415-329-0320                     |

## Small Business Resources

### NASA Small Business Innovative Research Program (SBIR)

The SBIR Program was established to provide seed capital to assist American-owned small businesses to participate in U.S. Federal Agency research and development efforts and to place emphasis on pursuing commercial applications of innovations developed with SBIR funding. Funding is provided by allocating 2.5 percent (in 2000) of an Agency's extramural R&D budget for SBIR. Each Agency administers its own individual program within guidelines established by the Small Business Administration.

The NASA SBIR Program provides seed money to U.S. small businesses for developing innovative concepts that meet NASA mission requirements. Each year NASA invites small businesses to offer proposals in response to technical topics listed in the annual SBIR program solicitation. The solicitation also provides information about eligibility requirements; detailed instructions for preparing and submitting proposals; evaluation and selection procedures; and information related to subsequent activities.

After the review process, proposals are selected for contract award negotiations. These selections consider program balance; installation R&D budgets and numbers of proposals; relevance of the proposed work to SBIR program objectives; and available funds. The NASA field installations negotiate and award the contracts and monitor the work.

Because the processes of innovation and bringing new products to the marketplace have a high degree of technical and financial risk, NASA's SBIR Program is implemented in three phases:

- Phase I is the opportunity to establish the feasibility and technical merit of a proposed innovation. Selected competitively, NASA Phase I contracts last for six months and, in 2000, will not exceed \$70,000 per award. In October 1999, NASA announced awards for 290 research projects with funding exceeding \$20 million.

- Phase II is the major R&D effort in SBIR. It continues the most promising of the Phase I projects based on scientific/technical merit; results of Phase I; expected value to NASA; company capability; and commercial potential. Phase II places greater emphasis on evidence of commercial potential than Phase I, particularly for non-government uses. NASA Phase II contracts are usually for a period of 24 months and, in 2000, will not exceed \$600,000 per award. In January 2000, NASA announced awards for 25 research projects with funding exceeding \$15 million.
- Phase III is the process of completing the development of a product to make it commercially available. The financial resources needed must be obtained outside the funding set aside for SBIR. Private-sector investment in various forms is the usual vehicle for the Phase III process. NASA also may fund Phase III activities for follow-on development or for production of an innovation beyond Phase II for its own use.

The SBIR Management Office, located at Goddard Space Flight Center, provides overall management and direction of SBIR while the NASA field installations identify R&D needs, evaluate proposals, and manage the individual projects.

### **NASA Small Business Technology Transfer Program (STTR)**

The STTR Program awards contracts to small business concerns for cooperative research and development with a research institution through a uniform, three-phase process. STTR, though modeled after the SBIR Program, is a separate activity and is separately funded. It differs from SBIR in several important aspects.

First, STTR is a small program originally authorized for only three years beginning in FY 1994, but indefinitely extended. The planned funding set-aside for FY 2000 is 0.25 percent of the external R&D budget, about one-tenth of the amount for SBIR. The technical scope is also limited.

Second, offerors must be teams of small businesses and research institutions who will conduct joint research. Research institutions are nonprofit research organizations, federal laboratories, or universities. The goal of the Congress in establishing the STTR Program is to transfer technology developed by universities and federal labs into the private marketplace through the entrepreneurship of a small business. The small business and its partnering institution are required to sign an agreement on how intellectual property will be shared between them.

Third, Phase I STTR projects receive up to \$100,000 in funds for a one-year effort; Phase II is limited to \$500,000 for two years. In 1999, 20 Phase I research contracts totaling \$2 million were awarded. Similarly, 8 Phase II research contracts totaling \$4 million were awarded.

### **Small and Disadvantaged Business Utilization**

NASA develops programs/initiatives to ensure that small, disadvantaged, and women-owned business firms have the maximum opportunity to assist the Agency in performing its mission. The Agency's primary objective in utilizing such businesses is to receive better quality products or services at the lowest practicable cost. NASA helps strengthen America's economic growth through the use of entrepreneurial endeavors found in small, disadvantaged, and women-owned businesses which can often provide value-added services not readily available from large corporations. This includes utilizing such businesses for the transfer of NASA technologies for commercial use. NASA also works with Historically Black Colleges and Universities and other minority educational institutions to assist the Agency in performing its technical and research programs.

