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## Special Programs

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To access the transmittal page click on the short reference.

**For All FSA Offices Except  
APFO and KCCO**

SHORT REFERENCE

**1-SP  
(Revision 1)**



UNITED STATES DEPARTMENT OF AGRICULTURE

Farm Service Agency  
Washington, DC 20250

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**Special Programs**  
**1-SP (Revision 1)**

**Amendment 3**

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**Approved by:** Deputy Administrator, Farm Programs



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**Amendment Transmittal**

**A Reasons for Amendment**

Subparagraph 26 E is added to provide that the color for TAA file folders is blue.

Subparagraph 29 A has been amended to provide that applicants for TAA for Farmers may use FSA-211. This policy change has been reviewed by OGC.

Subparagraph 35 A has been amended to provide monthly deadlines for submitting reimbursement requests to OBF.

Subparagraph 51:

- A, has been amended to clarify that:
  - producers shall submit FSA-229-1 only once in their control County Office
  - fishermen of ocean species shall apply in the Service Center where their eligibility is established, and that is usually where the business is located or where the producer is domiciled.
- B, has been amended to provide that:
  - husbands and wives may apply by submitting FSA-229-1 separately and are considered to both be at risk
  - corporations, LLC's, and trusts are limited to 1 application
  - individuals may authorize non-family members to attend required training
- C, has been added to clarify policy about the eligibility of spouses who apply as individuals.

## Amendment Transmittal (Continued)

### A Reasons for Amendment (Continued)

Subparagraph 52:

- A, has been amended to:
  - provide that eligibility under Options 1, 2, or 3 may be established by certification or documentation, as applicable to the chosen Option
  - remove reference to the \$750,000 adjusted gross farm income limit that does not apply to TAA for Farmers
  - include use of CCC-902 when applicable
- E, has been amended to:
  - remove the requirement for documentation to be submitted at the time of application under Options 1 and 2
  - provide that Option 2 price information may be that of the producer or of other producers as documented for the County, State, or region
  - provide that under Option 3 only USDA prices may be used, but that the prices are not limited to county prices and may be prices of States or regions
- F, has been amended to:
  - remove the requirement for documentation at the time of application and to clarify the reference to Options 2 and 3 in subparagraphs 52 H and I
  - provide that documentation of eligibility may be requested if selected for spot check
- G, has been amended to clarify policy that a producer not meeting the requirements of Option 1 may still establish eligibility under either Option 2 or 3
- H, has been amended to:
  - remove the requirement for documentation at the time of application, and to clarify that prices used may be those of the individual applicant
  - include that FAS may provide group approval based on State or regional prices that are either USDA prices or prices from verifiable market or third-party sources
- I, has been amended to delete reference to county prices because the USDA prices used may also be for a State or region and are not limited to county prices.

## Amendment Transmittal (Continued)

### A Reasons for Amendment (Continued)

Subparagraph 53:

- A, has been amended to provide a table of certification/documentation requirements under Options 1, 2, and 3 and to reference a new Exhibit 4 that provides weight conversion factors for shrimp and bait shrimp if needed
- C, has been amended to provide clarification for certifying prices under Option 2
- D, has been amended to reflect that producers may certify eligibility under Options 1 and 2 and are not obligated to submit documentation

Subparagraph 55 A has been amended to clarify that members of joint ventures or partnerships, in applying as individuals for TAA for Farmers, may submit CCC-902 for 2009 and subsequent crop commodities.

Subparagraph 56 A has been amended to provide clarification for certifications under Options 1 and 2.

Subparagraph 57:

- A, has been amended to provide clarification on producer certifications under Options 1 and 2
- B, has been amended to:
  - provide that producers may certify to Options 1 and 2 and that if they do certify, then entries for Items 11E and F, or entries 11G and H would be optional
  - expand Option 3 eligibility instructions
  - clarify that:
    - individual applicants are considered the primary training attendee and may optionally name an alternate (secondary) to attend
    - entities and corporations must identify the person attending (the primary or the attendee) but are also afforded the option of identifying an alternate (secondary) to attend training
- C, has been amended to provide instructions for producers who self-certify or for situations where FAS provides group approval for Options 1, 2, and 3
- D, has been amended to include the revised FSA-229-1, which provides that individuals may name 1 alternate, but that entities must enter the name of 1 attendee and may identify an alternate.

**Amendment Transmittal (Continued)**

**A Reasons for Amendment (Continued)**

Subparagraph 73 D has been amended to provide for applicant certifications.

Subparagraph 76 E has been amended to provide instructions for completing TAA applications that correspond to the changes made to FSA-229-1, item 13.

Exhibit 4 has been added to provide the commodity conversion factors.

Exhibit 6 has been amended to correct the petition certification and application period dates and clarify that under the:

- shrimp petition, wild and pond raised shrimp and prawns are eligible but rock shrimp, langoustine or spiny lobster are not
- catfish petition, fry and fingerlings are eligible.

<b>Page Control Chart</b>		
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**Part 1 General Provisions**

**1 Overview**

**A Purpose**

This handbook provides the following:

- State and County Offices with policy and instructions for special programs administered by PSD
- policy and procedure for the TAA for Farmers Program.

Instructions for other programs will be added as needed.

**B Source of Authority**

The source of authority for TAA for Farmers is the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5), that reauthorized and modified provisions in the Trade Act of 2002 (Pub. L. 107-210), that amended the Trade Act of 1974. The American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) directs the Secretary of Agriculture to administer a program of business-plan education and cash payments.

**C Program Regulations**

Regulations for TAA for Farmers are established at 7 CFR Part 1580.

**2-15 (Reserved)**



**Part 1 Trade Adjustment Assistance (TAA) for Farmers Program****Section 1 General Provisions and Responsibilities [7 CFR Part 1580]****16 General Provisions****A Purpose**

This part provides State and County Offices with policy and procedures for administering the TAA for Farmers Program.

**B TAA for Farmers Funding**

The statute authorizes an appropriation of not more than \$90 million per FY for 2009 and 2010 FY's, and \$22.5 million for the period beginning October 1, 2010, and ending December 31, 2010.

Appropriated funds will be used for various costs of administering TAA for Farmers, including costs of software development and maintenance, training by instructors under contract, and staffing costs of FAS, FSA, ERS, and NIFA.

**C Program Availability**

Any group of agricultural commodity producers may petition the FAS Administrator for a determination of eligibility for TAA for Farmers benefits.

After FAS-930 has been certified (approved for benefits) for a commodity, individual producers of the commodity may apply at their local County Office for cash benefits. Producers who otherwise meet the production or price requirements for benefit eligibility are:

- eligible for educational assistance (business-plan training) even if they cannot receive cash payments because of payment limitation
- ineligible for educational assistance if they exceed AGI limits for the program year
- \*--see subparagraph 73 C for reasons that FSA-229-1's or payments may be disapproved.--\*

16 General Provisions (Continued)

**D Related Handbooks**

Handbooks related to TAA for Farmers include:

- 1-CM for signatures; estates, trusts, or minors; controlled substance violations, and fraud provisions
- 61-FI for prompt payment provisions
- \*--1-PL and 4-PL for payment limitations and AGI--\*
- 3-PL for web-based subsidiary files
- 6-CP for HELC/WC.

**E Related TAA for Farmers Web Sites**

The following web sites provide information used to administer TAA for Farmers.

Web Site Content	Web Address
eForms	<a href="http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home">http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home</a>
<ul style="list-style-type: none"> <li>• General TAA for Farmers information.</li> <li>• Numbers for certified petitions.</li> </ul>	<a href="http://www.fas.usda.gov/itp/taa/taa.asp">www.fas.usda.gov/itp/taa/taa.asp</a>
TAA for Farmers regulations.	<a href="http://www.gpoaccess.gov/ecfr">www.gpoaccess.gov/ecfr</a> , using the “Browse” drop-down menu, CLICK “Title 7 - Agriculture”, under “Browse Parts”, CLICK “1500-1599”, and CLICK “1580”.
U.S. Court of International Trade	<a href="http://www.cit.uscourts.gov">www.cit.uscourts.gov</a>
HTS	<a href="http://www.usitc.gov/tata/hts/bychapter/index.htm">www.usitc.gov/tata/hts/bychapter/index.htm</a>
FSA-maintained county prices.	<a href="http://fsaintranet.sc.egov.usda.gov/fsa/FSAIntranet_applications.html">http://fsaintranet.sc.egov.usda.gov/fsa/FSAIntranet_applications.html</a> ; under Production Adjustment & Disaster Programs, CLICK “NCT - National Crop Table (year as applicable)”  <b>Note:</b> eAuthentication user ID and password are <b>required</b> to access national crop tables.
CFFM training dates and locations.	<a href="http://www.taaforfarmers.org">www.taaforfarmers.org</a>

17 Agency Responsibilities

A Responsibilities

The following table lists agency responsibilities for TAA for Farmers.

Agency	Responsibility
CFFM	Oversees technical education to each producer of an approved FAS-930 who submits FSA-229-1. Educators will be under contract with CFFM.
ERS	Conducts a market study and economic analysis of each filed FAS-930 to determine whether or not increases in imports contributed importantly to declining prices, cash receipts, or production.
FAS	<p>Has overall management responsibility for TAA for Farmers, including program regulations and appeals. Receives, analyzes, and reviews FAS-930's and determines and announces commodity eligibility for TAA for Farmers benefits.</p> <p>Provides all benefit or eligibility disapproval decisions. Accepts and remediates appeals of all disapproval actions.</p> <p>Assists potential petitioners to complete FAS-930.</p>
FSA	<p>According to FAS policy, implements TAA for Farmers by:</p> <ul style="list-style-type: none"> <li>• assisting producers to complete and submit FSA-229-1's</li> <li>• providing outreach service to petitioners and producers by providing program information and services, including possible mailing of written notices of TAA for Farmers benefits to producers believed covered by a certified FAS-930</li> <li>• entering FSA-229-1's into TAA for Farmers Excel spreadsheet or web-based software, as applicable; payment disbursement; and payment servicing, including reporting to IRS.</li> </ul>

**18 STC and County Office Responsibilities and CCC-770 TAAF's**

**A STC Responsibility**

STC's shall supervise and monitor TAA for Farmers to ensure that policies and procedures in this handbook are being uniformly followed by County Offices.

**B COC Responsibility**

COC's shall:

- inform potential petitioners of the commodity approval process, if requested
- administer TAA for Farmers at the county level under STC supervision
- inform TAA for Farmers applicants about benefits and eligibility requirements
- approve FSA-229-1's (all disapprovals will be made by FAS)
- refer to FAS, FSA-229-1's, business plans, and payments that cannot be approved by FSA.

Responsibilities are listed in detail in CCC-770 TAAF (subparagraph 34 C).

**Note:** COC may delegate the authority to approve FSA-229-1's to CED or designee. \* \* \*

**19-25 (Reserved)**

**Section 2 Administrative Provisions**

**26 General TAA for Farmers Program Provisions**

**A Commodity Eligibility [7 CFR 1580.203]**

Before producers can submit FSA-229-1's, a commodity must be determined as eligible under TAA for Farmers. See paragraph 41 for commodity eligibility requirements.

**B Producer Eligibility Requirements**

See paragraph 52 for a summary of producer eligibility requirements.

**C Reimbursing Authorized Travel**

See paragraph 74 for requesting reimbursement for travel expenses.

**D Assigning Payments [7 CFR Part 1404 and 1580.303(b)]**

TAA for Farmers payments are assignable according to 63-FI.

**\*--E Color Code for Folders**

The color code for TAA folders is blue, according to 25-AS.--\*

**26 General TAA for Farmers Program Provisions (Continued)****E Cash Payment Levels and Potential for Reduction**

Producers of certified commodities are eligible for a cash payment of up to \$4,000 for completing an approved initial business plan and an additional \$8,000 for completing an approved long-term business plan.

Payments for business plans may be reduced if total payment obligations, after expenditures for program administrative expenses, training, software, and applicant travel reimbursements, exceed available funds.

**Example:** If out of the \$90 million made available for TAA for Farmers for FY 2010, \$80 million is available after administrative expenses, the \$80 million would be sufficient to pay the maximum \$12,000 TAA for Farmers payment for business plans (subparagraph 27 A) to 6,666 applicants. However, if there are 25,000 applicants, the maximum payment to any 1 applicant for completing both initial and long-term business plans would be reduced to approximately \$3,200.

Any payment reductions under TAA for Farmers will be announced by press release as soon as possible following decisions about payment reductions.

**27 Payment Limitations [7 CFR 1580.301(e) and 1580.302(j)]****A Two Payment Limitations**

TAA for Farmers payments for FSA-232's and business plans are applicable to the counter-cyclical:

- payment limitation of \$65,000 per crop year for 2008-crop commodities
- and ACRE-option payment limitation of \$65,000 per crop year for 2009 and subsequent crop commodities.

TAA for Farmers payments for business plans **cannot** exceed \$12,000 within any 36-month period following FAS-930 certification. FSA-232 amounts do **not** count toward the \$12,000 payment limitation.

**Note:** Producers who meet the production or price requirements for TAA for Farmers benefit eligibility, but who are ineligible for cash payments because of payment limitation are eligible for educational assistance (business-plan training).

**B Payment Limitation Calculations**

Payment limitations are applied by program software. County Offices do **not** calculate any payment reductions resulting from the limitations.

**Note:** For FSA-229-1's submitted before web-based software is functional (and the Excel spreadsheet is being used) the applicant's remaining payment limit is manually determined and entered into the Excel spreadsheet.

**27 Payment Limitations [7 CFR 1580.301(e) and 1580.302(j)]****A Two Payment Limitations**

TAA for Farmers payments for FSA-232's and business plans are applicable to the counter-cyclical:

- payment limitation of \$65,000 per crop year for 2008-crop commodities
- and ACRE-option payment limitation of \$65,000 per crop year for 2009 and subsequent crop commodities.

TAA for Farmers payments for business plans **cannot** exceed \$12,000 within any 36-month period following FAS-930 certification. FSA-232 amounts do **not** count toward the \$12,000 \*--36-month limit, but do count toward the \$65,000 payment limitation.--\*

**Note:** Producers who meet the production or price requirements for TAA for Farmers benefit eligibility, but who are ineligible for cash payments because of payment limitation are eligible for educational assistance (business-plan training).

**B Payment Limitation Calculations**

Payment limitations are applied by program software. County Offices do **not** calculate any payment reductions resulting from the limitations.

**Note:** For FSA-229-1's submitted before web-based software is functional (and the Excel spreadsheet is being used) the applicant's remaining payment limit is manually determined and entered into the Excel spreadsheet.

28 TAA for Farmers Program Outreach to Producers (Continued)

B Example of FSA-230

State Offices, or County offices at the direction of the State Office, shall mail FSA-230 to producers thought to be eligible for TAA for Farmers training and payments under any certified FAS-930's.



United States  
Department of  
Agriculture

Farm and Foreign  
Agricultural  
Services

[Date]

Farm  
Service  
Agency

[Replace text here  
with your  
State/county  
name or  
organizational  
entity;  
mail stop code  
or room number,  
as applicable;  
full mailing  
address (street,  
city, State, ZIP)]

Dear \_\_\_\_\_ [Name] \_\_\_\_\_ :

Educational benefits and payments under the Trade Adjustment Assistance (TAA) for Farmers Program have been approved for applicants who produced \_\_\_\_\_ [Commodity] \_\_\_\_\_ in \_\_\_\_\_ [State] \_\_\_\_\_ during \_\_\_\_\_ [Marketing Year] \_\_\_\_\_. The petition for \_\_\_\_\_ [Commodity] \_\_\_\_\_ was filed \_\_\_\_\_ [Filing Date] \_\_\_\_\_ and was certified \_\_\_\_\_ [Petition Certification Date] \_\_\_\_\_. Producers who qualify attend an initial training session for orientation to TAAF, and then subsequently are provided more intensive education to produce an initial and then a long-term business plan to improve their competitiveness with the approved commodity or another commodity. Participants are eligible for a cash payment of up to \$4,000 for completing an approved initial business plan, and up to an additional \$8,000 for completing an approved long-term business plan. Plans must be completed with 36 months after the petition is certified. The business plan payments may be reduced based on the level of program participation and available funds.

To be eligible, a producer must: 1) have produced the commodity during the specific marketing year for which the commodity was determined eligible and at least one of the 3 marketing years preceding that year; and 2) answer "yes" to one of the following questions: a) did the applicant produce less of the commodity during the marketing year for which the petition is approved than during the most recent marketing year preceding the petition marketing year; b) did the applicant receive a lower price for production from the petition marketing year compared to the average price received from the production from the prior three-years; or c) is the USDA-maintained county price on the petition filing date less than the average USDA-maintained county price for the prior three marketing years?

Information and application forms for the TAAF Program are available at your County FSA Office. The 90-day application period, **during which the application form FSA-229-1 (Trade Adjustment Assistance (TAA) for Farmers Program Application) and production evidence must be submitted**, is from \_\_\_\_\_ [Start Date] \_\_\_\_\_ to \_\_\_\_\_ [Ending Date] \_\_\_\_\_ .

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An Equal Opportunity Provider and Employer

28 TAA for Farmers Program Outreach to Producers (Continued)

B Example of FSA-230 (Continued)

Additional information on TAAF is available at local FSA offices, on FSA's web site at: [www.fsa.usda.gov](http://www.fsa.usda.gov), and on FAS's Web site at: [www.fas.usda.gov](http://www.fas.usda.gov). A fact sheet on the program is available at <http://www.fsa.usda.gov/pas/publications/facts/html/htm>

Please contact your local FSA office if you have any questions regarding the TAAF program.

Sincerely,

---

Washington Executive Director

FSA-230 (01-13-10)

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**29 Prompt Payments and Powers of Attorney**

**A Prompt Payment Interest**

TAA for Farmers payments are **not** subject to prompt payment interest.

**B Acceptable Powers of Attorney**

\*--Applicants for TAA for Farmers may use FSA-211. The applicant shall enter "TAA for Farmers" in item A-17, "Other".--\*

**30 Appeals and Corrections****A TAA for Farmers Program Determination Appeal Policy [7 CFR 1580.505]**

Applicants who are disapproved by FAS for TAA for Farmers benefits are informed of their rights for judicial review in FAS-931 (subparagraph 75 C) from FAS.

Appeal regulations used by FSA for other programs (7 CFR Part 780) do **not** provide NAD or STC jurisdiction over TAA for Farmers because FSA will **not** make any adverse TAA for Farmers determinations. FSA will not disapprove FSA-229-1's. Any FSA-229-1's that FSA cannot approve will be referred to FAS for disapproval.

**B Delivery Instructions for Sending Disapproved FSA-229-1's**

If disapproval is appealed by the applicant, COC may be asked to submit the original FSA-229-1 to FAS. If FSA-229-1 is requested by FAS, COC shall:

- copy the original FSA-229-1 and retain the **copy** in the file
- send the original FSA-229-1 to FAS
- send **any requested documentation**.

Requested copies shall be sent to the following address using commercial delivery service:

Attention: Pete Burr  
USDA, Foreign Agricultural Service  
1250 Maryland Ave SW Suite 400  
Washington DC 20024  
Telephone: 202-720-3274.

**30 Appeals and Corrections (Continued)****C Applicant Appeal Procedure**

An applicant may appeal any adverse FAS determination, **except** for the following:

- any general program provision or policy or any statutory or regulatory requirement that applies to similarly situated applicants
- disapprovals or denials because of a lack of funding.

An appeal may be filed by the applicant within 30 calendar days of the date of the adverse determination letter. The appeal letter should be mailed to:

DEPUTY ADMINISTRATOR, OFFICE OF TRADE PROGRAMS  
1250 MARYLAND AVE SW  
WASHINGTON DC 20024.

Additional information about the appeal process can be obtained by calling TAA for Farmers staff at 202-720-0638.