**NASA Small Business Resource Program Contacts**

| <b>PROGRAM</b>   | <b>CONTACT</b>                            | <b>ADDRESS</b>  | <b>PHONE (P)/FAX (F)</b>             |
|--|---|---|--------------------------------------|
| Small Business Innovative Research Program (SBIR)/Small Business Technology Transfer Program (STTR)<br><a href="http://www.sbir.nasa.gov">http://www.sbir.nasa.gov</a> | Program Manager, SBIR/STTR Program Office | Goddard Space Flight Center<br>Technology Program Management Office<br>Mail Stop 705<br>Greenbelt, MD 20771 | (P) 301-286-8888<br>(F) 301-286-1717 |
| SBIR/STTR<br><a href="http://www.sbir.nasa.gov">http://www.sbir.nasa.gov</a>   | Manager, SBIR/STTR Support Office         | 4041 Powder Mill Road<br>Suite 311<br>Calverton, MD 20705   | (P) 301-937-0888<br>(F) 301-937-0204 |
| Office of Small and Disadvantaged Business Utilization<br><a href="http://www.hq.nasa.gov/office/codek/">http://www.hq.nasa.gov/office/codek/</a>                      | Small Business Advisor                    | NASA Headquarters<br>Mail Code K<br>300 E. Street, S. W.<br>Washington, DC 20546-0001                       |                                      |

**NASA Grants Office**

NASA's Grants Office, located at the Goddard Space Flight Center (GSFC), awards and administers grants and cooperative agreements for the NASA Headquarters Program Offices as well as the GSFC scientific research programs. The status of all grant/cooperative agreement awards currently in process can be found on the GSFC Grants Information homepage at <http://genesis.gsfc.nasa.gov/grants/grants.html>. Additional information is available by contacting the NASA Goddard Space Flight Center, Grants Office, Code 210G, Greenbelt, MD 20771, telephone 301-286-8511, Fax 301-286-6648.

## United States Small Business Administration

The *U.S. Small Business Administration (SBA)*, established in 1953, provides financial, technical and management assistance to help Americans start, run, and grow their businesses. In particular, the SBA ensures that small business concerns receive a fair portion of government purchases, contracts, and subcontracts, as well as a fair portion of the sales of government property; makes loans to small business concerns, state and local development companies, and the victims of floods or other catastrophes, or of certain types of economic injury; and licenses, regulates; and makes loans to small business investment companies.

### **Background**

The SBA administers a number of programs that can provide assistance to communities affected by cutbacks in the programs of the Department of Energy (DOE). The assistance provided by the SBA is delivered primarily through the Agency's ten regional and sixty-six district offices located across the Nation.

### **Types of Assistance**

The primary programs of service to DOE workers and communities include procurement assistance; business development and technical assistance through the Small Business Development Centers (SBDC); and financial assistance. In addition, the SBA sponsors other support programs through the Service Corps of Retired Executives (SCORE).

### **Funding Information**

SBA programs provide assistance primarily through counseling, training, guidance, and loans. The SBA has a number of loan programs that may be of assistance to small firms. SBA also provides matching funds to SBDC programs and economic development activities. Funds available for FY 2000 for the SBDC program total \$994.5 million.

### **Additional Information**

Any questions regarding programs administered by SBA should be directed to the SBA Answer Desk at **1-800-827-5722**, or to the appropriate SBA District Office. The SBA District and Regional Office contacts are provided at the end of this section.

The "SBA On-Line" bulletin board system provides extensive information on the Agency's services, programs, publications, and a calendar of events. The service can be accessed with the use of a personal computer and a modem by calling **1-800-697-4636 (for 9600 baud modems)** or by calling **1-900-463-4636 (full access)**. The Washington, DC area bulletin board access number is (202) 401-9600.