To appeal, the applicant **must**:

- prepare an appeal letter that includes the following:
  - applicant name, address, telephone number, and e-mail address
  - statement advising why the FAS determination is in error
  - the date, next to applicant's **original** signature
- mail the appeal letter using USPS by certified mail (return receipt requested); USPS postmark on the appeal letter will be used to determine whether the appeal letter was received by the 30-calendar-day deadline for filing appeal letters.

FAS will inform applicants whether their appeal is approved or denied and the following:

- identify the records that were reviewed
- cite the statutory and regulatory language supporting the determination
- provide instructions for filing an appeal with the U.S. Court of International Trade if a negative determination
- include the date that the determination was rendered and original signature of the Deputy Administrator, FAS, or designee.

## 30 Appeals and Corrections (Continued)

### C Applicant Appeal Procedure (Continued)

If FAS disapproves an appeal, the producer may request seeking a judicial review of the FAS disapproval within 60 calendar days of the determination by mailing a letter of complaint by USPS certified mail (return receipt requested) to:

Clerk's Office  
 U.S. Court of International Trade  
 One Federal Plaza  
 New York NY 10278-0001  
 telephone: 212-264-1611.

To seek judicial review, the appellant **must** prepare a letter that includes the following:

- producer name, address, and telephone number
- statement affirming a desire to appeal and why the decision by FAS is in error
- the industry and time period under which the appellant is claiming benefits
- copies of any decision or denial letter sent to the appellant by USDA
- the date, next to the appellant's original signature
- check made payable to "Clerk of the Court" for the required filing fee of \$25.

When filing an action with the U.S. Court of International Trade, an individual may act *pro se*, that is, on one's own behalf **without** the assistance of counsel. However, the U.S. Court of International Trade encourages petitioners to be represented by counsel. USDA is represented by DOJ.

**Note:** Any attorney that wants to file documents with or otherwise practice before the U.S. Court of International Trade **must** first be admitted to practice before the U.S. Court of International Trade.

If a petitioner is unable to afford counsel, he/she may make a motion for court appointed counsel. If, after filing an action, a petitioner makes a motion for court appointed counsel and that motion is granted by the U.S. Court of International Trade, an attorney will be appointed to represent the petitioner at no cost to the petitioner.

### D Correcting Misactions/Misinformation

FSA errors that occur when administering TAA for Farmers, commonly referred to as misaction/misinformation, may be corrected at the direction of CED or STC **without** using the appeals process. See 7-CP if FSA deprived an otherwise eligible producer of benefits because of any of the following:

- errors
- misaction
- misinformation
- omissions.

**31 Finality Rule, Equitable Relief, and IRS Reporting**

**A Finality Rule and Equitable Relief**

Trade Act of 1974, Chapter 6, Section 297 provides authority for:

- collecting overpayments that occur under TAA for Farmers
- considering equitable relief and good conscience in recovering overpayments.

The finality rule and equitable relief provisions, as provided by 7-CP, apply to TAA for Farmers. Regulations governing administering the finality rule and equitable relief are located in 7 CFR Part 718, Subpart D.

**B Overpayments and Collections**

Any erroneous overpayments to TAA for Farmers applicants are subject to collection.

**C Reporting Payments to IRS**

TAA for Farmers payments shall be reported to IRS for Federal tax assessment purposes.

**32 Requesting Overpayment Refunds**

**A Refund Policy**

Any request for a refund of overpayments is considered a “negative determination” and will be made by FAS. This policy is consistent with policy that any FSA-229-1 disapproval **must** be made by FAS and **not** FSA.

**B Submitting FAS-932's**

All requests for refunds of TAA for Farmers payments, regardless of the reason, shall be made using FAS-932, with the County Office completing the entries for:

- date
- name and address
- amount of refund
- TAA for Farmers Program year, State, and commodity
- reason for overpayment.

32 Requesting Overpayment Refunds (Continued)

C Example FAS-932

The following is an example FAS-932.

 <p><b>United States Department of Agriculture</b></p> <p>Farm and Foreign Agricultural Services</p> <p>Foreign Agricultural Service</p> <p>International Trade Policy</p> <p>Import Policies and Export Reporting Division</p> <p>1400 Independence Avenue, S.W. AgStop 1021 Washington, DC 20250-1021</p>	<p style="text-align: right;">[FAS Date]</p> <p>[NAME] [ADDRESS] [ADDRESS]</p> <p>Dear [Applicant's Name]:</p> <p>Our records indicate that you have been overpaid \$[Amount] under the Trade Adjustment Assistance for Farmers (TAAF) Program for [Enter year] [Enter State] [Enter commodity].</p> <p>This overpayment occurred because [Enter reason] [continued reason]</p> <p>Please remit this amount by check payable to "CCC" at the Farm Service Agency Office where you applied for payment. Interest will begin 30 calendar days from the date of this letter. During these 30 calendar days you may request to inspect the records associated with your payments and how your payment was computed.</p> <p>You may appeal this decision to the Foreign Agricultural Service within 60 days of the date of this letter. Any appeal you submit should explain why our original disapproval is in error, and include any circumstances or relevant information supporting your appeal.</p> <p>If our review of your appeal results in a denial of your request, you may request a judicial review of our final determination by contacting the United States Court of International Trade, One Federal Plaza, New York, New York 10278-0001. The Office of the Clerk of the Court can provide instructions for requesting a judicial review. The Clerk of the Court can be reached at (212) 264-2800 or you can visit the Court's website <a href="http://www.cit.uscourts.gov">http://www.cit.uscourts.gov</a> (select "Trade Adjustment Assistance - Judicial Review".)</p> <p>Appeals to the Court must be filed within 60 days from the date of our final determination to you. Prior to contacting the Court of International Trade, you may wish to contact your local FSA county office if you have questions about this disapproval of benefits.</p> <p>Sincerely,</p> <p style="text-align: center;"><i>Elizabeth Berry</i></p> <p>Elizabeth Berry Director Import Policies and Export Reporting Division Foreign Agriculture Service</p> <p><b>FAS-932</b> (12-04-09)</p> <p style="text-align: right; font-size: small;">USDA is an Equal Opportunity Employer</p>
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**33 Offset Authorization**

**A Offsetting TAA for Farmers Payments**

TAA for Farmers payments may be offset according to policy and priority provisions of 58-FI, Part 6, Section 1.

**B Offset Agencies**

Offsets are authorized for amounts owed to FSA, CCC, IRS, and other Federal agencies.

**34 CCC-770 TAAF's and CCC-770 ELIG 2008's**

**A Applicability**

CCC-770 TAAF's and CCC-770 ELIG 2008's shall be considered a management tool to help address deficiencies identified by a review or spot check of whether program policies or procedures are being followed.

**B Actions**

SED, STC or designee, DD, or CED shall determine when County Offices are to complete CCC-770 TAAF and CCC-770 ELIG 2008, if apparent internal control deficiencies are found during CED, STC representative, or DD reviews.

34 CCC-770 TAAF's and CCC-770 ELIG 2008's (Continued)

C CCC-770 TAAF Instructions

Item	Instructions
1	Enter producer's name.
2	Enter FSA-229-1, item 2.
3	CED or designee indicates whether producer was provided 1 or more outreach materials.
4A	CED or designee indicates whether the producer submitted the indicated forms or documentation by the application deadline.
4B	CED or designee indicates whether the producer submitted the indicated forms before any payment was disbursed.
5A, B	<p>CED or designee certifies the following:</p> <ul style="list-style-type: none"> <li>• whether FSA-229-1 was entered into the TAA for Farmers Excel spreadsheet or web-based software, as applicable</li> <li>• whether FSA-229-1 status correctly set to "Approved" if payments were disbursed.</li> </ul>
5C	<p>For any submitted FSA-232:</p> <ul style="list-style-type: none"> <li>• (1) Was the claim amount entered into the TAAF Excel spreadsheet or web-based software, as applicable?</li> <li>• (2) Was any approved claim disbursed?</li> <li>• (3) Was the status set to "Refer to FAS" if FSA-232 not approvable?</li> <li>• (4) For disapproved FSA-232's, was FAS-931 sent to applicant?</li> </ul>
5D	<p>For any producer whose initial business plan is submitted:</p> <ul style="list-style-type: none"> <li>• (1) and plan is recommended for approval, is status set to "Approved" and payment disbursed?</li> <li>• (2) and plan is not recommended for approval, is status set to "Refer to FAS"?</li> <li>• (3) was FAS-931 sent to producer following disapproval by FAS?</li> </ul>
5E	<p>For any producer whose long-term business plan is submitted:</p> <ul style="list-style-type: none"> <li>• (1) and plan is recommended for approval, is status set to "Approved" and payment disbursed?</li> <li>• (2) and plan is not recommended for approval, is status set to "Refer to FAS"?</li> <li>• (3) was FAS-931 sent to producer following disapproval by FAS?</li> </ul>
6A, B	Preparer signs in 6A and enters date of signature in 6B.
7A-C	CED indicates concurrence decision in 7A, then signs in 7B, and enters date of signature in 7C.
8A-C	DD indicates concurrence decision in 8A, then signs in 8B, and enters date of signature in 8C.

34 CCC-770 TAAF's and CCC-770 ELIG 2008's (Continued)

D Example of CCC-770 TAAF

The following is an example CCC-770 TAAF.

<p><b>This form is available electronically.</b></p> <p><b>CCC-770 TAAF</b> (05-26-10)</p> <p><b>TRADE ADJUSTMENT ASSISTANCE FOR FARMERS APPLICATION CHECKLIST</b></p>		<p>U.S. DEPARTMENT OF AGRICULTURE Commodity Credit Corporation</p>		<p>1. Producer's Name</p>		
				<p>2. Application Number</p>		
<p><b>Eligibility Item Required</b></p>			<p><b>Handbook or Other Applicable References</b></p>	<p><b>YES</b></p>	<p><b>NO</b></p>	<p><b>N/A</b></p>
<p><b>3. County Office Actions Before Application is Submitted:</b></p>						
<p>A. Inform applicant of application requirements and submission deadlines. Provide FSA-229-1 and either Factsheet or FSA-230 to applicant</p>			<p>1-SP, subparagraph 28A</p>			
<p><b>4. Applicant Actions:</b></p>						
<p>A. Submission of following is required within the 90-day application period:</p>						
<p>(1) Did producer submit completed FSA-229-1 by deadline?</p>			<p>1-SP, subparagraph 56A</p>			
<p>(2) Did producer provide documentation of production or prices used to establish eligibility for TAA benefits?</p>			<p>1-SP, subparagraph 57B</p>			
<p>(3) Did applicant submit the following forms or have them on file from previous applications: AD-1026 CCC-502 for 2008 crop or CCC-902 for 2009 and subsequent crops CCC-526 for 2008 crop or CCC-926 for 2009 and subsequent crops</p>			<p>1-SP, subparagraph 55A</p>			
<p>B. Submission of the following is not required by application deadline but must be submitted before disbursement of any payment:</p>						
<p>(1) SF-1199A or FFAS-12</p>			<p>1-SP, subparagraph 55A</p>			
<p><b>5. County Office Actions After Application (FSA-229-1) is Submitted:</b></p>						
<p>A. FSA-229-1 entered into TAAF application software or Excel.</p>			<p>1-SP, paragraph 76</p>			
<p>B. Application for training set status to:</p>						
<p>(1) "Approved" for applicants meeting all requirements.</p>			<p>1-SP, subparagraph 76B</p>			
<p>(2) "Refer to FAS" for applications that cannot be approved.</p>			<p>1-SP, subparagraph 76B</p>			
<p>C. Travel voucher (FSA-232) :</p>						
<p>(1) Amount claimed entered into software.</p>			<p>1-SP, subparagraph 74A</p>			
<p>(2) Reimbursement status set to "approved" and paid via NPS;</p>			<p>1-SP, subparagraph 74A</p>			
<p>(3) If claim was not approvable, was the reason entered into item 8 of FSA-232 and claim status set to "Refer to FAS".</p>			<p>1-SP, subparagraph 74C</p>			
<p>(4) If reimbursement disapproved by FAS, was FAS-931 sent to Applicant.</p>			<p>1-SP, subparagraph 74C</p>			
<p>D. Initial business plan payment:</p>						
<p>(1) For plans recommended by instructor, payment set to "Approved" and payment processed via NPS.</p>			<p>1-SP, subparagraph 73B</p>			
<p>(2) For plans not recommended by instructor, status set to "Refer to FAS".</p>						
<p>(3) If initial-plan payment disapproved by FAS, was FAS-931 sent to applicant.</p>			<p>1-SP, subparagraph 74D</p>			
<p>E. Final business plan payment:</p>						
<p>(1) For plans recommended by instructor, payment set to "Approved" and payment processed via NPS</p>			<p>1-SP, subparagraph 73B</p>			
<p>(2) For plans not recommended by instructor, status set to "Refer to FAS"</p>						
<p>(3) If final-plan payment disapproved by FAS, was notification letter sent to applicant.</p>			<p>1-SP, subparagraph 74D</p>			
<p><b>Certifications: I (we) the undersigned certify the above items have been verified or updated accordingly.</b></p>						
<p>6A. Signature of Preparer(s)</p>				<p>6B. Date (MM-DD-YYYY)</p>		
<p>7A. I concur/do not concur the above items have been verified or updated accordingly. <input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur</p>				<p>7B. CED Signature for Spotcheck</p>		<p>7C. Date (MM-DD-YYYY)</p>
<p>8A. I concur/do not concur the above items have been verified or updated accordingly. <input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur</p>				<p>8B. DD Signature for Spotcheck</p>		<p>8C. Date (MM-DD-YYYY)</p>
<p><small>The U.S. Department of Agriculture (USDA) prohibits discrimination in all of its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, political beliefs, genetic information, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410, or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). USDA is an equal opportunity provider and employer.</small></p>						

## 35 Administrative Expense Reimbursement

### A Reporting Administrative Expenses

Funds have been apportioned to FSA to reimburse State Offices or County Service Centers for costs of administering TAA for Farmers. Some State and individual counties may experience high levels of program enrollment that stress their existing budgets for travel, postage, delivery, and other miscellaneous expenses.

State Offices can elect to submit claims for TAA for Farmers Program expense reimbursement using the spreadsheet format in subparagraph B.

**Note:** Federal and non-Federal expenses are separately reported.

An Excel version of the spreadsheet in subparagraph B will be sent to States administering TAA for Farmers. Employee's time spent on TAA for Farmers activities are **not** needed on this report; that will be collected from the activity reporting system when they report their time and attendance. Recording and submitting TAA for Farmers expense claims optional at each State Office.

Expense claims are submitted by the State Office to Jeff Beringer, Office of Budget and Finance, by either of the following:

- e-mail to [jeff.beringer@wdc.usda.gov](mailto:jeff.beringer@wdc.usda.gov)
- telephone at 202-720-7205.

\*--Monthly requests for reimbursement of TAA program expenses shall be forwarded to FSA OBF as soon as possible after the end of each month, but no later than the following:

- October 7 for the immediately preceding September expense report
- ten working days after the end of every month for expenses incurred in the months of October through August.--\*

35 Administrative Expense Reimbursement (Continue)

B TAA for Farmers Expense Spreadsheet

The following format shall be used to report TAA for Farmers expenses to the Office of Budget and Finance. The Excel spreadsheet will be provided electronically under separate cover to States administering TAA for Farmers.

Example Monthly Request for Reimbursement of Expenses Incurred to Administer the Trade Adjustment Assistance for Farmers Program (Recovery Act)							
State _____							
For Month of _____							
Organization Code	Travel (BOC 2121)	Fed Exp /UPS (BOC 2240)	Postage (BOC 2352)	Printing (BOC 2412)	Supplies (BOC 2671)	Other Expenses	Identify BOC & Sub-Object for Other Expenses
<b>Fund 87</b>							
XXXXXX	154.85	25.75	0.00	65.75	85.75	625.00	2540 4B
XXXXXX	25.00	15.00	5.00	35.75	75.00	65.00	
XXXXXX	78.50	14.00	100.00	15.00	0.00	128.00	
<b>Subtotal, Fund 87 - County</b>							
	258.35	54.75	105.00	116.50	160.75	818.00	
<b>Fund 84 (Federal)</b>							
XXX84	225.35	68.45	500.00	125.25	85.75	625.00	2540 4B
XXX84	375.00	45.00	78.45	75.00	22.50	16.45	
XXX84	250.00	0.00	85.00	50.00	58.60	35.75	
<b>Subtotal, Fund 84 - Federal</b>							
	850.35	113.45	663.45	250.25	166.85	677.20	

36-40 (Reserved)



**Section 3 Commodity Eligibility and FAS-930 Process****41 Commodity Eligibility [7 CFR 1580.203]****A FAS-930 Submission and Approval Requirements**

Producers or commodity organizations may request a commodity of a specific crop year to be certified as eligible for TAA for Farmers by submitting FAS-930 (paragraph 42). FAS-930's must be submitted within the application period announced by FAS in FR.

Applicants that submit FAS-930, if not an organization, must be 3 or more producers who are not members of the same family.

FAS-930 is available online at <http://forms.sc.egov.usda.gov>. For a commodity to qualify, the FAS Administrator must determine that increased imports of the agricultural commodity seriously affected domestic production or prices. Specifically, the commodity must have experienced a 15 percent decline from the average of the 3 preceding MY's in 1 of the following:

- commodity's national average price
- quantity of production
- value of production
- cash receipts.

## 41 Commodity Eligibility [7 CFR 1580.203] (Continued)

**B Commodity Eligibility Requirements**

To be eligible, a commodity must be in its raw or natural state and identified in HTS, Chapters 1, 3-8, 10, 12, 14, 23, 24, 41, 51, or 52. HTS is available at [www.usitc.gov/tata/hts/bychapter/index.htm](http://www.usitc.gov/tata/hts/bychapter/index.htm); under “Quicklinks”, CLICK “**Harmonized Tariff Schedule**”.

FAS-930’s may be filed for **only** the most recent full MY for which data is available for national average prices, quantity of production, value of production, or cash receipts.

Commodities approved under the TAA Program for the 2002 through 2004 crop years may petition for approval for the most recent crop year for which supporting data is available.

TAA for Farmers benefits are available based on a specific MY or marketing period within a 12-month period for:

- field crops or pond-raised aquaculture, if produced in the approved State
- commodities such as wild-salmon or shrimp, if **marketed in** the approved State.

**42 Petitioning for TAA for Farmers Benefits [7 CFR 1580.201]****A Petition Period**

The FAS Administrator accepts FAS-930's only during a period as announced by notice in FR.

FAS-930's received after the end of the announced petition period will be returned to the sender. If the last day of the petition period falls on a weekend, FAS-930's will be accepted the next workday.

**B Submitting FAS-930's**

COC shall:

- instruct petitioners to submit FAS-930 to FAS according to instructions provided on FAS-930
- **not** accept FAS-930's in the FSA County Office.

To assist petitioners to understand the TAA for Farmers Program and correctly submit FAS-930 on behalf of producers, COC shall advise petitioners to access the web site at [www.fas.usda.gov/itp/taa/taa.asp](http://www.fas.usda.gov/itp/taa/taa.asp) for general information about the TAA for Farmers Program.

**C FAS-930 Receipt and Acceptance [7 CFR 1580.202]**

FAS will:

- review submitted FAS-930's for general appropriateness, accuracy, and timeliness
- return FAS-930's that fail to meet minimum general requirements
- publish notice in FR that:
  - FAS is reviewing an accepted FAS-930's to determine the commodity's eligibility for TAA for Farmers benefits
  - within 10 calendar days of the date of FR notice, producers residing outside of the impacted area identified in FAS-930 may file to become a party to the request for benefits; following these requests, FAS Administrator may:
    - amend the original FAS-930 to expand the impacted area or include other producers
    - establish the request as a separate FAS-930's.

**42 Petitioning for TAA for Farmers Benefits [7 CFR 1580.201] (Continued)****D FAS-930's Review and Certification (Approval) [7 CFR 1580.203]**

ERS conducts a market study of each accepted FAS-930's to:

- verify the decline in producer prices
- assess possible causes, taking account of any special factors that may have affected prices of the commodity in FAS-930.

Based on FAS-930 review by ERS, FAS Administrator may:

- disapprove FAS-930
- certify FAS-930 as approved.

FAS notifies the petitioner of approval or disapproval by notice in FR.

FAS-930 certification date is:

- the earlier of the date of the FR notice or press release by which the FAS Administrator announces a certification of eligibility
- no later than 40 calendar days after FAS-930 acceptance date.

**E Subsequent Year FAS-930's [7 CFR 1580.401]**

The FAS Administrator may recertify FAS-930 based on data provided for the most recent MY by the original petitioner for the commodity.

To have the original FAS-930 recertified, petitioners may submit price information at any time, but no later than 1 year from the certification by FAS of the previous approved FAS-930.

Only eligible producers who did not receive training or payments under the original FAS-930 may apply for benefits under a recertified FAS-930.

\*--Software will handle recertified petitions as new petitions by assigning a new petition number to the recertified petitions.--\*

43 Submitting FAS-930's

A Instructions for Completing FAS-930's

Complete FAS-930 according to the instructions in this table.

Item	Instructions										
1	Enter name of the authorized representative or the primary contact person, if a group FAS-930.										
2	Enter name and business address of the petitioner filing FAS-930 on behalf of a group of producers or the business address of the primary contact in item 1.										
3	Enter telephone number, including area code, at the address identified in item 2.										
4	Enter FAX number, if any, including area code, at the address identified in item 2.										
5	Enter e-mail address, if any, for the representative identified in item 1.										
6	If filing as an association or representative of individual applicants, skip item 6. If filing is made on behalf of named individuals or entities, then enter name, address, telephone number, and e-mail address for a minimum of 3 producers.										
7A	Enter a brief description of the commodity for which this FAS-930 is being filed. The commodity described must be produced and marketed by the petitioners.										
7B	Enter HTS at the appropriate level of specificity, which may be up to 10 digits. HTS numbers may be obtained from the web site at <a href="http://www.usitc.gov/taffairs.htm">www.usitc.gov/taffairs.htm</a> . For assistance in selecting the HTS number, contact FAS, International Trade Policy, Import Policies, and Export Reporting Division at 202-720-0910. In cases where more than 1 number is appropriate, explain in item 9.										
7C	Enter beginning and ending month and year for MY this FAS-930 represents. All marketing periods begin on the first day of the month and end on the last day of the month unless NASS has determined otherwise.										
7D	Check (✓) "National" or "State" to indicate coverage of FAS-930 being filed. Checking "National" does <b>not</b> require production in all 50 States. Under a national FAS-930, USDA will use national average prices compiled by NASS. If NASS has not compiled price data for the commodity, the petitioners shall provide the national average price.										
8	Petitioners may select and are required to complete only 1 line of information from 8 A, B, C, or D.										
	<table border="1"> <thead> <tr> <th data-bbox="381 1306 609 1339">IF line...</th> <th data-bbox="609 1306 1466 1339">THEN enter the...</th> </tr> </thead> <tbody> <tr> <td data-bbox="381 1339 609 1373">8A is selected</td> <td data-bbox="609 1339 1466 1373">average annual price received for the indicated years.</td> </tr> <tr> <td data-bbox="381 1373 609 1407">8B is selected</td> <td data-bbox="609 1373 1466 1407">production quantity of the commodity for the indicated years.</td> </tr> <tr> <td data-bbox="381 1407 609 1440">8C is selected</td> <td data-bbox="609 1407 1466 1440">value of production of the commodity for the indicated years.</td> </tr> <tr> <td data-bbox="381 1440 609 1474">8D is selected</td> <td data-bbox="609 1440 1466 1474">value of cash receipts for the commodity for the indicated years.</td> </tr> </tbody> </table>	IF line...	THEN enter the...	8A is selected	average annual price received for the indicated years.	8B is selected	production quantity of the commodity for the indicated years.	8C is selected	value of production of the commodity for the indicated years.	8D is selected	value of cash receipts for the commodity for the indicated years.
IF line...	THEN enter the...										
8A is selected	average annual price received for the indicated years.										
8B is selected	production quantity of the commodity for the indicated years.										
8C is selected	value of production of the commodity for the indicated years.										
8D is selected	value of cash receipts for the commodity for the indicated years.										
9	Enter the source of data entered in items 8A through 8D.										
10	Provide an explanation or attach any documents that show how increased imports have affected the national price of the product during the most recent MY. Include in the explanation any other factors that may also have contributed to lower producer prices. Comments may also be entered regarding commodity units of measure or other relevant specifications.										
11A	Enter signature of the individual identified in item 1.										
11B	Enter title of the individual signing item 10A.										
11C	Enter date the individual signed item 10A.										
12	Completed by FAS.										

43 Submitting FAS-930's (Continued)

B Example of FAS-930

This is an example of FAS-930.

<b>FAS-930</b> (05-25-10)	U.S. DEPARTMENT OF AGRICULTURE Foreign Agricultural Service	Form Approved - OMB No. 0551-0040	
<b>TRADE ADJUSTMENT ASSISTANCE (TAA) FOR FARMERS PROGRAM                  PETITION FOR CERTIFICATION AND ELIGIBILITY FOR A GROUP OF PRODUCERS</b>			
<p><b>NOTE:</b> <i>The following statement is made in accordance with the Privacy Act of 1974 (5 USC 552a - as amended). The authority for requesting the information identified on this form is 7 CFR Part 1580 and the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5). The information will be used to determine eligibility for benefits provided by the Trade Adjustment Assistance for Farmers program. The information collected on this form may be disclosed to other Federal, State, Local government agencies, Tribal agencies, and nongovernmental entities that have been authorized access to the information by statute or regulation and/or as described in applicable Routine Uses identified in the System of Records Notice for USDA/FAS/2. Providing the requested information is voluntary. However, failure to furnish the requested information will result in a determination of ineligibility for participation in the Trade Adjustment Assistance for Farmers Program.</i></p> <p><i>According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0551-0040. The time required to complete this information collection is estimated to average 6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Completed petition may be submitted by fax or emailed or delivered to addresses listed below.</i></p>			
FAX: 202-720-0876  Or:  EMAIL:  <a href="mailto:tradeadjustment@fas.usda.gov">tradeadjustment@fas.usda.gov</a>	<b>MAIL TO:</b>  Or:  TAA Foreign Agricultural Service Stop 1021 USDA 1400 Independence Ave., S.W. Washington, DC 20250-1021	<b>COURIER DELIVERY</b>  Or:  TAA Foreign Agricultural Service Suite 400 USDA 1250 Maryland Avenue, S.W. Washington, DC 20024	
1. Name of Authorized Representative or Primary Contact		2. Name and Business Address (Including City, State, and Zip Code)	
3. Telephone Number (Including Area Code)		5. E-Mail Address	
4. Fax Number (Including Area Code)			
6. This petition is made on behalf of the following producers: (Enter at least 3 names if filed by an individual. Organizations do not need to enter producer name.)			
A. Name of Producers	B. Mailing Address	C. Telephone No. (Including Area Code)	D. E-Mail Address
<b>7. COMMODITY INFORMATION:</b>			
A. Description of the raw (excludes processed) agricultural commodity: (e.g., fresh raspberries)		B. Competing Imported Commodity's Harmonized Tariff Schedule (HTS) Number (HTS can be found at: <a href="http://www.usitc.gov/taffairs.htm">http://www.usitc.gov/taffairs.htm</a> )	
C. This petition is for the most recent marketing year for the commodity beginning in _____ and ending _____ (month/year) (month/year)			
D. Check the production area of the commodity for which this petition is submitted (state, states, or national):  <input type="checkbox"/> National <input type="checkbox"/> State (Identify State or States (list): _____)			
<p><small>The U.S. Department of Agriculture (USDA) prohibits discrimination in all of its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, political beliefs, genetic information, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD).</small></p> <p><small>To file a complaint of discrimination, write to USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410, or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). USDA is an equal opportunity provider and employer.</small></p>			



**44 Online Petition Registry**

**A Petition Registry Location**

FAS maintains a registry of approved \* \* \* commodity petitions for TAA for Farmers at [www.fas.usda.gov/itp/taa/taa.asp](http://www.fas.usda.gov/itp/taa/taa.asp).

**B Registry Content**

For approved FAS-930's, the online registry provides:

- commodity petition number assigned by FAS
- the impacted States
- FAS-930 filing date
- FAS-930 approval (certification) date
- deadline for producer FSA-229-1's
- market prices used for calculating the payment rate.

For disapproved FAS-930's, the registry explains the reasons for denial in the "Notes" column.

**45-50 (Reserved)**

## Section 4 Filing FSA-229-1's and Producer Eligibility

### 51 Submitting FSA-229-1's

#### A Where to File

\*--Applicants in all States shall submit FSA-229-1 in the producer's control County Office. Shrimpers or other fishermen of ocean species shall apply in the Service Center that serves the area where the business is located or where the producer is domiciled. In all cases for all commodities, producers are allowed to apply in only 1 Service Center.

**Note:** Multi-county producers may be eligible for TAAF if any county serviced by a control County Office is approved under a group blanket approval by FAS.--\*

#### B Who May Submit FSA-229-1's

FSA-229-1's may be submitted by:

- any individual meeting the eligibility requirements explained in paragraph 52
- an entity meeting eligibility requirements such as a partnership, corporation, trust, etc., but only if individual members of that entity are **not** applying as individuals; if an entity is approved for payments, the payments will be disbursed to the entity and reported according to the entity's TIN
- \*--a member of a partnership or joint venture applying as an individual if the applicant meets the eligibility requirements explained in paragraph 52, but only if the entity is **not** applying; payments will be disbursed to the individual and reported according to the individual's TIN
- husbands and wives separately, and each is considered to be at risk, having a risk in the commodity.--\*

When members of entities, or husbands and wives separately, apply for TAA for Farmers training and payments, they must individually attend the training and must individually develop and submit business plans to receive separate payments.

\*--Corporations, LLC's, and trusts are limited to 1 application. Stockholders/members of such may not individually apply.

Individuals are permitted to authorize an alternate on FSA-229-1 to attend the required training session. Entities that apply must identify the person attending and may also identify an alternate.

Applicants who **cannot** attend the scheduled training are permitted to authorize an alternate to attend the required initial or intensive training sessions. Using FSA-229-1, item 13 to identify an alternate to attend training in the place of the applicant is optional.--\*

Any person authorized by the applicant to attend TAA for Farmers training on behalf of the applicant is permitted to represent **only 1** applicant, regardless of whether the applicant is an individual or an entity.

## 51 Submitting FSA-229-1's (Continued)

### B Who May Submit FSA-229-1's (Continued)

It is the responsibility of TAA for Farmers applicant to assure that any authorized person will represent **only** the applicant and **no other** TAA for Farmers applicant.

FSA-229-1's may be disapproved by FAS if an authorized alternate is found to be representing more than one TAA for Farmers applicant.

### \*--C Husband and Wife Eligibility

FAS has determined that husbands and wives may apply and obtain separate TAA for Farmers benefits if each individually:

- meets general program eligibility requirements, as set forth in 1-SP, subparagraph 52 A

**Notes:** The documentation of:

- the family farming/fishing enterprise may be used by each of the spouses if both apply as individuals
- production and prices may be used to qualify each spouse, even if they apply separately and even if the documentation only includes 1 spouse's name.

Spouses are considered to be at risk.

- attends required business plan orientation and business-plan training without serving as the alternate attendee for their spouse
- submits an approved initial and long-term business plan.

The husband/wife ruling applies to only individual operations. For joint operations, such as Partnerships or Joint Ventures, each member may apply separately. However, the spouse of the partner is not eligible unless the spouse is also a member of the joint operation.

There is no statutory, regulatory, or procedural requirement for proof of marriage for TAA for Farmers applicants. However, if the County Office has reason to believe that an individual is fraudulently claiming to be a spouse to establish eligibility, the County Office is authorized to require the applicant to submit proof of marriage.

Spouses shall be considered separate persons for payment limitation purposes under TAA for Farmers and may submit separate applications for TAA assistance:

- according to 1-SP, subparagraph 55 A, including separate payment eligibility forms, either CCC-502A or 902I--\*

51 Submitting FSA-229-1's (Continued)

\*--C Husband and Wife Eligibility (Continued)

- and may, but are not required, to:
  - establish themselves as a member of a joint venture with their spouse
  - present a spousal statement that they were paid a share of the family farming/fishing operation
  - be co-signers of loan obligations of the family operation.--\*

52 Producer Eligibility Requirements [7 CFR 1580.301]

A General Eligibility

To be eligible for TAA for Farmers benefits, applicants must:

- at the option of STC, provide acceptable identification issued by a State or Federal Government agency
- provide to FSA, TIN that is **not** temporary
- \*--meet the requirements of any 1 of options 1, 2, or 3 by certification or providing documentation, as applicable--\*
- be a U.S. citizen or a lawful alien possessing a valid I-551 (1-PL, paragraph 235)
- comply with AGI requirements that establish the following applicant income limits for eligibility:
  - for 2008-crops, the applicant's average AGI for 2005-2007 shall average \$2.5 million or less
  - for 2009 and subsequent crops, the applicant's average adjusted gross nonfarm income must be \$500,000 or less, \* \* \* for the 3 taxable years preceding the most immediately preceding complete taxable year for which the petition is certified; following are examples of selecting the correct years for which AGI is averaged

Crop Year of Approved TAA for Farmers Commodity	3 Years for Which AGI is Averaged for Determining AGI Compliance
2008	2005, 2006, 2007
2009	2005, 2006, 2007
2010	2006, 2007, 2008

52 **Producer Eligibility Requirements [7 CFR 1580.301] (Continued)**

**A General Eligibility (Continued)**

- submit a properly completed FSA-229-1 and the following, as applicable:
  - CCC-526 or CCC-926 according to subparagraph 54 A
  - CCC-502 or CCC-902, according to subparagraph 55 A (including member information if requested).

Minors may submit FSA-229-1's if requirements in 1-CM, paragraph 882 are met.

**B Payment Eligibility**

FSA payment eligibility software operates differently for 2008-crop payments than for 2009 and subsequent crops because of changes provided by the Food, Conservation, and Energy Act of 2008. Use the following summary table as a guide to applicable eligibility requirements based on the crop year of a certified TAA for Farmers commodity.

<b>TAA for Farmers Eligibility Provision</b>	<b>2008 Crop</b>	<b>2009 and Subsequent Crops</b>
AD-1026	Yes	Yes
AGI Limits	\$2.5 Million	Nonfarm Income \$500,000 and Farm Income \$750,000
Conservation Compliance	Yes <u>1/</u>	Yes <u>1/</u>
Controlled Substance	Yes	Yes
Counter-Cyclical and TAA for Farmers Pay Limits	Yes	Yes
DCIA	No	No
Federal Crop Insurance	No	No
Federal Crop Insurance Fraud	Yes	Yes
Foreign Person	Yes	Yes
NAP Non-Compliance	No	No
Person	Yes	No
SDA, Beginning Farmer, Limited Resource Producer	No	No
State/Local Government Entity	Yes	No

**Note:** Producers who satisfied TAA for Farmers eligibility requirements, but who are ineligible for cash payments because of payment limitation are **eligible** for educational assistance (business-plan training).

1/ Applicants are compliant if they are without land association.

## 52 Producer Eligibility Requirements [7 CFR 1580.301] (Continued)

### C Ineligible Applicants

Applicants ineligible for training and payments are producers who:

- do **not** submit a completed FSA-229-1 by deadline
- have **not** satisfied 1 of the 3 eligibility options on FSA-229-1
- have violated HELC/WC provisions according to 6-CP
- have a controlled substance violation according to 1-CM, Part 30
- have a temporary TIN
- did **not** share in the risk of producing the applicable commodity
- exceed AGI limits.

### D Production Eligibility Requirements

To be eligible for TAA for Farmers benefits, an applicant **must**:

- have produced the commodity in both :
  - MY for which the commodity is certified for benefits
  - at least 1 of the 3 MY's immediately before the certified MY
- satisfy 1 of the production or price requirements listed in subparagraph E.

Producers without production in the certified MY are ineligible, even if they have a record of producing the crop in alternate years, but had no production in the certified MY.

### E Summary of Producer Eligibility Options 1, 2, and 3

In addition to the production requirements in subparagraph B, an applicant **must** satisfy 1 of the following 3 eligibility requirements presented on FSA-229-1 as options 1, 2, and 3:

- option 1- the applicant's production in the certified MY was less than the applicant's production in the most recent production year of the 3 prior MY's
- option 2 - there has been a decrease in the price received for the commodity by the applicant or by producers in the State or region in the certified MY from the average price received by the applicant or producers of the same State or region in the most recent 3 years of production
- option 3 - there has been a decrease in USDA's price on the date FAS-930 for the commodity was filed from USDA's average price for the 3 MY's preceding the date on which FAS-930 is filed.

52 **Producer Eligibility Requirements (Continued)**

**\*--F Option 1 Eligibility Determination: Applicant’s Production History**

The following examples show that eligibility may be established based on whether or not the applicant produced:--\*

- the commodity in the certified MY
- the crop in 1 of the 3 MY’s immediately before the certified MY
- less in the certified MY than in the immediately prior MY’s.

If production increased in the certified MY from the level of the prior MY’s, then the  
 \*--producer may still be eligible under Option 2 or 3 (see examples in subparagraphs H and I).--\*

MY	Producer				
	A	B	C	D	E
	<b>(Production Level – Units of Production)</b>				
2004	200	200	300	400	700
2005	750	200	200	350	0
2006	0	0	300	300	0
2007	0	0	450	250	0
2008 (certified MY)	500	300	500	0	500
Eligibility determination based on production quantity:	Eligible	No Determination: Go to Price Conditions	No Determination: Go to Price Conditions	Ineligible	Ineligible

Producer A is eligible because 3 eligibility requirements are met as follows:

- crop was produced in the certified MY
- crop was produced in 1 of the 3 prior MY’s
- the certified MY level of production is less than the most recent MY for which production data is available.

\*--Under Options 1 and 2, producers may certify their eligibility by initialing and dating after either Option 1 or 2, but if selected for spot check, will be asked to document their eligibility from their records.--\*

52 **Producer Eligibility Requirements (Continued)****F Example Eligibility Determinations Based on the Production History (Continued)**

Producers B and C met the 2 mandatory production tests, but must meet 1 of the 1 price tests to be eligible. Specifically, they met the requirements that the crop was produced in the certified MY and the crop was produced in 1 of the 3 prior MY's. However, because \*--production in the certified MY is greater than for the most recent MY, they must establish eligibility under Option 2 or 3.

Producer D is ineligible because there was no production of the commodity in MY for which the commodity is certified. Having been a producer of the commodity in MY's before the petition MY is not, by itself, sufficient to establish eligibility.--\*

Producer E is ineligible because there was no production of the commodity in 1 of the 3 MY's immediately before MY for which the commodity is certified. The production in 2004 does not apply because it was not 1 of the 3 MY's immediately preceding the certified MY for the commodity.

**\*--G Eligibility Options if Option 1 Not Satisfied**

If an applicant has produced the commodity in the certified MY and in 1 of the 3 immediately prior MY's, but did **not** produce less in the certified MY than in the prior year, then the producer may still establish eligibility if:

- under Option 2, there has been a decrease in the price received for the commodity by the producer or by producers in the State or region in the certified MY from the average price received by the applicant or producers of the same State or region in the most recent 3 years of production

**Note:** Under this option, the producer may certify to his own prices or use State or regional prices from USDA or verifiable sources.