## SBA Assistance Programs

### **Procurement Assistance**

The U.S. Government is the world's largest buyer of goods and services and SBA has the responsibility of making certain that small businesses obtain a fair share of government contracts and subcontracts for these goods and services. The SBA Office of Government Contracting, working closely with Federal Agencies and the Nation's leading contractors, carries out its procurement assistance responsibilities through a number of programs including:

- C Prime Contracting
- C Subcontracting
- C Procurement Automated Source System

- C Certificate of Competency
- C Natural Resources Sales Assistance

Procurement assistance is provided to small businesses primarily through a network of Procurement Center Representatives located across the country at major federal program sites and through procurement professionals located at the SBA's Regional Offices. The names and locations of the nearest Procurement Center Representatives are available by contacting the closest SBA Regional Office listed at the end of this chapter or by accessing [www.sba.gov/SpecialInterests.ingrant.html](http://www.sba.gov/SpecialInterests.ingrant.html).

### **Business Development**

A variety of business development, educational and technical assistance programs are available to small businesses. Through these programs, the SBA provides publications, seminars, and counseling services. These programs are delivered primarily through SBA's District Offices and SBDCs.

### **Small Business Development Centers**

The SBDCs are organized to make management assistance and counseling available to both current and prospective small business owners. The program is a cooperative effort of the private sector, the educational community, and federal, state and local governments. It enhances economic development by providing small businesses with management and technical assistance in the areas of financial marketing; production; organization; engineering; and technical problems and feasibility studies, among others. In each state, there is a lead organization that sponsors the SBDC and manages the program. The lead organization coordinates program services through a network of subcenters and satellite locations in each state. Subcenters are located at colleges, universities, community colleges, vocational schools, chambers of commerce, and economic development corporations.

The SBA provides 50 percent or less of the operating funds for each state SBDC; one or more sponsors provide the rest. These matching fund contributions are provided by state legislatures; private sector foundations and grants; state and local chambers of commerce; state-chartered economic development corporations; public and private universities; vocational and technical schools; community colleges, etc. Increasingly, sponsors' contributions exceed the minimum 50 percent matching share. There are SBDCs in each of the fifty states. The SBDC locations for DOE sites are provided at the end of this chapter.

### **Financial Assistance**

The SBA has a number of loan programs that may be of assistance to small firms. Most funding provided by SBA is made through loans under the General Business 7(a) Loan Program, which guarantees loans of up to \$750,000 to small businesses unable to secure financing on reasonable terms through normal lending channels.

Most businesses are eligible for financial assistance from the SBA. However, applicant businesses must operate for profit; be engaged in, or propose to do business in, the United States or its possessions; have reasonable owner equity to invest; and use alternative financial resources first, including personal assets. The Small Business Act defines an eligible small business as one that is independently-owned and operated, and not dominant in its field of

operation. The Act also states that in determining what is a small business, the definition shall vary from industry to industry to adequately reflect industry differences. The SBA has, therefore, developed the following size standards that define the maximum size of an eligible small business:

| <b>Industry</b>    | <b>Size</b>                |
|--------------------|----------------------------|
| Retail and Service | \$3.5 to \$13.5 million    |
| Construction       | \$7.0 to \$17.0 million    |
| Agriculture        | \$0.5 to \$3.5 million     |
| Wholesale          | No more than 100 employees |
| Manufacturing      | 500 to 1,500 employees     |

If a potential borrower is close to these standards, size eligibility should be discussed with the local SBA office. Loans are also available under the 504 Certified Development Company Program, which provides growing businesses with long-term, fixed-rate financing for major fixed assets, such as land and buildings. To be eligible, the business generally must be operated for profit and fall within the size standards set by the SBA. Under the 504 Program, the business qualifies as small if it does not have a tangible net worth in excess of \$6 million and does not have an average net income in excess of \$2 million after taxes for the preceding two years.

Further information on the SBA loan programs can be obtained by contacting the nearest SBA Regional Office listed at the end of this chapter, or by accessing [www.sba.gov/financing](http://www.sba.gov/financing).