- under Option 3, there has been a decrease in USDA's policy on the date FAS-930 for the commodity was filed from USDA's average price for the 3 MY's preceding the date on which FAS-930 is filed.--\*

52 Producer Eligibility Requirements (Continued)

**\*--H Option 2 Eligibility Determinations: Producer Prices Received**

The following table provides examples of eligibility determinations based on prices received. The prices used for the average calculation are shaded. The price received during the certified MY must be less than the prior 3-MY's average price. The prices used for the average calculation are shaded.

When using prices received by the producer:--\*

- a 3-MY average price can be calculated from prices for **any** 3 prior MY's; the prices are **not** required to be from the 3 MY's immediately before the certified MY
- producers must use prices from the most recent production years; they **cannot** skip over prices received from production years.

MY		Producer (Price Received by Producer)				
		F	G	H	I	J
Price received by Producer	2000	\$10	\$10	\$0	\$0	\$0
	2001	\$12	\$0	\$0	\$0	\$0
	2002	\$7	\$8	\$0	\$7	\$0
	2003	\$8	\$0	\$0	\$0	\$0
	2004	\$9	\$0	\$0	\$9	\$0
	2005	\$6	\$6	\$6	\$0	\$0
	2006	\$6	\$0	\$0	\$8	\$7
	2007	\$3	\$4	\$0	\$0	\$6
	3-MY Average	\$15÷3=\$5	\$18÷3=\$6	\$6÷1=\$6	\$24÷3=\$8	\$13÷2=\$6.50
Price received in the certified MY (2008).		\$5	\$5	\$5	\$5	\$5
Eligibility determination based on prices.		Ineligible.	Eligible.	No determination, go to comparison of USDA prices (see example in subparagraph I).	Eligible.	No determination, go to comparison of USDA prices.

\*--Under Option 2, producers may certify as to their own prices received, or FAS may provide group approval (certification) using State or regional prices that are either USDA prices or from verifiable services.--\*

**52 Producer Eligibility Requirements (Continued)****H Eligibility Determinations based on Producer-Documented Prices Received (Continued)**

Producer F is ineligible because the certified MY price is **not** less than the 3-MY average price.

**Note:** The comparison of prices is based on the most-immediate 3 MY's, 2005 through 2007, before the certified MY for which the applicant received payment for production. The producer is **not** allowed to average prices from 2004 through 2006 (\$7), because a price from a production year (2007) would have to be skipped.

Producer G is eligible because the certified MY price is less than the average price received for the 3 most immediate production years. The producer had no production and; therefore, no prices to report for the 2003, 2004, and 2006 crops.

Producer H **cannot** establish eligibility because a 3-MY average of prior prices received could not be established. Producer H may establish eligibility by comparing the certified MY price received with USDA official prices for the 2005 through 2007 MY's.

Producer I is eligible because the certified MY price is less than the average price of the immediately prior 3 MY's.

Producer J **cannot** establish eligibility because a 3-MY average of prior prices received could not be established. Producer J may establish eligibility by comparing the certified MY price received with USDA official prices for the 2005 through 2007 MY's.

52 Producer Eligibility Requirements (Continued)

**\*--I Option 3 Eligibility Determinations: USDA Official Prices--\***

It is specifically:

- **not** the responsibility of FSA staff to research and determine official USDA prices for any day or period of time
- the responsibility of the applicant to determine and provide official prices on their FSA-229-1.

The following table provides examples of eligibility determinations based on a decline in the \*--USDA price on the date FAS-930 was filed from the average of official USDA prices for the immediately 3 prior MY's. The USDA prices may be county, State, or regional prices but may not be national-level prices

In this example, the certified MY is 2008, and the assumed filing date is in May, 2009. The prior 3-MY average must be based on USDA prices from 2006, 2007, and 2008, which are the 3 years prior to the May, 2009 filing date. The prices used for the average calculation--\* are shaded.

**Note:** When official USDA county prices are used to compute a 3-year average, the average is computed using the 3 immediately preceding MY prices.

MY		Producer (USDA * * * Price)		
		K	L	M
USDA County Price	2005 Annual Average	\$6	\$6	\$9
	2006 Annual Average	\$6	\$2	\$6
	2007 Annual Average	\$3	\$4	\$3
	3-Year Average Official USDA * * * Prices	$\$15 \div 3 = \$5$	$\$12 \div 3 = \$4$	$\$18 \div 3 = \$6$
2008 (certified MY) USDA county price on the *--date FAS-930 was filed in May 2009.--*		\$5	5	\$5
Eligibility determination based on prices:		Ineligible	Ineligible	Eligible

Producers K and L are ineligible because the official USDA county price on the date FAS-930 was filed was **not** less than the average of USDA county prices for the immediately prior 3 MY's.

**52 Producer Eligibility Requirements (Continued)****I Eligibility Determinations based on USDA Official County Prices (Continued)**

Producer M is eligible because the USDA county price on the date FAS-930 was filed was less than the average of USDA official county prices for the commodity for the immediately preceding 3 years.

TAA for Farmers regulations provide that if USDA county prices are not available, producers may document prices from other verifiable sources under this option.

If the County Office has reason to doubt official prices entered by the producer, many commodity MY prices can be obtained as follows:

- go to FSA Intranet at <http://fsaintranet.sc.egov.usda.gov/fsa>
- under “Links”, CLICK “**FSA Applications**”
- under the “Production Adjustment & Disaster Programs”, CLICK “**NCT - National Crop Table**” for 2001-2008 or 2009-2010, as applicable, that will provide prices for the 3 MY’s before FAS-930 filing date.

53 **Acceptable Documentation**

**A Acceptable Production Documentation**

\*--Any required production evidence must be provided within the application period. Documents must show that production occurred in both of the following:

- certified MY or period
- at least 1 of the immediately 3 prior MY's.

Under Option 1 (production) or Option 2 (prices), the applicant may certify their own records documenting eligibility and is not required to submit documentation with the application. However, applicants may be asked to submit documentation if selected for spot check (in the absence of FAS blanket approval).

Option	Data Source	Applicant Certification Allowed
1	Only producers' records of production	Yes, of applicant's production.
2	Producer records of price received, or FAS may provide group approval using State or regional prices that are either USDA prices or from verifiable sources.	Yes, of applicant's received..
3	<b>Only</b> USDA-maintained prices for county, State, region. FAS may provide group approval.	No. Evidence of USDA prices must be provided.

--\*

Acceptable production documentation can include:

- copies of sales receipts
- invoices that show quantity
- scale or delivery tickets.

In circumstances, as determined by CED, FSA may accept as production evidence for the commodity, a signed, dated statement (see subparagraph B for an example) from another party, such as a ship captain or business partner, if the applicant:

- was paid in cash based on an agreed share of the production
- was at risk in producing the commodity
- does not have conventional evidence of production, such as sales receipts.

This statement of production provided by a third party shall specify:

- name of the crew member or partner
- total production of the commodity before any distributions
- weight or share of production distributed to each member, such as ship crew member
- crop year of the production
- for fish, basis of the weight, such as head-on, head-off.

\*--**Note:** See Exhibit 4 for shrimp weight conversion factors.--\*

53 Acceptable Documentation (Continued)

**B Example Statement**

The following is an example of the type of production evidence that can be supplied by applicants who were paid in cash for their share of production, but who were not involved in selling the crop. This example provides an example of what needs to be included, according to subparagraph A.

<b>Share of TAA for Farmers Commodity Production Provided to Employees by Cash Payment</b>			
The undersigned employer certifies that the individuals identified in item 3 received payment on the basis of the production share entered in either item 5a or 5b for the commodity identified in items 2a-c. The undersigned additionally certifies that employees who were compensated by daily, weekly, or seasonal cash wages regardless of production are excluded from this list.			
<b>1. Employer Name and Address</b>		<b>2a Commodity:</b>	
		<b>2b Crop Year:</b>	
		<b>2c State where Marketed:</b>	
<b>3. Employee/Crew Member Name</b>	<b>4. TIN</b>	<b>5. Production (Enter either weight or percent of total production that was basis of employee payment. Explain entries in remarks section.)</b>	
		<b>A. Weight:</b>	<b>B. Share (%)</b>
<b>6 Company (Boat) Name:</b>			
<b>7A. Signature of Employer:</b>			<b>7B Date:</b>
<b>8. Remarks.</b>			

## 53 Acceptable Documentation (Continued)

**C Acceptable Price Documentation**

If an applicant establishes eligibility for TAA for Farmers by satisfying 1 of the price requirements as described in subparagraph 52 H or I, then the producer may certify these prices under Option 2 or must provide documentation of USDA prices under Option 3 within the application period announced for the commodity.

Producers are **not** required to certify or provide any documentation about prices received if they establish eligibility based **only** on production records.

Acceptable documentation of prices received can include:

- copies of sales receipts
- invoices that show price
- tax records that show price received
- supporting documents provided by certified public accountant or attorney.

FSA staff is **not** responsible for:

- researching and obtaining official USDA prices to be used by producers to establish payment eligibility
- validating producer entries by recalculating price averages or production quantities from producer records.

**D Retaining Price and Production Documentation**

If the producer submits production or price documentation under Option 1 or 2, FSA County Office staff:

- shall review the documentation to establish that it is for the relevant commodity and crop years under the petition
- at the time documentation is submitted, may elect to copy and retain the documentation at the option of the County Office staff
- are not required to copy and retain copies of the documentation in the applicant's folder
- shall advise the applicant that, if the applicant is selected for spot check, the documentation must be resubmitted, will be copied, and copies will be retained by FSA.

54 Documenting AGI Certification

**A General Certification Requirement**

Complying with average AGI limitations is an eligibility requirement for both TAA for Farmers training and payments. For 2009 and subsequent crops, all TAA for Farmers applicants **must** certify their compliance with AGI requirements and **must** submit CCC-927 or CCC-928, as applicable, to IRS.

FSA will determine AGI compliance for:

- 2008-crop benefits based on CCC-526; applicants may be requested to document the AGI certification if:
  - selected by the county \* \* \* for spot check
  - FSA determines that further verification is needed
- 2009 and subsequent-crop benefits based on CCC-926 and information provided to FSA by IRS based on CCC-927 or CCC-928, as applicable, submitted to IRS by the applicant.

Use the following table to determine which forms are required to be submitted to either FSA or directly to IRS, based on the crop-year of the TAA for Farmers petition certification.

<b>Crop Year of TAA for Farmers Commodity Petition Certification</b>	
<b>IF for...</b>	<b>THEN producers submit the following...</b>
2008-crop petitions	to FSA, CCC-526.
2009 and subsequent-crop petitions	<ul style="list-style-type: none"> <li>• to FSA, CCC-926</li> <li>• to IRS for:                             <ul style="list-style-type: none"> <li>• individuals, CCC-927</li> <li>• entities, CCC-928.</li> </ul> </li> </ul>

**B Native American Waiver**

Native Americans applying for TAA for Farmers must certify to AGI compliance. However, for Native Americans exempt from Federal taxes, DAFP has waived the requirement that any documentation that may be requested from such individuals under subparagraph A must be based on Federal income tax returns.

Native Americans who are exempt from Federal taxes may document their AGI certification using certified public accountant or attorney-submitted documentation that is not based on a Federal tax return.

## 55 Producers Applying for Benefits

### A Producer Request for TAA for Farmers Benefits

Producers of certified commodities request benefits by submitting:

- FSA-229-1
- AD-1026
- either of the following according to 1-FI, Part 3:
  - SF-1199A for direct deposit
  - FFAS-12 for a hardship waiver request for EFT
- for 2008 crops, the applicable CCC-502, if not already on file, which is for:
  - individuals, CCC-502A, items 1 through 11, 18, and 19 (check and sign), or CCC-502EZ, items 1 through 8 and 14
  - joint venture or general partnership, CCC-502B, only items 1 through 14, 21, and 22
  - corporations, limited partnerships, or similar entities CCC-502C, only items 1 through 14, 21, and 22
  - estate or trust, CCC-502D, only items 1 through 14, 21, and 22
  - for certifying AGI, CCC-526
- for 2009 and subsequent crops:
  - an entity, CCC-902E, Parts A, B, and C, and sign in Part L (supplement with CCC-901, if required)
  - an individual, CCC-902I Short Form, only parts A, B, and F
- for certifying AGI, CCC-926 for 2009 and subsequent crops.

A member of a joint venture or partnership may apply as an individual for TAA for Farmer benefits, in which case the applicant may document eligibility by submitting the production records and applicable CCC-502 or CCC-902 of the joint venture or partnership.\*

**55 Producers Applying for Benefits (Continued)****B Acceptable Methods for Submitting Documents**

Applicants may submit forms at the FSA office where the producer's records are maintained as follows:

- in person
- as an e-mail attachment
- by FAX.

**C One FSA-229-1 Per FAS-930**

Producers may apply and are eligible for benefits under only one FAS-930. Once benefits are provided to a producer, subsequent TAA for Farmers benefits will be blocked and the status of any subsequent FSA-229-1 submitted shall be set to "Refer to FAS" for disapproval by FAS.

**56 FSA-229-1 Deadlines****A Deadlines for Submitting Initial FSA-229-1 and Documentation**

For each approved FAS-930, FAS establishes a 90-calendar-day application period that is announced by press release and issued in an SP notice to FSA offices. Generally, the application period begins the day FAS-930 certification is published in FR.

See Exhibit 6 for information about FAS-930 that has been approved.

Producers are required to submit FSA-229-1 and all documentation needed to determine their eligibility for benefits by the application deadline.

Complying with the application deadline is **required** for the following reasons:

- County Offices must enter FSA-229-1 information into the Excel spreadsheet or web-based software, as applicable, within **3 workdays** after the close of the application period
- State TAA for Farmers specialists must send any Excel spreadsheet-recorded information to CFFM at **taainfo@umn.edu** within **5 workdays** after the close of the application period.

## 56 FSA-229-1 Deadlines (Continued)

**A Deadlines for Submitting Initial FSA-229-1 and Documentation (Continued)**

Although FSA shall encourage applicants to submit all forms within the 90-calendar-day period applicable to FSA-229-1, the only deadline that legally applies to TAA for Farmers applicants is that by the last day of the 90-calendar-day application period, the applicant must submit or have on file:

- FSA-229-1
- \*--either certification (Options 1, 2) or documentation needed to determine eligibility--\* under 1 of the 3 options
- the following as applicable:
  - CCC-502A, CCC-502B, CCC-502C, CCC-902E for an entity, or CCC-902I Short Form for an individual
  - CCC-526 or CCC-926
- completed AD-1026.

**B Requirements for Payment Documentation**

The following documents or notifications are not required by the application deadline but must be submitted before disbursement of payments, as applicable:

- SF-1199A or FFAS-12
- notification from NIFA of having attended initial training for travel reimbursement
- notification from NIFA of having submitted initial and/or long term business plans recommended for approval.

**C Processing Late/Incomplete FSA-229-1's**

FSA-229-1's that that are submitted:

- after the 90-calendar-day application period shall be accepted, entered into the TAA for Farmers Excel spreadsheet or web-based software, as applicable, and referred to FAS for disapproval
- within the 90-calendar-day application period, but without documentation to establish eligibility shall be accepted, entered into the TAA for Farmers Excel spreadsheet or web-based software, as applicable, and referred to FAS for disapproval after the 90-calendar-day application period.

## 57 FSA-229-1's

**A Completing FSA-229-1's**

County Offices shall:

- provide instructions for the producer to complete FSA-229-1, if necessary
- require the applicant to complete Parts A, B, C, and D
- require that applicants submit documentation for \* \* \* Part C, items 11 C and D, to document that production occurred in both the petition MY and 1 of the 3 prior years; an applicant only needs to document some production from each of those years, it is **not** required to document the total level of production unless the applicant elects to document eligibility under 1 of the following 3 options
- \*--advise applicants that eligibility may be established under 1 of the 3 options described in subparagraph 52 E based on the following methods:
  - Option 1:
    - producers may certify eligibility based on their own production levels by entering their initials and date of initials at the end of the Option 1 question on FSA-229-1, Part C
    - producers may document eligibility by entering responses to items 11E and 11F
  - Option 2:
    - producers may certify eligibility based on their own prices received by entering their initials and date of initials at the end of the Option 2 question on FSA-229-1, Part C
    - producers may document eligibility by entering responses to items 11G through 11L
    - eligibility may be based on group approval granted by FAS and provided to the FSA State and County Office
  - Option 3:
    - producers may not certify eligibility under Option 3 because only USDA prices may be used for this Option but producers may enter USDA prices in items M and N.
    - eligibility may be based on group approval granted by FAS and provided to the FSA State and County Office.--\*

\* \* \*

57 FSA-229-1's (Continued)

**A Completing FSA-229-1's**

County Office staff is **not** required to calculate any of these entries on behalf of applicants. For the timely processing of FSA-229-1's, it may not be possible to "do the math" for applicants.

**\*--Notes:** An applicant may also be eligible if, under Option 2 or 3, FAS provides group approval to producers in a State or region.

Applicants are not required to initial, date, or provide any entries to items 11E through 11M if FAS provide group approval--\*

**B Instructions for Completing FSA-229-1's**

Complete FSA-229-1 according to this table.

Item	Instruction
<b>Items 1 through 4 are completed by FSA.</b>	
1A	Enter State and county code of County Office where FSA-229-1 has been submitted for processing.
1B	To determine Congressional District, go to <a href="http://writerep.house.gov/writerep/welcome.shtml">writerep.house.gov/writerep/welcome.shtml</a> . Enter applicable State and ZIP Code; for post office box addresses, use ZIP Code of the applicant's residence, <b>not</b> the post office. The Congressional District entry format is: SSxx, where SS is the State abbreviation and xx is the district number; for example, the 8th District of Texas is entered as, "TX08".
2	Every application number shall be in the format: SSCCxxxxx where SSCC is the numeric State and county code for that office and xxxxx is a sequential number starting with 00001 and ending with 99999. However, each County Office shall use this <b>same</b> sequential numbering sequence for <b>each</b> individual commodity petition.  <b>Example:</b> FSA-229-1 numbers for the first fifteen FSA-229-1's under a carrot petition would be numbered SSCC00001 through SSCC00015, and in the same County Office, the first fifteen FSA-229-1's under a blueberry petition would also be numbered SSCC00001 through SSCC00015. A separate numbering ledger is established for <b>each</b> commodity petition.
3	The application deadlines under various approved commodity FAS-930's will be provided in an exhibit to this handbook and SP notice, when approved. Deadlines are provided in the press release announcing FAS-930 certification.
4	Enter date FSA-229-1 was received by the FSA County Office.

**B Instructions for Completing FSA-229-1's (Continued)**

Item	Instruction
	<p><b>Parts A, B, C, and D are to be completed by applicant.</b></p> <p><b>Note: Documentation of items 11C through N is required and FSA-229-1's entries are the responsibility of the applicant and not the responsibility of FSA staff. FSA staff is not required to validate production or price quantities from submitted documentation.</b></p>
5A	Enter first name of an individual applicant or the name of entity, corporation, joint operation, or partnership that is applying (see subparagraph 51 C). Members of entities and husbands and wives may apply as individuals. Members of corporations <b>cannot</b> apply as individuals.
5B	Entering the applicant's e-mail is optional. CFFM and FAS will use e-mail to provide quicker notifications in addition to mailed letters.
5C	Enter phone number (land-line or cell phone) of the applicant.
	<b>Parts A, B, C, and D are to be completed by applicant. (Continued)</b>
6	Enter name and address of the farm operation if it is different from item 5.
7	Enter name of the commodity for which producers is applying for benefits and the State where the commodity was marketed.
8	Enter FAS-930 number as provided in SP notice for that commodity.
9	Enter filing date of the commodity FAS-930. This date is announced in FR that announced the commodity as certified for TAA for Farmers benefits and is in SP notice for that commodity.
10A	Enter certification date of the commodity FAS-930. This date is announced in FR that announced the commodity as certified for TAA for Farmers benefits and in SP notice.
10B	Enter deadline for completion and approval of business plans. This date is 36 months from FAS-930 certification date and is in SP notice for that commodity.
11A	Check (✓) either "Yes" or "No". Benefits received under the FY 2004 through 2006 TAA Programs are <b>not</b> considered benefits received under TAA for Farmers.
11B	Check (✓) either "Yes" or "No".
11C	Check (✓) either "Yes" or "No". Producer must provide some documentation, but not of entire production quantity.
11D	Check (✓) either "Yes" or "No". Producer must provide some documentation, but not of entire production quantity.
	<p><b>*--Option 1:</b> Is the applicant's production quantity in the petition marketing year less than production in the most recent year of the 3 years prior to the petition marketing year?</p> <p><b>An applicant may certify to meeting the requirements of Option 1 by entering the applicant's initials and date of initials after the Option 1 question. Entries in items 11E and 11F are optional.--*</b></p>

**B Instructions for Completing FSA-229-1's (Continued)**

Item	Instruction
11E	Enter production quantity for the certified MY.
11F	<p>Enter production quantity for the most recent year of the 3 MY's before the certified MY.</p> <p><b>Example:</b> If the certified MY is 2009, then this entry is the production from the most immediately prior MY for which production occurred and <b>must</b> be from 2008, 2007, or 2006. If there was no production in 1 of the 3 immediately prior MY's, then enter zero.</p>
	<p><b>*--Option 2:</b> Is the applicant's average price received in the petition marketing year less than the average price received from the 3 most recent prior marketing years?</p> <p><b>An applicant may certify to meeting the requirements of Option 2 by entering the applicant's initials and date of initials after the Option 2 question. Entries in items 11G through 11L are optional.--*</b></p>
11G	Enter price received for production of the certified commodity from the certified MY.
11H	<p>Enter price received for production from the year of production most immediately before the certified MY.</p> <p><b>Example:</b> If the certified MY is 2008, and the crop was produced in 2007, enter the quantity of 2007 production. However, if the most immediately prior MY of production was 2006, enter the 2006 quantity of production.</p>
11I	Enter price received for production from the second most recent year before the petition MY.
11J	Enter price received for production from the third most recent year before the petition MY.
11K	Enter sum of the prices received from the 3 MY's most recently before the certified MY as entered in items 11H, 11I, and 11J.
11L	Divide the entry in item 11K by 3.
	<p><b>*--Option 3:</b> Was the USDA price for the commodity on the Petition filing date less than the average of USDA prices for the 3 years immediately preceding the year of the filing date? Applicant's may not certify their eligibility under Option 3 because any valid price information is maintained by USDA and does not original with the applicant. Option 3 may also be approved based on a group certification provided by FAS.--*</p>
11M	Enter the USDA county price for the commodity on FAS-930 filing date. (If a USDA County price is not available, a price from another verifiable source may be used.)
11N	<p>Enter average USDA county price for the commodity for the 3 MY's immediately before FAS-930 filing date. (If an average USDA County prices are not available, prices from another verifiable source may be used.)</p> <p><b>Example:</b> If FAS-930 filing date is May 3, 2010, enter the average of USDA county prices for MY's 2007, 2008, and 2009.</p>

## 57 FSA-229-1's (Continued)

**B Instructions for Completing FSA-229-1's (Continued)**

<b>Item</b>	<b>Instruction</b>
	<b>Part D – Applicant Certification and Signatures</b>
12	<p>After applicant reads the certification statement, they should sign, certifying that the information submitted on FSA-229-1 is true and that they have read, understand, and agree to the certification statement in Part D.</p> <p>If applicant is mailing or FAXing FSA-229-1, the applicant prints FSA-229-1 and manually enters signature <b>before</b> FSA-229-1 is submitted.</p>
	<b>Part D – Applicant Certification and Signatures (Continued)</b>
13	<p>*--An individual applicant may elect to identify and authorize 1 alternate to attend the training sessions by entering the name of the authorized alternate. Thus, for individual applicants, 1 of 2 individuals may attend; either the applicant or the alternate.</p> <p>If the applicant is an entity, the entity must enter the name of at least 1 person representing the entity who will attend the training on behalf of the entity. This person is entered as the attendee. An entity may also identify an alternate representative as backup to the person planning to attend. Only 1 of the 2 named individuals is responsible to attend all training.--*</p>
14A	Applicant enters 9-digit TIN of the individual or entity submitting FSA-229-1.
14B	Enter TIN type that is either S, E, or I.
15	Applicant enters the date (MM-DD-YYYY) of signature.
16	<p>Applicant checks (✓) either of the following:</p> <ul style="list-style-type: none"> <li>• “Yes”, if the applicant chooses to refuse all cash payments, including travel expense reimbursements</li> <li>• “No”, if the applicant chooses to accept all cash payments.</li> </ul>
	<b>Parts E and F, items 17A through 23C are for FSA use only.</b>
17A	Check (✓) whether date FSA-229-1 was received by FSA (item 4) is no later than the announced application deadline (item 3).
17B	Check (✓) whether applicant had production in petition MY from item 11C.
17C	Check (✓) whether applicant indicated production in 1 of the immediately prior 3 years in item 11D.

## 57 FSA-229-1's (Continued)

**B Instructions for Completing FSA-229-1's (Continued)**

Item	Instruction
17D	Option 1: compare entries in items 11E and 11F. Check (✓) whether the quantity entered in item 11E is less than the quantity entered in item 11F.
17E	Option 2: compare the entries in items 11G and 11L. Check (✓) whether the price entered in item 11G is less than the price entered in item 11L.
17F	Option 3: compare the price entries in items 11M and 11N. Check (✓) whether the price in item 11M is less than the price in item 11N.
<b>Parts E and F, items 17A through 23C are for FSA use only. (Continued)</b>	
19	<p>Because of legal requirements, <b>only</b> FAS can disapprove FSA-229-1's; therefore, if FSA-229-1 does <b>not</b> meet requirement for approval, set FSA-229-1 status to "Refer to FAS". This means that FSA-229-1 will be sent to FAS for disapproval.</p> <p>Review item 18, lines A, B, and C. For FSA-229-1 to be approved, <b>all 3 items must be answered. If any 1 of the 3 items is not answered, set FSA-229-1 status to "Refer to FAS."</b></p> <p>Check (✓) whether FSA-229-1 status is "approved" or "Refer to FAS".</p>
20	<p>If FSA-229-1 is approved, <b>no</b> entry is required. If FSA-229-1 is set to "Refer to FAS", include the appropriate disapproval code listed in subparagraph 73 C.</p> <p><b>Note: Before</b> referring FSA-229-1 to FAS for disapproval, consider whether there is reason to request a waiver of a deadline or a requirement from DAFP (see subparagraph 71 C).</p>
21A	Enter name and address of County Office where FSA-229-1 was processed (stamped entry is OK) in case FSA-229-1 must be sent to FAS for processing a disapproval appeal.
21B	Enter telephone number of County Office where FSA-229-1 was processed.
22A	Enter signature of the person who completed FSA-229-1.
22B	Enter title of the person who signed in item 22A.
22C	Enter date of signature in item 22A.
23A	Enter signature of the second-party reviewer. Each FSA-229-1 must be signed by a second-party reviewer, regardless of whether FSA-229-1 status is "approved" or "Refer to FAS".
23B	Enter title of the person who signed in item 23A.
23C	Enter date of signature in item 23A.

## 57 FSA-229-1's (Continued)

**C Instructions for Completing FSA Parts E and F**

FSA-229-1, Parts E and F, are for completion by FSA **only** using the following instructions.

Item	Description
<b>For eligibility, an applicant must document “Yes” answers to items 17 A, B, and C, and 1 of items 17 D, E, or F.</b>	
17A Was application filed...	Enter a check (✓) indicating whether the date FSA-229-1 was received by FSA (item 4) is no later than the announced application deadline (item 3).
17B Did the applicant have...	Enter a check (✓) indicating whether item 11C is answered “yes”.
17C Did the applicant produce...	Enter a check (✓) indicating whether item 11D is answered “yes”.
*--17D Is the quantity of item 11E less than 11F?	If the applicant is certifying eligibility under Option 1, enter the word “certified” after the question. Otherwise, compare the entries of items 11E and 11F and enter a check (✓) to indicate whether the quantity entered in item 11E is less than the quantity entered in item 11F.
17E Is the price in item 11G less than 11L?	If FAS has provided group approval, enter the words “FAS certified” after the question. If applicant is certifying eligibility under Option 2, enter the word “certified” after the question. Otherwise, compare the entries in item 11G and 11L. Enter a check (✓) to indicate whether the price entered in item 11G is less than the price entered in item 11L.
17F Is the price in item 11M less than 11N?	If FAS has provided group approval, enter the words “FAS certified” after the question. Otherwise, compare the price entries of items 11M and 11N. Enter a check (✓) to indicate whether the price in item 11M is less than the price in item 11N.--*
19 Application Status	<p>Because of legal requirements, only FAS can disapprove FSA-229-1's. Therefore, if FSA-229-1 does <b>not</b> meet requirement for approval, FSA-229-1 status is set to “Refer to FAS”. This means that it will be sent to FAS for disapproval.</p> <p>Review lines A, B, and C of item 18. For FSA-229-1 to be approved, <b>all 3 items must be answered as indicated in item 18. If any 1 of the 3 items is not answered as indicated, set FSA-229-1 status to “Refer to FAS.”</b></p> <p>Enter a check (✓) in the appropriate box to indicate whether FSA-229-1 status is “Approved” or “Refer to FAS”.</p>

## 57 FSA-229-1's (Continued)

**C Instructions for Completing FSA Parts E and F (Continued)**

Item	Description
20 Justification for Referral to FAS	Before referring FSA-229-1 to FAS for disapproval, consider whether there is reason to request, from DAFP, a waiver of a deadline or requirement. See paragraph 71 C.  If FSA-229-1 is approved, no entry is required for item 20. If FSA 229-1 is set to "Refer to FAS", include the reason and the appropriate disapproval code listed in subparagraph 73 C.
21A Name/Address of County Office	Enter name and address of County Office where FSA-229-1 was processed (stamped entry is acceptable). This is needed in case FSA-229-1 must be sent to FAS for processing any appeal of a disapproval.
21B County Office Phone #	Enter phone number of County Office where FSA-229-1 was processed.
22A Signature of COC Representative	Enter the signature of the person who completes FSA-229-1.
22B Title of COC Representative	Enter title of the person who signed in item 22A.
22C Date Signed	Enter date of signature of item 22A.
23A Signature of Second-Party Reviewer	Enter signature of the second-party reviewer. Each FSA-229-1 must be signed by a second-party reviewer, regardless of whether FSA-229-1 status is approved or "Refer to FAS".
23B Title of Second-party Reviewer	Enter title of the person who signed in item 23A.
23C Date Signed	Enter date of signature of item 23A.

**D Example of Completed FSA-229-1**

Following is an example of FSA-229-1.

\*--

<b>FSA-229-1</b> (08-23-10)		U.S. DEPARTMENT OF AGRICULTURE Farm Service Agency		Form Approved - OMB No. 0551-0040	
<b>TRADE ADJUSTMENT ASSISTANCE (TAA) FOR FARMERS PROGRAM APPLICATION</b>		1A. State and County Codes		2. Application Number	
		1B. Congressional District			
		3. Announced Application Deadline		4. Date Received by FSA	
<p><b>NOTE:</b> <i>The following statement is made in accordance with the Privacy Act of 1974 (5 USC 552a – as amended). The authority for requesting the information identified on this form is 7 CFR Part 1580 and the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5). The information will be used to determine eligibility for benefits provided by the Trade Adjustment Assistance for Farmers program. The information collected on this form may be disclosed to other Federal, State, Local government agencies, Tribal agencies, and nongovernmental entities that have been authorized access to the information by statute or regulation and/or as described in applicable Routine Uses identified in the System of Records Notice for USDA/FSA-2, Farm Records File (Automated). Providing the requested information is voluntary. However, failure to furnish the requested information will result in a determination of ineligibility for participation in the Trade Adjustment Assistance for Farmers program.</i></p> <p><i>According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0551-0040. The time required to complete this information collection is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The provisions of appropriate criminal and civil fraud, privacy, and other statutes may be applicable to the information provided. RETURN THIS COMPLETED FORM TO YOUR FSA COUNTY OFFICE.</i></p>					
<p><b>Instructions: Producers use this form to apply for training and cash benefits under the Trade Adjustment Assistance Program for Farmers.</b></p>					
<p><b>PART A – APPLICANT INFORMATION</b></p>					
5A. Applicant's Name and Address (Including Zip Code)			6. Name and Address of Farm Operation (If different from Item 5) (Including Zip Code)		
5B. Applicant's E-Mail Address:					
5C. Applicant's Telephone Number (Include Area Code):					
<p><b>PART B – TAA FOR FARMERS PETITION FOR WHICH BENEFITS ARE REQUESTED</b></p>					
7. Commodity/State		8. Petition Number	9. Petition Filing Date	10A. Petition Certification Date	
10B. Deadline for Completion and Approval of Business Plans					
<p><b>PART C – APPLICANT ELIGIBILITY INFORMATION – To establish eligibility, an applicant must answer Items 11A through 11D and complete entries under 1 of the 3 eligibility options listed in Item 11 below:</b></p>					
<p><b>11. Production, Price and TAA benefit information to be completed by the Applicant:</b></p>				YES	NO
A. Has applicant received benefits under another TAA for Farmers Program?					
B. Has applicant received benefits under either the TAA for Workers or FIRMS Programs?					
C. Did the applicant produce the petition commodity in the petition marketing year (MY)?					
D. Did the applicant produce the commodity in one of the 3 years prior to the petition MY?					
<p><b>OPTION 1: Is applicant's production quantity in petition year less than production in the most recent prior year?</b></p>					
E. Production quantity for the petition MY.					
F. Production quantity for the most recent year of the 3 years prior to the petition MY.					
<p><b>OPTION 2: Is applicant's average price in petition marketing year less than average price received from the 3 most recent prior years?</b></p>					
G. Average price received by producer for production from petition MY.				\$	
H. Price received by producer for production from most recent year prior to petition MY.				\$	
I. Price received by producer for production from 2 <sup>nd</sup> most recent year prior to petition MY.				\$	
J. Price received by producer for production from 3 <sup>rd</sup> most recent year prior to petition MY.				\$	
K. Sum of prices received from the 3 MYs most recently prior years (add entries from items 11H, 11I, and 11J).				\$	
L. Average of 3 prices: Divide entry in Item 11K by 3.				\$	
<p><b>OPTION 3: Was the County price for producers on petition filing date less than the average price for the prior 3 marketing years?</b></p>					
M. USDA county price (or other price if USDA price not available) for the commodity on the petition filing date.				\$	
N. Average USDA county price (or other price if USDA price not available) for the 3 MYs immediately prior to the petition filing date.				\$	

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D Example of Completed FSA-229-1 (Continued)

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FSA-229-1 (08-23-10)					Page 2 of 2	
<b>PART D – APPLICANT CERTIFICATION AND SIGNATURE(S)</b>						
<p>The undersigned producer hereby applies for benefits under the Trade Adjustment Assistance for Farmers (TAAF) Program and agrees to comply with the eligibility requirements established by the TAAF statutory authority and program regulations in 7 CFR Part 1580 to obtain program benefits. The applicant acknowledges that eligibility may be denied based on one or more of the following requirements: (1) the applicant must have had adjusted gross farm and non-farm income within statutory limits and must have complied with conservation compliance, and controlled substance regulations; (2) business-plan disbursements are limited by statutory payment limits and may be reduced by a uniform factor established by CCC so that total program outlays do not exceed statutory limits; (3) payments are subject to provisions of the Debt Collection Improvement Act; (4) eligibility is governed by Federal Crop Insurance Fraud provisions; (5) provisions regarding permitted entity, person determinations, and state and local government entity determinations may apply; (6) receipt of business-plan payments is contingent upon the approval by the Farm Service Agency of an initial and/or final business plan by the date shown in Item 10B; and (7) any TAAF application must be received no later than the deadline date announced for each certified commodity and shown in Item 3 of this application. The undersigned applicant certifies that: (1) all the information entered on this application is true and correct and that the applicant was a producer of the petition commodity during the petition crop year and one of the immediate preceding 3 crop years; and (2) the applicant did not receive cash benefits under the TAA for Workers or TAA for Firms programs, or TAAF benefits under another commodity petition. The applicant understands that providing a taxpayer identification number and type is voluntary but that benefits cannot be provided without this information. The applicant agrees, if requested, to provide: (1) any documentation required to determine program eligibility to the satisfaction of the County FSA Committee, and (2) responses to program evaluation of impacts on employment and business changes. The applicant understands that providing a false certification to the U.S. Government is punishable by imprisonment, fines or other penalties. The criminal and civil fraud statutes that apply to this certification, may include 15 USC 286 71-4m, 18 USC 286, 297, 371, 641, 651, and 1001; and 31 USC.</p>						
12. Applicant's Signature	13. Training Attendee: Individual Applicants: may name 1 alternate Entity Applicants: must name attendee; may name 1 alternate		14A. Tax ID Number	14B. Tax ID Type	15. Date Signed (MM-DD-YYYY)	16. Refused Payment? YES NO
	Attendee:					
	Alternate:					
<b>PART E – CCC REVIEW OF SUBMITTED PRODUCTION AND PRICE INFORMATION</b>						
17. Review Item 11 and enter a checkmark for Items A, B, and C and complete one of the 3 options listed as D, E, and F below:						YES NO
A. Was application filed within the 90-day application period? (See dates entered in Items 3 and 4)?						
B. Did applicant have production in the petition MY (See Item 11C)?						
C. Did the applicant produce the commodity in one of the 3 years prior to the petition MY (See Item 11D)?						
<b>OPTION 1.</b>						
D. Is the quantity in Item 11E less than the quantity in Item 11F?						
<b>OPTION 2.</b>						
E. Is the price in Item 11G less than the 3-year average price in Item 11L?						
<b>OPTION 3.</b>						
F. Is the price in Item 11M less than the price in Item 11N?						
<b>PART F – CCC DETERMINATION OF APPROVAL FOR TRAINING</b>						
18. For application approval, the answers to the following questions in Items 11 and 17 must be:						
A. "YES", for questions "A", "B", and "C" in Item 17.						
B. "YES", to at least one of questions "D", "E", or "F" in Item 17.						
C. "NO", for both questions "A" and "B" in Item 11.						
19. Application Status: APPROVED <input type="checkbox"/> REFER TO FAS <input type="checkbox"/> (If not approved, complete Item 20)						
20. Justification for Referral to FAS:						
21A. Name and Address of County FSA Office (Including Zip Code)				21B. Telephone Number (Including Area Code)		
22A. Signature of COC Representative		22B. Title of COC Representative		22C. Date Signed (MM-DD-YYYY)		
23A. Signature of Second-Party Reviewer		23B. Title of Second-Party Reviewer		23C. Date Signed (MM-DD-YYYY)		
<p>The U.S. Department of Agriculture (USDA) prohibits discrimination in all of its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, political beliefs, genetic information, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410, or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). USDA is an equal opportunity provider and employer.</p>						

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**Section 5 Processing FSA-229-1's and Benefit Decisions**

**71 General Policy for Approvals/Disapprovals**

**A General Policy**

Approvals or disapprovals are recorded in the TAA for Farmers Excel spreadsheet or web-based software, as applicable, for each of the following events:

- FSA-229-1, including all eligibility issues
- reimbursement of travel expenses (must attend initial training and submit FSA-232 to the County Office)
- initial business-plan payment (must attend training and submit an approved plan within 36 months from FAS-930 certification date)
- final business-plan payment (must attend training and submit an approved plan within 36 months from FAS-930 certification date).

71 **General Policy for Approvals/Disapprovals (Continued)****B DAFP Authority to Waive Deadlines and Requirements**

USDA agencies administering TAA for Farmers shall take every reasonable and legal opportunity to maximize producer eligibility for training and benefit approval.