#### **Service Corps of Retired Executives (SCORE)**

SCORE is a locally-chartered volunteer organization sponsored by SBA that provides free expert problem-solving assistance to small businesses.

SCORE tries to match counselor experience with client needs and provide one-to-one counseling. SCORE also conducts well-developed pre-business workshops and a variety of business-oriented seminars and training sessions. The SBA Regional Offices can provide the location of the nearest SCORE counseling center.

**SBA Regional and District Offices and  
State Small Business Development Centers**

| <b>State</b> | <b>SBA Regional/District Offices</b>  | <b>Phone</b>                     | <b>State SBDC</b>   | <b>Phone</b>                               |
|--------------|---|----------------------------------|---|--|
| Colorado     | Regional Administrator<br>721 19th Street, Suite 400<br>Denver, CO 80202<br><br>District Office<br>721 19th Street, Suite 426<br>Denver, CO 80202                                 | 303-844-0500<br><br>303-844-2607 | Mary Madison, Director<br>Office of Economic Development<br>1625 Broadway, Suite 1710<br>Denver, CO 80202   | 303-892-3809                               |
| Georgia      | Regional Administrator<br>233 Peachtree Street, NE<br>Suite 1800<br>Atlanta, GA 30303<br><br>District Office<br>233 Peachtree Street, NE<br>Suite 1900<br>Atlanta, GA 30303       | 404-331-4943<br><br>404-331-0100 | Hank Logan, Director<br>University of Georgia Small<br>Business Development Center<br>1180 East Broad Street<br>Athens, GA 30602-5412                                 | 706-542-6776                               |
| Idaho        | Regional Administrator<br>Park Place Building<br>1200 6th Ave., Suite 1805<br>Seattle, WA 98101<br><br>District Office<br>1020 Main Street<br>Boise, ID 83702                     | 206-553-5676<br><br>208-334-1696 | James Hogge, Director<br>Boise State University<br>1910 University Drive<br>Boise, ID 83725   | 800-225-3815<br>In Idaho -<br>208-426-1640 |
| Indiana      | Regional Administrator<br>500 West Madison Street,<br>Suite 1240<br>Chicago, IL 60661<br><br>District Office<br>429 N. Pennsylvania Street<br>Suite 100<br>Indianapolis, IN 46204 | 312-353-0357<br><br>317-226-7272 | Glenn Dunlap, Director<br>Indianapolis Regional<br>Small Business Development<br>Center<br>342 North Senate Avenue<br>Indianapolis, IN 46204                          | 317-261-3030                               |
| Kentucky     | Regional Administrator<br>233 Peachtree Street, NE<br>Suite 1800<br>Atlanta, GA 30303<br><br>District Office<br>600 Dr. MLK Jr. Place<br>Louisville, KY 40202                     | 404-331-4943<br><br>502-582-5761 | Becky Naugle, Director<br>University of Kentucky<br>Center for Business Development<br>225 C.M. Gatton Business and<br>Economics Building<br>Lexington, KY 40506-0034 | 606-257-7668                               |