TAA for Farmers regulations at 7 CFR 1580.501(e) provide authority to DAFP to waive or modify nonstatutory deadlines or other program requirements in cases where lateness or failure to meet other program requirements by applicants does **not** adversely affect program operation.

Some instances where FSA-229-1's do **not** strictly meet program requirements, but can be approved, include the following:

- FSA misaction or misinformation
- producer planted the crop or attempted to produce the crop, but sustained zero-production during the petition-certified marketing year because of natural disaster, hail or other weather-related damage, crop failure, or other extraordinary circumstances beyond control of the producer; in such cases, zero production is acceptable as the production level for the year
- price received in the petition marketing year did **not** decline (and may have increased overall) compared to the prior 3-year average price because of changes in the variety or quality of production.

If FSA State Office staff is aware of any other circumstances that appear to unfairly limit applicant eligibility, they shall request a waiver or modification of nonstatutory requirements from DAFP.

72 **Entering Information Into SCIMS**

**A Required Producer Eligibility Information**

County Offices shall:

- enter applicant into SCIMS according to 1-CM, if not previously entered

\* \* \*

- set the following eligibility flags according to 3-PL:
  - “Person” for 2008-crop commodities **only**
  - “AGI” from CCC-526 or CCC-926, as applicable
  - “Conservation Compliance”
- \*--update the combined producer and joint operation files, as applicable, for 2008-crop commodities **only**
- update the combined producer files about common attribution for 2009 and subsequent commodities.--\*

72 Entering Information Into SCIMS (Continued)

**B Information Sources**

For TAA for Farmers applicants applying for the first time, enter information from the applicable forms, as follow:

- AD-1026
- \*--CCC-502A, CCC-502B, CCC-502C, CCC-902E for an entity, or CCC-902I Short Form for an individual
- CCC-526 or CCC-926
- FFAS-12 or SF-1199A.

**Note:** See subparagraph 55 A for the items/parts of the forms to be used.--\*

**C Eligibility Rules**

The following eligibility rules may apply differently depending on the certified MY of the TAA for Farmers commodity.

<b>TAA for Farmers Eligibility Provision</b>	<b>2008 Crop</b>	<b>2009 and Subsequent Crops</b>
***	***	***
AD-1026	Yes	Yes
AGI Limits	\$2.5 Million	Nonfarm Income \$500,000 and Farm Income \$750,000
***	***	***
Conservation Compliance	*--Yes <u>1</u> /	Yes <u>1</u> /--*
Controlled Substance	Yes	Yes
Counter-Cyclical and TAA for Farmers Pay Limits	Yes	Yes
DCIA	No	No
Federal Crop Insurance	No	No
Federal Crop Insurance Fraud	Yes	Yes
Foreign Person	Yes	Yes
NAP Non-Compliance	No	No
***	***	***
Person	Yes	No
SDA, Beginning Farmer, Limited Resource Producer	No	No
State/Local Government Entity	Yes	No

\*--1/ Applicants are compliant if they are without land association.--\*

**73 Processing FSA-229-1's****A Recording the 6 Events Comprising One FSA-229-1**

FSA or CFFM **must** record an applicant's compliance with each of the following 6 events for the applicant to obtain all TAA for Farmers benefits:

- Event 1: Submission of FSA-229-1.
- Event 2: Attendance at mandatory initial training.
- Event 3: Attendance/completion of intensive training.
- Event 4: Optional submission of claim for travel/per diem expenses.
- Event 5: Submission of approved initial business plan.
- Event 6: Submission of approved long-term business plan.

FSA will record compliance for Events 1 and 4.

CFFM will record compliance for Events 2, 3, 5, and 6.

**B Using Compliance Status Codes**

FSA or CFFM will record compliance with each event by assigning the event an alphabetical "Status Code." These entries will be made to the Excel spreadsheet until the web-based software is available.

73 Processing FSA-229-1's (Continued)

**B Using Compliance Status Codes (Continued)**

CFFM has **no** authority to approve or disapprove benefits, and CFFM's entries are always recommendations to FAS. FSA can approve FSA-229-1's and, if recommended by CFFM, business-plan payments. Only FAS can disapprove benefits. The codes to be assigned to these events are 1 of the following.

<b>Compliance Status Code</b>	<b>Meaning of Code</b>
A (Approved)	Applicant has successfully completed the event requirements (such as submitting an approved FSA-229-1, attending training, etc.).
P (Pending)	Additional information is required, or action by CFFM or FSA is incomplete. Used as default status for new FSA-229-1's. The event eventually is to be set to either "A" or "R" status by either FSA or CFFM.
PF (Pending by FAS)	Used, by FAS <b>only</b> , to reset an event status previously set to "R" by the County Office, or "D" by FAS.  <b>Example:</b> A previously disapproved training attendance is successfully appealed and credit for attendance must be provided. FAS would reset the status of the event from "D" to "PF" so the County Office can process any additional payment that might be approved.
R (Refer to FAS)	Used to refer the action to FAS and FAS will, in turn, reset the code for the event to "D". <b>Only</b> FAS can disapprove any FSA-229-1 or deny a cash benefit payment because of nonattendance at training or not completing a business plan.
D (Disapproved)	Used, by FAS <b>only</b> , to indicate that the applicant is ineligible for all training and cash payments following the disapproval.

73 Processing FSA-229-1's (Continued)

**C Using Numeric “Reason Codes” for Events Referred to FAS for Disapproval**

FSA or CFFM must inform FAS of the reason for recommending that FAS disapprove FSA-229-1 by entering, into the Excel spreadsheet or the web-based software, as applicable, 1 of the following reason codes that represents the reason approval cannot be granted.

**Notes:** Reason codes may be amended by FAS if additional reasons are needed.

Reason codes are entered:

- as 1 or 2-digit **only**
- **only** if an event status is set to “R”
- as code 99 if the reason is **not** stated in the provided list; if Code 99 is used, then a text explanation **must** be entered in Column “Z” of the Excel spreadsheet or in a designate field in the web-application process.

Code	Reason for Setting the Event to “R”
<b>Codes for Disapproval of Event #1, FSA-229-1</b>	
1	Complete FSA-229-1 was <b>not</b> submitted on or before the application deadline as required by Trade Act of 1974, Section 296 (a)(1)(A) and regulations at 7 CFR 1580.301(b).
2	Producer did <b>not</b> provide evidence of producing the petition crop in the petition year as required by Trade Act of 1974, Section 296 (a)(1)(A) and regulations at 7 CFR 1580.301(d).
3	Producer did <b>not</b> provide evidence of production in 1 of the 3 years immediately preceding the petition crop year as required by Trade Act of 1974, Section 296(a)(1)(A)(i) and regulations at 7 CFR 1580.301(c)(1).
4	Producer did <b>not</b> provide evidence of any 1 of the following as required by Trade Act of 1974, Section 296 (a)(1)(A) and regulations at 7 CFR 1580.301(d)(2) or (3): <ul style="list-style-type: none"> <li>• that production in the petition year was less than production in the most recent year of production before the petition year</li> <li>• that the price received for the commodity in the petition year was less than the average price received during the prior 3 years</li> <li>• that the effective posted county price for the commodity on the petition filing date was less than the average effective posted county price for the prior 3 marketing years.</li> </ul>

73 Processing FSA-229-1's (Continued)

C Using Numeric "Reason Codes" for Events Referred to FAS for Disapproval (Continued)

Code	Reason for Setting the Event to "R"
<b>Codes for Disapproval of Event #1, FSA-229-1 (Continued)</b>	
5	Producer received benefits under another TAA for Farmers petition and is ineligible for additional benefits as provided by Trade Act of 1974, Section 296 (a) and regulations at 7 CFR 1580.301(d)(5).
6	Producer received benefits under either TAA for Workers or TAA for Firms programs as disallowed for eligibility under Trade Act of 1974, Section 296 (a) and by regulations at 7 CFR 1580.301(d)(5).
7	Producer's AGI exceeds limits for the year associated with the TAA for Farmers petition as disallowed for eligibility by Trade Act of 1974, Section 296 (a) and regulations at 7 CFR 1580.301(e)(1).
8	Applicant did <b>not</b> provide acceptable ID issued by a State or Federal Government agency or applicant has TIN that is temporary as provided by 7 CFR 1400.401.
9	Applicant is <b>not</b> a U.S. citizen or lawful alien possessing a valid Alien Registration Receipt Card as provided by 7 CFR 1400.401.
10	Applicant has been convicted of a controlled substance violation under State or Federal law and is ineligible as provided by 7 CFR 718.6.
11	Applicant did <b>not</b> submit CCC-526/CCC-926 as provided by Trade Act of 1974, Section 296 (a)(2)(A) and (B) and regulations at 7 CFR Part 1400 Subpart F.
12	Applicant did <b>not</b> submit AD-1026 to indicate compliance with HELC/WC as provided by 7 CFR Part 12.7 and the Food Security Act of 1985, as amended by Pub. L. 101-624; 104-127, and 107-171.
*--13	Applicant's average AGI, nonfarm income, or farm income exceeds limits established by 7 CFR Part 1400 for the applicable crop year as authorized by Trade Act of 1974, Section 296(a)(2)(A).--*
***	***
<b>Code for Disapproval of Event #2, Further Participation Disapproved for Failure to Attend Initial Training.</b>	
14	Applicant did <b>not</b> attend the initial technical assistance and is; therefore, ineligible for additional training or cash benefits as authorized by Trade Act of 1974, Section 296 (b)(2) and provided in 7 CFR 1580.302 (b).

## 73 Processing FSA-229-1's (Continued)

## C Using Numeric "Reason Codes" for Events Referred to FAS for Disapproval (Continued)

Code	Reason for Setting the Event to "R"
<b>Code for Disapproval of Event #3, Further Participation Disapproved for Failure to Attend/Complete Intensive Training.</b>	
*--15	Applicant did <b>not</b> attend or complete the long-term technical assistance and is; therefore, ineligible for additional training or cash benefits as authorized by Trade Act of 1974, Section 296 (b)(2) and provided in 7 CFR 1580.302 (b).
<b>Codes for Disapproval of Event #4, Reimbursement of Travel and Per Diem</b>	
16	Submitted travel expense voucher was <b>not</b> supported by receipts of claimed expenses as provided by 41 CFR Part 301-52.4.
17	Submitted travel expense voucher was <b>not</b> signed by the applicant to certify the expenses claimed as provided by 41 CFR 301-52.3.
18	Submitted travel expense voucher was <b>not</b> signed by the training instructor to validate attendance at the training as provided by 41 CFR 301-52.6.
<b>Codes for Disapproval of Event #5, Initial Business-Plan Payment</b>	
19	Applicant did <b>not</b> attend the required initial technical assistance training for writing an initial business plan as authorized by Trade Act of 1974, Section 296(b)(2)(A and B) and (3)(A)(i) provided by 7 CFR 1580.302(d).
20	Applicant did <b>not</b> submit an initial business plan as authorized by Trade Act of 1974, Section 296(b)(3) and 7 CFR 1580.302(d).
21	Applicant submitted an initial business plan after the required deadline as identified on FSA-229-1 as required by 7 CFR 1580.302(i).
22	FAS disapproved the initial business plan because it did <b>not</b> meet plan requirements as required by 7 CFR 1580.302(d) and (e).
<b>Codes for Disapproval of Event #6, Long-Term Business-Plan Payment</b>	
23	Applicant did <b>not</b> submit a long-term business plan as required by Trade Act of 1974, Section 296(b)(4)(B) and provided by 7 CFR 1580.302 (g).
24	FAS disapproved the submitted long-term business plan because it did <b>not</b> meet plan requirements as required by Trade Act of 1974, Section 296(b)(4)(B) and provided by 7 CFR 1580.302 (g).
25--*	Applicant submitted a long-term business plan after the required deadline as identified on FSA-229-1 as provided by 7 CFR 1580.302(i).
<b>Code (for Any Event) for Reasons Not Listed</b>	
99	Code indicates that a reason different from reasons listed in this table applies to the "R" status. The reason is stated in Column "Z" of the Excel spreadsheet or web-based software, as applicable.

73 Processing FSA-229-1's (Continued)

**D Required Applicant Compliance**

The following table summarizes the actions required by applicants for full benefits and how compliance is recorded.

<b>Applicant Events Required for Benefits</b>	<b>IF the applicant...</b>	<b>THEN...</b>
Event #1:  Applicant <b>must</b> submit FSA-229-1.	<ul style="list-style-type: none"> <li>• submits FSA-229-1:                             <ul style="list-style-type: none"> <li>• by the application deadline</li> <li>•*--with required certification or documentation--*</li> </ul> </li> <li>• meets all eligibility requirements</li> </ul>	FSA approves FSA-229-1 by setting application status to "A". Applicant is eligible for initial orientation, reimbursement of travel to attend the initial training, intensive training, and business plan payments pending completion of those events.
	<ul style="list-style-type: none"> <li>• submits FSA-229-1:                             <ul style="list-style-type: none"> <li>• after the application deadline</li> <li>•*--without adequate certification or documentation--*</li> </ul> </li> <li>• does <b>not</b> meet eligibility requirements</li> </ul>	FSA refers FSA-229-1 to FAS for disapproval by setting the application status to "R". FAS will disapprove FSA-229-1 and notify the applicant of disapproval and appeal rights and procedure.  <b>Note:</b> Applicants can attend orientation training if approval is pending. But <b>only</b> approved applicants are eligible for reimbursement of travel expenses and subsequent training.

73 Processing FSA-229-1's (Continued)

D Required Applicant Compliance (Continued)

Applicant Events Required for Benefits	IF the applicant...	THEN...
Event #2:  Applicant must attend mandatory initial (orientation) training.	attends orientation (Phase I) training  <b>Note:</b> If expenses will be claimed by the applicant, FSA-232, item 10A <b>must</b> be validated by the instructor to verify attendance.	CFFM records the applicant's attendance at training in the web-based application process. The applicant remains eligible for intensive technical training and cash payments, including reimbursement of travel expenses to the initial training.
	does <b>not</b> attend orientation (Phase I) training	CFFM refers this mandatory requirement to FAS by setting the status code for this event to "D" and providing a reason code. FAS creates the notification letter and e-mails it to the County Office, which in turn mails the letter that notifies the applicant of ineligibility for further training and cash payments.
*--Event #3:--*  Applicant must attend/complete the minimum mandatory (Phase II) intensive technical training.	attends minimum intensive training requirements as validated by CFFM and recorded in application software	CFFM records attendance at training. The applicant is eligible for cash payment if business plans meeting CFFM requirements are submitted to instructor.
	does <b>not</b> attend required intensive training as validated by CFFM and recorded in application software	CFFM refers event to FAS for disapproval by setting the event code to "D". FAS, through FSA, notifies applicant of ineligibility for further training and cash payments.

73 Processing FSA-229-1's (Continued)

D Required Applicant Compliance (Continued)

Applicant Events Required for Benefits	IF the applicant...	THEN...
<p>*--Event #4:--*</p> <p>Applicant may submit an optional claim for reimbursement of travel expenses.</p>	<ul style="list-style-type: none"> <li>• attends Phase I training and FSA-229-1 was approved</li> <li>• submits FSA-232 validated by the Phase I instructor</li> </ul> <p>did or did <b>not</b> do 1 of the following:</p> <ul style="list-style-type: none"> <li>• did <b>not</b> attend orientation</li> <li>• did <b>not</b> have FSA-232 validated</li> <li>• did attend orientation, but FSA-229-1 was <b>not</b> approved</li> </ul>	<p>FSA will process claim for travel expenses and disburse claimed amounts that are within Federal travel rate maximums.</p> <p>FSA will refer reimbursement claim to FAS for disapproval of the entire amount by setting the event code to "R". FAS, through FSA, notifies applicant of ineligibility for * * * reimbursement.</p>
<p>Event #5:</p> <p>Applicant must submit an initial business plan meeting minimum CFFM requirements.</p>	<p>submits an approved initial business plan</p> <p>does <b>not</b> submit an approved initial business plan</p>	<p>CFFM recommends plan approval in application software by setting the status of this event to "A". FSA views the CFFM initial business plan approval and * * * disburses cash payment (maximum payment = \$4,000).</p> <p>CFFM recommends disapproval of the initial plan by setting this event status to "D". FAS, through FSA, notifies applicant of ineligibility for further training and cash payments.</p>
<p>Event #6:</p> <p>Applicant must submit a long-term business plan meeting minimum CFFM requirements.</p>	<p>submits long-term business plan</p> <p>does <b>not</b> submit an approved long-term business plan</p>	<p>CFFM recommends plan approval by setting event status to "A". FSA approves business plan and disburses cash payment (maximum payment = \$8,000).</p> <p>CFFM recommends disapproval of the long-term plan by setting this event status to "D". FAS, through FSA, notifies applicant of ineligibility for cash payments.</p>

**73 Processing FSA-229-1's (Continued)**

**E Notifying Applicants of Disapprovals**

FAS will initiate FAS-931 if FAS disapproves:

- FSA-229-1
- further participation in training for failure to attend the initial training
- reimbursement of the total value of claimed travel expenses
- payment for an initial business plan
- payment for a long-term business plan.

When FAS sets an event status code to “D” disapproved, the web software will complete FAS-931 reflecting the disapproved event and reasons for the disapproval. An e-mail will be sent to the County Office informing them of the availability of FAS-931 that will be dated and signed.

The County Office prints FAS-931 and mails it to the applicant. Instructions for accessing FAS-931 are included in the web-process instructions.

## 73 Processing FSA-229-1's (Continued)

## F Example of FAS-931

The following is an example FAS-931 by which FAS notifies an applicant of a disapproval of FSA-229-1, eligibility for further participation, or a business plan payment.

 <p><b>Agricultural TRADE ADJUSTMENT ASSISTANCE</b></p> <p>United States Department of Agriculture</p> <p>Farm and Foreign Agricultural Services</p> <p>Foreign Agricultural Service</p> <p>International Trade Policy</p> <p>Import Policies and Programs Division</p> <p>1400 Independence Avenue, S.W. AgStop 1021 Washington, DC 20250-1021</p>	<p style="text-align: right;">February 16, 2011</p> <p>John Shrimper 345 Coastal Road Corpus Christi, TA 12345</p> <p>Dear Mr. Shrimper:</p> <p>Your application under the Trade Adjustment Assistance for Farmers (TAAF) petition for 2009 Texas shrimp has been disapproved.</p> <p>This disapproval is based on the following finding:</p> <p>A complete application was not submitted on or before the application deadline as required by regulations at 7 CFR 1580.301(b) and Section 296(a)(1)(A) of the Trade Act of 1974.</p> <p>An administrative appeal may be filed within thirty (30) calendar days of the date of this letter. The appeal letter should be mailed to the Deputy Administrator, Office of Trade Programs, 1250 Maryland Avenue, SW, Washington, D.C. 20024</p> <p>To appeal, your appeal letter must include:</p> <ol style="list-style-type: none"> <li>1. Your name, address, telephone number, and email address;</li> <li>2. A statement advising why the FAS determination is in error;</li> <li>3. The date, next to your original signature.</li> </ol> <p>Mail your appeal letter using the U.S. Postal Service via certified mail (return receipt requested). The U.S. Postal Service postmark on your appeal letter will be used in determining whether your appeal letter was received by the 30-day deadline for filing your appeal letter.</p> <p>If you need additional information pertaining to the appeal process, please contact the Trade Adjustment Assistance for Farmers staff at (202) 720-0638.</p> <p>Sincerely,</p> <p style="text-align: center;"><i>Elizabeth Berry</i></p> <p>Elizabeth Berry Director Import Policies and Export Reporting Division Foreign Agriculture Service</p> <p style="text-align: right; font-size: small;">USDA is an Equal Opportunity Employer</p> <p><b>FAS-931</b></p>
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## 74 Processing FSA-232's

## A Approving FSA-232's

Producers may request reimbursement of local travel expenses incurred to attend the initial TAA for Farmers orientation training, subject to the maximum Federal travel rates and verification of attendance by the instructor. The statutory authority for TAA for Farmers provides that travel costs are **not** reimbursed for attending the intensive training even though intensive training may be longer and more costly to the producer.

Only local travel costs are reimbursable. International travel expenses incurred to attend the initial training will not be reimbursed; domestic expenses for air travel or travel to another State will only be reimbursed if the specific expense is approved **in advance** by FAS's Import Policy and Export Reporting Division or PSD.

Producers request reimbursement of costs to attend the initial training by submitting FSA-232 to the same County Office where they submitted FSA-229-1. All FSA-232 disbursements are made to the applicant. FSA-232 is:

- completed by the person who attends the training
- validated in item 10 A by the instructor at initial training
- submitted by the attendee by mail, FAX, or e-mail to FSA County Office. \* \* \*

**Note:** FSA-232's submitted by producers are paid from TAA for Farmers Program funds. Do **not** enter any producer into GovTrip for reimbursement of travel claims from FSA travel funds.

FSA enters FSA-232 amount into the \* \* \* web-based software \* \* \*. FSA-232's can be approved by FSA, if:

- applicant submits a completed FSA-232 within 60 calendar days from the last travel date
- FSA-232 has been signed by the TAA for Farmers instructor
- claim amount is within Federal limits.

If claimed amount exceeds the amount authorized by Federal travel guidelines, COC shall:

- enter in FSA-232, item 8A an explanation for reducing the claimed amount
- approve the request for the correct amount and enter the corrected amount into the web-based software, when available, for payment
- notify the producer of the:
  - correction to the claim amount
  - producer's right to appeal the reduction.

**Note:** Paying FSA-232 for less than the full amount of FSA-232 is administratively preferred to denying the entire FSA-232. To avoid appeals, properly explain the correction (reduction) of the claimed amount.

74 Processing FSA-232's (Continued)

B Example of FSA-232

The following is an example FSA-232 used by TAA for Farmers applicants to submit a claim for travel expenses incurred to attend **only** the initial training.

This form is available electronically. <b>FSA-232</b> U.S. DEPARTMENT OF AGRICULTURE (05-14-10) Farm Service Agency		Form Approved – OMB No. 0560-0040	
<b>TRADE ADJUSTMENT ASSISTANCE (TAA) FOR FARMERS TRAVEL AND EXPENSE CLAIM FORM</b>		1. State where TAA application was submitted 48	
		2. County where TAA application was submitted 409	
3A. Applicant's Name  Johnny Shrimper		3B. Applicant's Address (Including the 9-Digit Zip Code if known)  45 Shrimp Cocktail Lane Sinton, TX 78387-2930	
<b>INSTRUCTIONS FOR COMPLETION OF ITEMS 5 THROUGH 7 BELOW:</b>			
4. Following are the maximum travel reimbursement rates for (City/State) (a) <u>Sinton, TX</u> during scheduled TAA for Farmers training for Maximum lodging per night \$ (b) <u>70.00</u> ; first and last day maximum meals and incidental expenses (M&IE) \$ (c) <u>34.50</u> ; and M&IE all other days \$ (d) <u>46.00</u> . Attach all receipts for claimed expenses other than for mileage. Per diem expenses are reimbursable only if travel time exceeds 12 hours and the training location is more than 35 miles one way from the producer's permanent residence. M&IE is reimbursed at the lesser of actual expenses or 75 percent of daily maximum rate for first and last travel dates and 100 percent for all other days.			
5. Itinerary		1 <sup>st</sup> Travel Date: 04/24/2020	2 <sup>nd</sup> Travel Date: _____
a.	FROM: City/State	Portland, TX	
b.	Combined Total hours for travel and training	5 hours	_____ hours
c.	TO: City/State	Sinton, TX	
6. Per Diem = M&IE plus lodging: Lesser of Actual or Maximum Rates as shown in Instructions in Item 4 above.		Per Diem	Per Diem
a.	Per Diem Days: Enter ¼ of daily rate for first and last travel days	_____ days	_____ days
b.	M&IE: Enter lesser of actual or applicable rates from Item 4c or 4d.	\$ _____ + \$ _____	\$ _____ + \$ _____ = \$ _____
c.	Lodging: Enter lesser of actual or max rate from Item 4b and attach receipt.	\$ _____ + \$ _____	\$ _____ + \$ _____ = \$ _____
d.	Total Per Diem (Total of Items 6b and 6c)	\$ _____ + \$ _____	\$ _____ + \$ _____ = \$ _____
7. Other Expenses and Total Claims			
a.	Transportation (Bus, etc.)	\$ _____ + \$ _____	\$ _____ + \$ _____ = \$ _____
b.	Miscellaneous: lodging taxes, parking, road tolls.	\$ _____ + \$ _____	\$ _____ + \$ _____ = \$ _____
c.	Telephone: Max \$5.00/day.	\$ _____ + \$ _____	\$ _____ + \$ _____ = \$ _____
d.	Mileage: Mileage Rate: (Total Claim Amt. = Miles time Rate)	Miles: 30 Rate: 0.50/mile Claim: \$ 15.00	Miles: _____ Rate: _____ Claim: \$ _____
e. Total Claim Includes Total Per Diem (Items 6D + Items 7a through 7d): \$ _____			
8. Remarks:  Per diem and lodging not reimbursable because travel less than 12 hours total and within 35 miles from applicant's primary residence.			
9. Producer's Certification: I certify that this claim for reimbursement is based on the lower of a) actual expenses or b) rates shown in Instructions in Item 4 on Page 1.			
9A. Applicant or Authorized Alternate Signature			9B. Date (MM-DD-YYYY) 05/05/2010
10. Instructor's Certification: I attest that the TAA applicant identified in Item 3 (or an alternate authorized by the applicant) attended TAA initial training.			
10A. Instructor's Validation or Stamp			10B. Date (MM-DD-YYYY) 04/24/2020
11A. FSA Approval Official's Signature	11B. Title	11C. FSA's Payment Approval <input checked="" type="checkbox"/> Approved <input checked="" type="checkbox"/> Refer to FAS	11D. Date (MM-DD-YYYY) 05/05/2010
12A. Second Party Reviewer's Signature	12B. Title	12C. Second Party Reviewer's Approval: <input checked="" type="checkbox"/> Approved <input checked="" type="checkbox"/> Refer to FAS	12D. Date (MM-DD-YYYY) 05/05/2010

74 Processing FSA-232's (Continued)

B Example of FSA-232 (Continued)

FSA-232 (05-14-10) Page 2

Note: *The following statement is made in accordance with the Privacy Act of 1974 (5 USC 552a – as amended). The authority for requesting the information identified on this form is the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) or eligibility for the Trade Adjustment Assistance for Farmers (TAAF) Program. The information will be used to determine eligibility for travel reimbursement provided by the Trade Adjustment Assistance for Farmers (TAAF) Programs. The information collected on this form may be disclosed to other Federal, State, Local government agencies, Tribal agencies, and nongovernmental entities that have been authorized access to the information by statute or regulation and/or as described in applicable Routine Uses identified in the System of Records Notice for USDA/FSA-2, Farm Records File (Automated). Providing the requested information is voluntary. However, failure to furnish the requested information will result in a determination of ineligibility for travel reimbursement under TAAF.*

*According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0560-0040. The time required to complete this information collection is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The provisions of appropriate criminal and civil fraud, privacy, and other statutes may be applicable to the information provided. **RETURN THIS COMPLETED FORM TO YOUR FSA COUNTY OFFICE NO LATER THAN 60 DAYS AFTER THE TRAVEL EXPENSE WAS INCURRED.***

*The U.S. Department of Agriculture (USDA) prohibits discrimination in all of its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, political beliefs, genetic information, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD).*

*To file a complaint of discrimination, write to USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410, or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). USDA is an equal opportunity provider and employer.*

## 74 Processing FSA-232's (Continued)

**C Disapproving FSA-232's**

COC may **not** approve FSA-232 if either of the following is true:

- applicant is determined ineligible by either the AGI or PL routines
- FSA-232 is not validated by the instructor (to verify attendance at training) and the applicant.

Lodging expenses or travel by public conveyance may **not** be reimbursed unless supported by a receipt. The travel claim may be placed in "Pending" status, if it is submitted without required receipts.

Only FAS is authorized to disapprove FSA-232's. For each FSA-229-1 that FAS **cannot** approve, the County Office shall, on FSA-232:

- in item 8A, explain why the claim **cannot** be approved
- in item 11B, CHECK (✓) "Refer to FAS" and set travel claim statuses in software to "Refer to FAS"
- sign item 11A and enter signature date in item 11C.

FAS disapproves FSA-232 by:

- in the web-based software, when available, changing FSA-232 payment status from "Refer to FAS" to "Disapproved"
- entering a date and initials into the TAA for Farmers Excel spreadsheet or web-based software, as applicable, to record the disapproval.

**Note:** This initiates an e-mail to the County Office informing it that the status has been set to, "Disapproved" and to send FAS-931 to the producer.

**75 Processing Initial and Long-Term Business-Plan Payments**

**A Approving Business-Plan Payments**

Business-plan payments are approved only **after** the following sequence of events:

- producer attends initial training
- producer attends intensive training
- producer submits a business plan that meets approval requirements
- instructor/center notifies FSA of its recommendation to approve the plan
- FSA approves the business plan
- FAS has determined and announced payment rates for FAS-930 based on any needed payment-rate reductions.

**75 Processing Initial and Long-Term Business-Plan Payments (Continued)****B Disapproving Business-Plan Payments**

Only FAS provides disapproval of business-plan payments. The web-based software is being designed to process each business plan and its payment separately from the other business plan.

Any disapproval of a business plan and its associated payment consists of 3 steps as follows:

- instructor indicates in web-based software, when available, that the initial or long-term business plan does **not** meet minimum requirements
- FSA sets the business plan/payment status indicator to “Refer to FAS”
- FAS sets the business plan/payment status indicator to “Disapproved”.

COC may **not** approve an applicant to receive a business-plan payment if the:

- instructor did **not** recommend approval of the business plan
- applicant is determined ineligible by either AGI or PL routines
- FSA-229-1 cannot be approved.

Only FAS is authorized to disapprove a business-plan payment. FAS disapproves the business-plan payments by:

- changing the business-plan payment status in the web-based software, when available, from “Refer to FAS” to “Disapproved”
- entering a date \* \* \* into the web-based software, when available, to record the disapproval.

**Note:** This initiates an e-mail to the County Office informing it that the status has been set to, “Disapproved” and to send FAS-931 to the producer (subparagraph 73 E).

**75 Processing Initial and Long-Term Business-Plan Payments (Continued)****C Example of FAS-931**

FAS-931 is a system-generated form that will be sent by FAS to County Offices for each disapproval action taken by FAS. FAS-931's will be:

- sent as an e-mail attachment from FAS to the County Office
- initially transmitted to the e-mail specified by the County Office
- subsequently printed by the County Office and mailed to the TAA for Farmers applicant.

**Note:** County Offices specify the e-mail address to which FAS sends FAS-931's by entering it into either the Excel spreadsheet or web-based software, as applicable, (subparagraph D).

FAS-931 is used to provide notifications to producers that FAS has disapproved:

- “the TAA for Farmers producer application” (Event 1)
- “further participation for failure to attend or complete initial training” (Event 2)
- “further participation for failure to attend/ complete intensive training” (Event 3)
- “reimbursement of the full value of claimed travel/per diem expenses” (Event 4)
- “payment for an initial business plan” (Event 5)
- “payment for a long-term business plan” (Event 6).

75 Processing Initial and Long-Term Business-Plan Payments (Continued)

**D Establishing E-Mail Addresses**

When changing FSA-229-1’s status to, “Refer to FAS”, County Offices must provide FAS the e-mail address for the County Office to receive the notification that FSA-229-1 was disapproved.

County Offices inform FAS of their e-mail address when changing FSA-229-1’s status to, “Refer to FAS”, through the following steps.

Step	Action
1	On the TAA for Farmers Application Menu, CLICK “ <b>Change Status</b> ”.
2	CLICK “ <b>Refer to FAS</b> ”.
3	Enter the e-mail address in the space provided opposite to, “E-mail address to send FAS notice”.

After FAS has changed FSA-229-1 status to “Disapproved”, a message is sent to the e-mail address specified when changing FSA-229-1’s status to “Refer to FAS”. County Offices will be able to generate FAS-931’s that are ready for mailing and will contain the following:

- applicant name and address
- date of disapproval
- reasons for disapproval
- signature of approved FAS official.

## 76 Entering FSA-229-1's Into Excel

### A Policy

Until the web-based software is available for loading FSA-229-1 data, the TAA for Farmers \*-Excel spreadsheet, available at [www.fsa.usda.gov/pricesupport](http://www.fsa.usda.gov/pricesupport), under "Hot Links", will be used as an interim tool for recording FSA-229-1 information. County Offices shall:

- enter information from each FSA-229-1 into 1 Excel spreadsheet--\*
- e-mail encrypted spreadsheets to State Offices.

State and County Office staff shall not reformat the Excel spreadsheet; it must be used by all State and County Office staff in exactly its original format.

### B Entering FSA-229-1's Into Excel Spreadsheet

All FSA-229-1's shall be entered into the Excel spreadsheet. When entered, each FSA-229-1 is assigned 1 of 3 alphabetical status indicators in Excel spreadsheet, Column S as follows:

- "P", for pending (awaiting approval or producer documentation)
- "A", for approved
- "R", for referred to FAS (awaiting disapproval).

FSA-229-1's that have been submitted with production evidence, but are pending approval because of outstanding documentation, shall be entered into the TAA for Farmers Excel spreadsheet at the earliest possible date. FSA-229-1's in pending status **must** eventually have their status changed by FAS to either of the following:

- "A", for approved, if required documentation is received
- "R", for referred to FAS, if deadlines are not met, required documentation is not provided, or an eligibility requirement is not met.

**Note:** Only FAS will assign "D", for disapproved status to any FSA-229-1 or other program event.

## 76 Entering FSA-229-1's Into Excel (Continued)

## C Using Status Codes

TAA for Farmers applicants **must** complete 6 events for full benefits, as follows.

- Event 1: Must apply and be determined eligible.
- Event 2: Must attend initial training.
- Event 3: Must attend intensive training.
- Event 4: May request reimbursement of travel expenses (initial training only).
- Event 5: Must submit an approved initial business plan.
- Event 6: Must submit an approved long-term business plan.

County Offices are responsible for recording whether Events 1 and 4 are completed.

CFFM is responsible for recording whether Events 2, 3, 5, and 6 were completed.

The completion of these events will be recorded in either the Excel spreadsheet or web-based software, as applicable, by entering a status code for the event.

The Status Code meanings are as follows:

- “A”, **approved/completed** is used by:
  - FSA to approve FSA-229-1, a partial or full travel expense reimbursement, or a business plan (based on CFFM recommendation)
  - CFFM to indicate attendance at training or its recommendation that FSA approval a business plan
- “P”, **pending** is used (optionally) by:
  - FSA to indicate FSA-229-1 is pending some additional information or to approve a partial or full travel expense reimbursement
  - CFFM to indicate that training attendance or business-plan completion has started, but is **not** complete
- “R”, **refer to FAS** is used by:
  - FSA to refer FSA-229-1 that FSA **cannot** approve to FAS for disapproval, whether for being submitted late, failed eligibility, or any other reason
  - CFFM to indicate lack of attendance at training or failure to submit a business plan that CFFM can recommend for approval

## 76 Entering FSA-229-1's Into Excel (Continued)

## C Using Status Codes (Continued)

- “D”, **disapproved** is used **only** by FAS to disapprove:
  - FSA-229-1 or the full amount of a claimed travel expense based on FSA’s recommendation
  - further program participation because of nonattendance at training, as recommended by CFFM
  - a business plan as recommended by CFFM.

When FSA-229-1 **cannot** be approved by FSA, or the full amount of a travel-expense claim must be disapproved, FSA **must** set the event status code for FSA-229-1 or the travel claim to “R”, indicating that event is referred to FAS for disapproval. Each FSA-229-1 set to “R” in Excel spreadsheet, Column S **must** be accompanied with the reason FSA-229-1 **cannot** be approved. The reason is entered into Excel spreadsheet, Column Y represented by a numeric code to simplify entry. Reason codes are listed in subparagraph 73 C.

**Note:** The Excel spreadsheet will **not** be used to record the status codes for travel claims.

Reason codes are a -1 or 2-digit numeric entry. During the period that the Excel spreadsheet is used, before web-based software is available, enter the appropriate reason code from subparagraph 73 C into Excel spreadsheet, Column Y for each FSA-229-1 status set to “R”.

## D Using Reason Codes

If the status code for any 1 of the 6 events is set to “R” (refer to FAS for disapproval), then the reason for this status decision **must** be entered into either the Excel spreadsheet or web-based software, as applicable.

Reason codes are entered into the:

- Excel spreadsheet, Column Y to explain the reason for Event 1, FSA-229-1 set to “R”
- web-based software, when available, for all events.

## 76 Entering FSA-229-1's Into Excel (Continued)

**E Instructions for Entering FSA-229-1's Into the Excel Spreadsheet**

The following table provides instructions for County Offices to enter FSA-229-1's into the Excel spreadsheet.

<b>Column</b>	<b>Entry</b>	<b>Specifications</b>
A	County Office Employee E-Mail	Enter e-mail address of the County Office employee responsible for mailing FAS-931's to applicants. This will be used by CFFM if question arise about an individual's eligibility for training.
B	FSA State Code	Enter 2-digit numeric code for the State.  <b>Example:</b> Alabama's State code is entered, "01", <b>not</b> "1".
C	FSA County Office Code	Enter 3-digit county code for the FSA County Office where FSA-229-1 is being processed.
D	Congressional District	Enter Congressional District of the applicant's address from SCIMS or by: <ul style="list-style-type: none"> <li>• accessing <a href="https://writerep.house.gov">https://writerep.house.gov</a></li> <li>• selecting the State from the #1 drop-down menu</li> <li>• entering ZIP Code (use 9 digits, if known)</li> <li>• selecting "Contact my Congressman"</li> <li>• entering district in format SSxx where SS is the 2-letter State abbreviation and xx is a 2-digit district number; for example, the 8th District of Texas is entered, "TX08".</li> </ul>
E	Petition Number	Enter the petition number for which the benefit is requested in format, "XXXXxxx".
F	Application Number	County Offices shall establish a separate numbering sequence (ledger) for each separate TAA for Farmers commodity. Every application number shall be in the format: SSSCCxxxxx where SS is the numeric State code, CCC is the numeric county code, and xxxxx is a sequential number starting with 00001 for that commodity and ending with 99999. This same sequential numbering sequence <b>must</b> be separately established in the county for each individual TAA for Farmers commodity.  <b>Example:</b> FSA-229-1 numbers for the first 15 applications under a carrot petition would be numbered from SSSCC00001-00015; and in the same County Office, the first 15 applications under a blueberry petition would also be numbered from SSSCC00001-00015.