Community Transition Funding, Assistance, and Points of Contact Reference Guide

| State          | SBA Regional/District Offices   | Phone   | State SBDC  | Phone                                      |
|----------------|---|---|---|--|
| Nevada         | <p>Regional Administrator<br/>455 Market Street, Suite 2200<br/>San Francisco, CA 94105</p> <p>District Office<br/>300 Las Vegas Blvd. South<br/>Suite 1100<br/>Las Vegas, NV 89101</p>   | <p>415-744-2118</p> <p>702-388-6611</p>                     | <p>Sam Males, Director<br/>University of Nevada Reno<br/>Nevada Small Business<br/>Development Center<br/>College of Business<br/>Administration/032<br/>Reno, NV 89557-0100</p>  | 702-784-1717                               |
| New Mexico     | <p>Regional Administrator<br/>4300 Amon Carter Boulevard<br/>Suite 108<br/>Ft. Worth, TX 76155</p> <p>District Office<br/>625 Silver SW, Suite 320<br/>Albuquerque, NM 87102</p>  | <p>817-684-5581</p> <p>505-346-7909</p>                     | <p>J. Roy Miller, Director<br/>Santa Fe Community College<br/>New Mexico Small Business<br/>Development Center<br/>6401 Richards Avenue<br/>Santa Fe, NM 87505</p>                | 800-281-SBDC<br>In Nevada-<br>505-428-1362 |
| Ohio           | <p>Regional Administrator<br/>500 West Madison Street,<br/>Suite 1240<br/>Chicago, IL 60661</p> <p>Cleveland District Office<br/>1111 Superior Ave.<br/>Suite 630<br/>Cleveland, OH 44114-2507</p> <p>Columbus District Office<br/>2 Nationwide Plaza, Suite 400<br/>Columbus, OH 43215</p> | <p>312-353-0357</p> <p>216-522-4180</p> <p>614-469-6860</p> | <p>Holly I. Schick, Director<br/>Department of Development<br/>Ohio Small Business Development<br/>Center<br/>77 South High Street<br/>28th Floor<br/>Columbus, OH 43215-6108</p> | 614-466-2711                               |
| South Carolina | <p>Regional Administrator<br/>233 Peachtree Street, NE<br/>Suite 1800<br/>Atlanta, GA 30303</p> <p>District Office<br/>1835 Assembly Street, Rm 358<br/>Columbia, SC 29201</p>  | <p>404-331-4943</p> <p>803-765-5377</p>                     | <p>John Lenti, Director<br/>University of South Carolina<br/>College of Business Administration<br/>Hipp Building<br/>1710 College Street<br/>Columbia, SC 29208</p>              | 803-777-4907                               |
| Tennessee      | <p>Regional Administrator<br/>233 Peachtree Street, NE<br/>Suite 1800<br/>Atlanta, GA 30303</p> <p>District Office<br/>#50 Vantage Way, Suite 201<br/>Nashville, TN 37228</p>   | <p>404-331-4943</p> <p>615-736-5881</p>                     | <p>Kenneth Burns, Director<br/>University of Memphis<br/>Tennessee Small Business<br/>Development Center<br/>Building #1<br/>Memphis, TN 38152-0001</p>                           | 901-678-2500                               |

Community Transition Funding, Assistance, and Points of Contact Reference Guide

| State      | SBA Regional/District Offices  | Phone  | State SBDC   | Phone        |
|------------|--|--|--|--------------|
| Washington | Regional Administrator<br>Park Place Building<br>1200 6th Ave., Suite 1805<br>Seattle, WA 98101<br><br>District Office<br>1200 6th Avenue, Suite 1700<br>Seattle, WA 98101 | 206-553-5676<br><br><br><br><br>206-553-7310 | Carolyn Clark, Director<br>Washington State University<br>Washington State Small Business<br>Development Center<br>501 Johnson Tower<br>Pullman, WA 99164-4851 | 509-335-1576 |

## **Key Federal Government Contacts for Tribal Government Matters**

This list is intended to provide a central location for federal resources available to tribes. It does not contain every federal resource available to tribes and should not be relied upon as sole contact information for government agencies.

### **U.S. DEPARTMENT OF AGRICULTURE, PROGRAMS FOR AMERICAN INDIANS**

#### *Types of Assistance*

The U.S. Department of Agriculture (USDA) has reached out to inform American Indians and Alaska Natives about USDA programs and services available to them; to deliver programs more effectively to Indian tribes, and to initiate new programs in response to the needs of Indian tribes.

#### *Contact Information*

For information concerning the USDA Programs for American Indians, contact the program office at (202) 720-3805 or visit the website at [www.usda.gov/news/pubs/indians/open.htm](http://www.usda.gov/news/pubs/indians/open.htm).

### **U.S. DEPARTMENT OF COMMERCE, MINORITY BUSINESS DEVELOPMENT AGENCY**

#### *Types of Assistance*

The Minority Business Development Agency (MBDA) was created to encourage the creation, growth and expansion of minority-owned businesses in the United States.