76 Entering FSA-229-1's Into Excel (Continued)

E Instructions for Entering FSA-229-1's Into the Excel Spreadsheet (Continued)

Column	Entry	Specifications
G	Date Application Received	Enter date FSA-229-1 was received at the County Office.
<p><b>Note:</b> If applicant is an individual or entity, the applicant name is entered in FSA-229-1, item 5a and:</p> <ul style="list-style-type: none"> <li>for individuals, enter the last name, first name, and middle initial of the individual in Columns H, I, and J</li> <li>for entities and corporations, enter the name <b>only</b> in Column H.</li> </ul>		
H	Applicant Last Name	<p>If applicant is an:</p> <ul style="list-style-type: none"> <li>*--entity or corporation, enter the entity name as in SCIMS, <b>only</b> in Column H</li> <li>individual, enter the individual's last name.</li> </ul>
I	Applicant First Name	Enter the first name of an individual applicant as entered in SCIMS (subparagraph 51 C). This field is left blank if the applicant is an entity or corporation. Members of entities, and husbands and wives, may apply as individuals.
J	Applicant Middle Initial	Enter the individual applicant's middle initial or name, limited to 20 characters as entered in SCIMS. This field is left blank if--* the applicant is an entity or corporation.
K	Applicant Street Address	Enter applicant's street address to which record of payments or notifications shall be mailed.
L	City	Enter city of applicant's address.
M	State Abbreviation	Enter 2-letter State abbreviation for the applicant's address.
N	Applicant ZIP Code, 9-Digit	Enter ZIP Code in 9-digit format. Spreadsheet is formatted to auto-hyphenate any 9-digit entry. Nine digits may be required to provide geospatial reporting of benefits as required by the Recovery Act. (For some addresses, 5-digits are sufficient if ZIP Code area is not split between Congressional districts.
O	Applicant E-Mail Address	For the applicant, this is an optional entry on FSA-229-1. Enter the applicant's e-mail if it was provided. It may be needed by CFFM to contact the applicant about scheduled training.
P	Applicant Phone Number	Enter the applicant's phone number including area code. It may be needed by CFFM to contact the applicant about scheduled training.

## 76 Entering FSA-229-1's Into Excel (Continued)

## E Instructions for Entering FSA-229-1's Into the Excel Spreadsheet (Continued)

Column	Entry	Specifications
Q	*--Name of Training Alternate (Primary)	<p>If the applicant is:</p> <ul style="list-style-type: none"> <li>an entity or corporation, enter the name of the "attende" as entered on FSA-229-1, item 13</li> <li>an individual, enter the name of the applicant.</li> </ul>
R	Name of Training Alternate (Secondary)	<p>If the applicant is:</p> <ul style="list-style-type: none"> <li>an entity or corporation, enter the name of the "alternate" as entered on FSA-229-1, item 13</li> <li>an individual, enter the name of the "alternate" as entered on FSA-229-1, item 13.</li> </ul>
S	Application Status	<p>See subparagraph 52 B to determine the appropriate status code from the following 3 codes:</p> <ul style="list-style-type: none"> <li>"A", approved</li> <li>"P", pending</li> <li>"R", refer to FAS, pending disapproval.</li> </ul> <p>Enter only the single letter code (A, P, or R). Do not enter the corresponding word.--*</p> <p><b>Note:</b> Only FAS can enter a "D" code for disapproved.</p>
T	Last 4 Digits of Applicant's TIN	<p>Enter last 4-digits of TIN FSA-229-1, item 14. <b>Only</b> the last 4-digits are to be provided to CFFM.</p> <p><b>Note:</b> Columns A through T are the <b>only</b> Excel spreadsheet entries sent to CFFM by State Offices.</p>
U	Applicant's 9-Digit TIN	<p>Enter complete TIN from FSA-229-1, item 14.</p> <p><b>Note:</b> The complete TIN is entered separately from the last 4-digits as a convenience to State Offices that send Columns A through T to CFFM, but do <b>not</b> include Columns U through AA.</p>
V	Applicant's TIN Type	<p>TIN type entries are limited to the following:</p> <ul style="list-style-type: none"> <li>"S", Social Security number</li> <li>"E", employer ID</li> <li>"I", number assigned by IRS.</li> </ul>

## 76 Entering FSA-229-1's Into Excel (Continued)

## E Instructions for Entering FSA-229-1's Into the Excel Spreadsheet (Continued)

Column	Entry	Specifications
W	AGI: Payment Reduction Indicator	County Office obtains AGI limitation indicator from AGI Web service and enters either of the following: <ul style="list-style-type: none"> <li>• "Y", yes</li> <li>• "N", no.</li> </ul>
X	Refused Payment	Enter Y or N from Item 16 of FSA-229-1.
Y	Reason Code for FSA-229-1 Referred to FAS	If FSA-229-1 status entered under Column S is set to "R", enter the numeric reason code. Do <b>not</b> make an entry in Column Y unless FSA-229-1 status in Column S was set to "R".
Z	Free-Form Reason if Code is Not Listed	If FSA-229-1 status in Column S is set to "R", and a reason code is <b>not</b> already established, enter a brief explanation for setting the application status to "R".
AA	Date of Latest Status Determination.	Enter most recent date that the initial FSA-229-1 status code or any subsequent FSA-229-1's status code was determined. This date is usually the date FSA-229-1 was signed by the second-party reviewer.

77 **Managing Excel Files Used by CFFM and Web-Based Software**

**A Policy**

FSA must promptly identify TAA for Farmer applicants to CFFM so that initial training is provided within 90 calendar days from the end of a petition application period (as required by statute).

Until the web-based software is available, FSA:

- County Office staff will enter FSA-229-1 information into an Excel spreadsheet that is to be sent as an encrypted e-mail attachment to their State Office
- State Office staff will combine the county-level Excel spreadsheet into 1 State-level file; the combined file will be:
  - saved in its entirety for possible uploading to Kansas City after the web-based software is available, relieving County Office staff from having to enter FSA-229-1 information into the web-based software
  - copied, renamed, edited by eliminating Columns U through AA, and promptly sent to CFFM.

77 **Managing Excel Files Used by CFFM and Web-Based Software (Continued)****B County Excel File Creation and Transmission**

County Offices shall create **only** 1 version of the Excel spreadsheet from the format provided. Any additions, edits, or corrections shall be made to this 1 file. County Offices shall **not** create copies with different version dates.

If additions or corrections are made to the original Excel spreadsheet, County Offices shall, in **all** cases, send the amended Excel file in its **entirety** to the State Office.

The original Excel spreadsheet of applicant information shall:

- be encrypted using WinZip and password protected **before** being e-mailed (see subparagraph 77 F for encryption and password tips)
- be e-mailed to the State Office TAA specialist **within 3 workdays** following the end of a petition application period
- **not** be e-mailed directly to CFFM; county-level Excel files **must** be sent **only** to the State Office TAA specialist who will transmit them to CFFM even when only 1 county in the State is submitting an Excel file.

Any subsequent version of the entire, original Excel file shall be sent to the State Office immediately after the revision occurs. County Offices shall **not** send only the corrected or edited line; in **all** cases, County Offices shall send the entire Excel file that contains the edit, even if only 1 cell entry of the entire file has been revised.

Using the Excel spreadsheet will be discontinued as soon as the web-based software is available. State and County Offices will be notified when the transition from the Excel spreadsheet to the software can begin.

77 **Managing Excel Files Used by CFFM and Web-Based Software (Continued)****C Creating State-Level Excel File**

The Excel file created in each County Office is composed of Columns A through AA. State or County Offices shall **not** change the order of the columns or the formatting of cells.

The State Office TAA specialist shall combine all county-level Excel files into 1 State-level file. The combined State Excel file may contain FSA-229-1 information from:

- more than 1 commodity petition of the same fiscal year
- petitions of different fiscal years.

The following table distinguishes the columns entries (A through AA) sent by County Offices to the State Office from the column entries that the State Office will send to CFFM.

<b>Column</b>	<b>Column Information</b>	<b>Sent to and Retained by State Office</b>	<b>Sent by State Office to CFFM</b>
A	County Office Employee E-Mail	Yes	Yes
B	FSA State Office Code	Yes	Yes
C	FSA County Office Code	Yes	Yes
D	Congressional District	Yes	Yes
E	Petition Number	Yes	Yes
F	Application Number	Yes	Yes
G	Date Application Received	Yes	Yes
H	Applicant Last Name	Yes	Yes
I	Applicant First Name	Yes	Yes
J	Applicant Middle Initial	Yes	Yes
K	Applicant Street Address	Yes	Yes
L	City	Yes	Yes
M	State Abbreviation	Yes	Yes
N	Applicant ZIP Code, 9-Digit	Yes	Yes
O	Applicant E-Mail Address	Yes	Yes
P	Applicant Phone Number	Yes	Yes
Q	Authorized Training Substitute (Primary)	Yes	Yes
R	Authorized Training Substitute (Secondary)	Yes	Yes
S	Application Status	Yes	Yes
T	Last 4-Digits of Applicant's TIN	Yes	Yes
U	Applicant's TIN (9 Digits)	Yes	No
V	Applicant TIN type	Yes	No
W	AGI: Payment Reduction Indicator	Yes	No
X	Refused Payment	Yes	No
Y	Reason Code for Application Referred to FAS	Yes	No
Z	Free-Form Reason if Code is Not Listed	Yes	No
AA	Date of Latest Status Determination.	Yes	No

77 **Managing Excel Files Used by CFFM and Web-Based Software (Continued)****D Preparing and Transmitting Excel File to CFFM**

The State-level Excel file is:

- saved in its entirety for possible uploading into the web-based software
- reviewed by the State TAA specialist for accuracy; entries in Columns B, C, G, and H are **critical** to matching records into SCIMS and shall be checked for accuracy to assure that the correct number of alpha-numeric characters have been used for all entries
- copied, renamed, and edited by deleting Columns U through AA; this reduced version without Columns U through AA is the **only** version to be transmitted to CFFM
- encrypted using WinZip **before** being e-mailed to CFFM; policy for establishing the WinZip password for files sent to CFFM is provided in subparagraph 77 F
- e-mailed **within 5 workdays** after the end of a petition application period to **taainfo@umn.edu**.

There may be 1 or more updates to the Excel file originally sent to CFFM. If the file is resent to CFFM with updates, use the original password and send the entire Excel file, **not** just the line or cell that was added or edited.

**E Managing Edits to Excel File**

To edit a previously transmitted county-level Excel file, the County Office staff shall:

- make the change or addition to the original file and save the **entire** file
- encrypt the revised file using the original password
- send the entire file (including all records that were **not** edited) on to the State Office.

To edit a previously transmitted State-level Excel file, the State Office staff shall:

- make the change or addition to the original file containing Columns A through AA and save the **entire** file
- make a copy of the edited file in its entirety, then delete Columns U through AA to create the shorted file for transmittal to CFFM
- **encrypt** the edited, reduced file using the original password
- send the edited file (including **all** records) to CFFM.

77 **Managing Excel Files Used by CFFM and Web-Based Software (Continued)****F Encryption Method and Passwords for TAA Excel Files**

Instructions for encrypting sensitive documents using WinZip are available at <http://fsaintranet.sc.egov.usda.gov/fsatraining/>.

This URL is for FSA field operation online training. From the menu on the left of the screen, scroll down and under “Other”, CLICK “**How to Encrypt a Protected or Sensitive Document.**”

For Excel files sent from County Offices to State Offices, the State TAA specialist may:

- elect to notify County Offices of a uniform password for the initial Excel file and any subsequent file updates
- may use the password established by the transmitting County Office.

For Excel files (original and all updates) sent to CFFM, the State TAA specialists shall:

- use the password provided by PSD or CFFM
- **not** create or use a new password unless approved by CFFM **in advance** of the file transmission, to reduce the number of passwords that CFFM will have to deal with to open multiple Excel files.

## 78 Education Centers for TAA for Farmers Training

**A Training Coordination**

NIFA or their local training center representative may contact FSA State Office to coordinate training.

**B NIFA Centers**

The following table provides information about regional Risk Management education centers.

<b>Director</b>	<b>Location</b>	<b>Assigned States</b>
Ron Rainey and H.L. Goodwin, Co-Directors, Southern Region Risk Management Education Center  Phone: 501-671-2165 FAX: 501-671-2215 E-mail: <a href="mailto:srmec@uark.edu">srmec@uark.edu</a>	Southern Risk Management Education Center 2301 S University Ave Little Rock AR 72204  Phone: 501-671-2165 FAX: 501-671-2215 Web Site: <a href="http://srrme.tamu.edu">http://srrme.tamu.edu</a>	Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Oklahoma, Puerto Rico, South Carolina, Tennessee, Texas, Virginia, Virgin Islands
Dave Goeller, TAA for Farmers Specialist, North Central Risk Management Education Center  Phone: 402-472-0661 E-mail: <a href="mailto:dgoeller2@unl.edu">dgoeller2@unl.edu</a>	University of Nebraska, Department of Agricultural Economics 303 Filley Hall Lincoln NE 68583-0922 Phone: 402-472-1742 or 402-472-0776 Web Site: <a href="http://www.ncrme.org">www.ncrme.org</a>	Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, Wisconsin
Dr. H. Don Tilmon, Director, Northeast Center for Risk Management Education  Phone: 302-831-1325 E-mail: <a href="mailto:htilmon@udel.edu">htilmon@udel.edu</a>	University of Delaware 112 Townsend Hall Newark DE 19716-2130  Phone: 302-831-6540 FAX: 302-831-0857 Web Site: <a href="http://www.necrme.org">www.necrme.org</a>	Connecticut, District of Columbia, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, West Virginia
John Nelson, TAA for Farmers Specialist, Western Center for Risk Management Education  Phone: 509-477-2176 E-mail: <a href="mailto:jgnelson@wsu.edu">jgnelson@wsu.edu</a>	Washington State University Extension 222 N Havana St Spokane WA 99202  Phone: 509-477-2168 FAX: 509-477-2197 Web Site: <a href="http://westrme.wsu.edu">http://westrme.wsu.edu</a>	Alaska, Arizona, California, Colorado, Idaho, Montana, Hawaii, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming



## Reports, Forms, Abbreviations, and Redelegations of Authority

### Reports

None

### Forms

This table lists all forms referenced in this handbook.

Number	Title	Display Reference	Reference
AD-1026	High Erodible Land Conservation (HELIC) and Wetland Conservation (WC) Certification		55, 56, 72
CCC-502	Farm Operating Plan for Payment Eligibility		52, 55, 72
CCC-502A	Farm Operating Plan for Payment Eligibility Review for an Individual		55, 56, 72
CCC-502B	Farm Operating Plan for Payment Eligibility Review for a Joint Venture or General Partnership		55, 56, 72
CCC-502C	Farm Operating Plan for Payment Eligibility Review for Corporations, Limited Partnerships or Other Similar Entities		55, 56, 72
CCC-502D	Farm Operating Plan for Payment Eligibility Review for an Estate or Trust		55
CCC-502EZ	Farm Operating Plan for Payment Eligibility Review for an Individual		55
CCC-526	Payment Eligibility Average Adjusted Gross Income Certification		52, 55, 56, 72
CCC-770 ELIG 2008	Eligibility Checklist - 2008 Farm Bill		34
CCC-770 TAAF	Trade Adjustment Assistance for Farmers Application Checklist	34	18
CCC-901	Member's Information		55
CCC-902E	Farm Operating Plan for an Entity 2009 and Subsequent Program Years		55, 56, 72
CCC-902I Short Form	Farm Operating Plan for an Individual, 2009 and Subsequent Crops		55, 56, 72
CCC-926	Average Adjusted Gross Income (AGI) Statement		52, 55, 56, 72
CCC-927	2009 and/or 2010 Consent to Disclosure of Tax Information - Individual		54
CCC-928	2009 and/or 2010 Consent to Disclosure of Tax Information - Legal Entity		54

Reports, Forms, Abbreviations, and Redelegations of Authority (Continued)

Forms (Continued)

Number	Title	Display Reference	Reference
FAS-930	Trade Adjustment Assistance for Farmers (TAAF) for Farmers Petition for Certification and Eligibility for a Group of the Producers	43	Text
FAS-931	FAS Disapproval Letter	74	30, 34, 73, 74
FAS-932	FAS Letter Requesting Refund	32	
FFAS-12	Electronic Funds Transfer (EFT) Hardship Waiver Request		55, 56, 72
FSA-211	Power of Attorney		29
FSA-229-1	Trade Adjustment Assistance (TAA) for Farmers Program Application	57	Text
FSA-230	Notification of Trade Adjustment Assistance (TAA) for Farmers Benefits	28	
FSA-232	Trade Adjustment Assistance (TAA) for Farmers Travel and Expense Claim Form	74	27, 28, 34, 71, 76
I-551	Permanent Resident Card/Resident Alien Card		52
SF-1199A	Direct Deposit Sign-Up Form		55, 56, 72

Abbreviations Not Listed in 1-CM

The following abbreviations are not listed in 1-CM.

Approved Abbreviation	Term	Reference
CFFM	Center for Farm Financial Management, Department of Applied Economics, University of Minnesota	16, 28, 56, 57, 76
HTS	Harmonized Tariff Schedule of the United States	16, 41, 43
MY	marketing year	41-43, 52, 53, 56, 57, 72
NIFA	National Institute of Food and Agriculture	16, 17, 56, 75-77
TAA	Trade Adjustment Assistance for Farmers	18, 34

Redelegations of Authority

This table lists redelegations of authority in this handbook.

Redelegation	Reference
COC may redelegate to CED or designee the authority to approve FSA-229-1's.	18

**Definitions of Terms Used in This Handbook**

**Certified MY**

Certified MY is MY of the commodity for which TAA for Farmers benefits were requested on FAS-930 and were subsequently approved by the FAS Administrator.

**FAS-930 Certification Date**

FAS-930 certification date is:

- the earlier of the date of the FR notice or press release by which the FAS Administrator announces a certification of eligibility
- no later than 40 calendar days after FAS-930 acceptance date.

**\*--FAS-930 Filing Date**

FAS-930 filing date is:

- the date on which FAS accepted and began review of a petition for TAA for Farmers benefits
- not necessarily the date that FAS initially received the submitted petition because FAS may discuss the petition with the submitter before accepting it.--\*



**\*--Shrimp Weight Conversion**

Effective from the date of this amendment to 1-SP:

- the following conversion factors shall be recommended to TAA for Farmers applicants to convert shrimp weights to a uniform weight-basis
- FSA staff shall not re-compute weights already computed based using conversion factors previously supplied by FSA.

If shrimp production weights are recorded by applicants on the basis of both heads-off and heads-on weights, then the applicant can use the following conversion factors to convert 1 to the other so that the total represents a consistent weight basis.

<b>State</b>	<b>Conversion</b>
All States	Head-off weight times 1.59 equals whole-shrimp weight.
	Whole-shrimp weight times 0.629 equals head-off weight.

**Converting Volumes to Pounds**

Production expressed by quarts or gallons shall be converted to pounds of whole shrimp, heads-on weight basis according to the following factors:

- number of quarts multiplied times 1.5 equals pounds of shrimp
- number of gallons multiplied times 6.0 equals pounds of shrimp

**Converting Pieces to Pounds**

Production expressed in pieces shall be converted to pounds of whole shrimp based on local recommended conversion factors recommended by applicants, or as approved by the State program specialist. Whatever factor is used shall apply to production pieces in all years used to establish TAA eligibility.--\*



**Summary of Certified Petition Information**

The following petition has been approved.

\*--

Commodity/ Crop Year	States	Petition Number	Petition Filing Date	Petition Certification Date	Producer Application Period	Deadline for Submitting Excel File To CFFM
<b>FY 2010 Funded Petitions</b>						
Catfish 2009 <u>1/</u>	National: all States	2010001	5-3-10	6-25-10	6-25-10 Through 9-23-10	9-30-10
Asparagus 2009	National: all States	2010003	5-3-10	6-25-10	6-25-100 Through 9-23-10	9-30-10
Shrimp 2008 <u>2/</u>	AL, FL, GA, LA, MS, NC, SC, TX	2010005	5-3-10	6-25-10	6-25-10 Through 9-23-10	9-30-10
<b>FY 2011 Funded Petitions</b>						
Shrimp 2008 <u>2/</u>	AK, AL, FL, GA, LA, MS, NC, SC, TX	2011002	7-21-10	9-24-10	9-24-10 through 12-23-10	12-30-10
Lobster 2009	CT, MA, ME, NH, RI		7-21-10	9-24-10	9-24-10 through 12-23-10	
Blueberries 2009	Maine	2011015	8-13-10	9-30-10	9-30-10 Through 12-29-10	1-6-11

1/ Includes fry, fingerling, and all other commercial catfish, regardless of harvest method.

2/ Wild and pond-raised shrimp and prawns are both eligible. Rock Shrimp, langoustine, and spiny lobster are **not** eligible.--\*