#### *Contact Information*

For information concerning the MBDA, contact the program office at (202) 482-2366 or visit the website at [www.mbda.gov/](http://www.mbda.gov/).

### **U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES, ADMINISTRATION FOR NATIVE AMERICANS**

#### *Types of Assistance*

The Administration of Native Americans (ANA) works to strengthen tribal governments through building tribal capacity to identify, plan, develop, and implement environmental programs in a manner that is consistent with tribal culture.

#### *Contact Information*

For information concerning the ANA, contact the program office at (202) 609-7776 or visit the website at [www.dhhs.gov](http://www.dhhs.gov)

## **U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT, OFFICE OF NATIVE AMERICAN PROGRAMS**

### ***Types of Assistance***

The Title VI Tribal Housing Activities Loan Guarantee Program provides loan guarantees for Indian Housing Block grant recipients who need additional funds to engage in affordable housing activities but are unable to borrow from other sources without the guarantee of payment by the Federal Government.

### ***Contact Information***

For information concerning the Office of Native American Programs, contact the program office at (202) 401-7914 or visit the website at [www.hud.gov/pih/programs/na/na.html](http://www.hud.gov/pih/programs/na/na.html)

## **U.S. DEPARTMENT OF THE INTERIOR, BUREAU OF INDIAN AFFAIRS**

### ***Types of Assistance***

The Bureau of Indian Affairs' mission is to enhance the quality of life, promote economic opportunity, and to protect and improve the trust assets of American Indians, Indian tribes and Alaska Natives.

### ***Contact Information***

For more information concerning the Bureau of Indian Affairs, contact the main office at (202) 208-3567 or visit the website at [www.doi.gov/bureau-indian-affairs.html](http://www.doi.gov/bureau-indian-affairs.html)

## **U.S. DEPARTMENT OF JUSTICE, OFFICE OF TRIBAL JUSTICE (OTJ), AND THE AMERICAN INDIAN AND ALASKA NATIVE AFFAIRS DESK (AI/AN)**

### ***Types of Assistance***

The Office of Tribal Justice (OTJ) coordinates tribal issues for the Department of Justice. Intended to increase the responsiveness of the Department to Indian tribes and American Indian citizens, the OTJ represents the Department in its dealings with Indian tribes, Federal Agencies, Congress, state, and public interest groups.

The American Indian and Alaska Native (AI/AN) Affairs Desk has been established in the Office of Justice Programs (OJP) within the U.S. Department of Justice to enhance access to information by federally-recognized American Indian and Alaska Native tribes regarding funding opportunities, training and technical assistance, and other relevant information. Additionally, the AI/AN Affairs Desk coordinates with the OTJ on department-wide AI/AN initiatives.

### ***Contact Information***

For information concerning the OTJ contact the program office at (202) 514-8812. For information concerning the AI/AN Affairs Desk, contact the program office at (202) 616-3205 or visit the website at <http://www.ojp.usdoj.gov/aian>.

## **U.S. DEPARTMENT OF LABOR,** **DIVISION OF INDIAN AND NATIVE AMERICAN PROGRAMS**

### *Types of Assistance*

The Division of Indian and Native American Programs (DINAP) administers the Job Training Partnership Act, Section 401 to help Indian and Native American grantees.

### *Contact Information*

For information concerning the DINAP, contact the program office at (202) 219-8502 or (800) 452-2961 or visit the website at [www.wdsc.org/dinap](http://www.wdsc.org/dinap).

## **U.S. ENVIRONMENTAL PROTECTION AGENCY,** **AMERICAN INDIAN ENVIRONMENTAL OFFICE**

### *Types of Assistance*

The American Indian Environmental Office coordinates the Agency-wide effort to strengthen public health and environmental protection in Indian Country, with special emphasis on building the ability of tribes to administer their own environmental programs.

### *Contact Information*

For information concerning the American Indian Environmental Office, contact the program office at (202) 260-7939 or visit the website at [www.epa.gov/indian](http://www.epa.gov/indian).