

**UNITED STATES DEPARTMENT OF AGRICULTURE**

Farm Service Agency  
Washington, DC 20250

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

**Amendment 4**

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



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**Amendment Transmittal**

**A Reasons for Amendment**

Subparagraph 26 F has been added and subparagraph 57 B has been amended to provide that COC approval of FSA-229-1 is not required or recommended. Because of the statutory training deadlines, determinations of application status must be finalized as soon as possible after each application period. Waiting for COC meetings to provide approvals creates training delays. Therefore, signatures for FSA-229-1, items 22A and 23A should be provided by CED and other County Office staff.

Subparagraph 27 C has been added to provide payment reduction policy for foreign-owned entities.

Subparagraphs 30 B and C have been amended to update the FAS address.

Subparagraph 32 C has been amended to update the FAS-932 example.

Subparagraph 35 A has been amended to provide that FSA employees are paid at hourly overtime rates (instead of compensatory time) for overtime spent on TAA program administration.

Subparagraph 43 B has been amended to update the FAS-930 example.

Subparagraph 51 A has been amended to provide instructions for where to forward FSA-229-1, when received in the County Office where the applicant is domiciled.

Subparagraph 51 B has been amended to clarify that applicants can be approved for benefits under only one TAAF petition.

Subparagraph 52 C has been amended to provide that producers are ineligible for TAA training and payments if they received benefits under another TAAF petition.

Subparagraph 52 F has been amended to provide instructions for applicants who do not comply with a spot-check request for documentation.

## **Amendment Transmittal (Continued)**

### **A Reasons for Amendment (Continued)**

Subparagraph 57 B has been amended to add new instructions for FSA-229-1, item 11, providing that if FSA-229-1 is subject to a blanket approval granted by FAS, then items 11E through 11N are not completed by the applicant or FSA. Instead, “Blanket Approval” shall be entered at an angle across all items 17D through 17F.

Subparagraph 73 C has been amended to:

- update reason code 4 as it will display in the application disapproval letter sent to the applicant
- add new reason codes 26 through 31.

Subparagraph 73 F has been amended to update the FAS-931 example.

Subparagraphs 73 G and H have been added to include instructions for notifying applicants of approval status and applicants who withdraw their FSA-229-1.

Subparagraph 74 A has been amended to clarify that travel payments can only be issued to the TAAF applicant, not the alternate.

Subparagraph 74 C has been amended to add instructions for applicants who submit FSA-232 without FSA-229-1 on file.

Subparagraph 74 D has been added to provide instructions for applicants who carpool to the initial orientation and both submit FSA-232.

Subparagraph 74 E has been added to include instructions for adjusting POV mileage claims.

Subparagraph 74 F has been added to clarify that travel expense claims must be reviewed and verified as reasonable.

Subparagraph 74 G has been added to clarify the address to use when computing mileage for travel reimbursement.

Subparagraph 76 E, column F has been amended to clarify that State and county codes are:

- for where FSA-229-1 is processed
- the same codes as entered for columns B and C.

Exhibit 6 has been amended to provide the petition number and the Excel file submission deadline applicable to the lobster petition.

Exhibit 7 has been added to provide an example of FSA-931-A.

Exhibit 8 has been added to provide an example of FSA-931-TAA COF.

**Amendment Transmittal (Continued)**

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**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.

**\*-F Approving Officials for FSA-229-1**

CED's and County Office staff may approve FSA-229-1 without review or signatures of COC members. This is to avoid delays to statutory training deadlines.--\*

**26 General TAA for Farmers Program Provisions (Continued)****G 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 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.

### \*--C Payment Reductions for Foreign-Owned Entities

TAA payment software will read entity/corporation files and reduce the payment for the percent share of foreign ownership.--\*

**28 TAA for Farmers Program Outreach to Producers**

**A Providing Producer Information**

\*--As part of the outreach to producers, State or County Offices may mail a completed FSA-230 to all known producers in their State covered by a certified FAS-930. The State price support specialist, or another staff designated by SED, shall coordinate any mailings of FSA-230's with staff of appropriate County Offices.

State Offices shall decide whether they or County Offices shall mail FSA-230's according to available staff resources.--\*

See subparagraph B for an example of FSA-230.

According to 25-AS, Exhibit 51.6, file copies of FSA-230's in file OUTR 5, "Notifications".

State and County Offices shall use the CFFM web site (see subparagraph 16 E) to be aware of the dates and locations of initial training sessions. If possible, it is recommended that County Office staff attend these initial training sessions to assist any producers in completing FSA-232's. Travel expenses for producers are reimbursed only for the initial training session of 2 to 3 hours.

**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  
 \*--1400 Independence Ave SW STOP 1021  
 Washington DC 20250-1021--\*  
 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  
\*--1400 INDEPENDENCE AVE SW  
WASHINGTON DC 20250-1021.--\*

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.

32 Requesting Overpayment Refunds (Continued)

C Example FAS-932

The following is an example FAS-932.

\*--

 <p><b>Agricultural TRADE ADJUSTMENT ASSISTANCE</b></p> <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. STOP 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;"></p> <p>Ronald C. Lord Acting Director Import Policies and Export Reporting Division USDA, Foreign Agricultural Service</p> <p><b>FAS-932</b> (11-08-11)</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 (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>
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## 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 are optional at each State Office. Negative reports are **not** required.

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

- e-mail at [marlene.thompson@wdc.usda.gov](mailto:marlene.thompson@wdc.usda.gov)
- telephone at 202-690-2902.--\*

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
- 10 workdays after the end of every month for expenses incurred in the months of October through August.

\*--FAS authorizes reimbursement of overtime pay needed for TAA at the hourly overtime rates by grade and step. FSA employees who work overtime hours for TAA shall be paid for this overtime at the hourly overtime rates instead of by compensatory time, because compensatory time would not be directly billable to FAS.--\*

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="380 1312 607 1348">IF line...</th> <th data-bbox="607 1312 1466 1348">THEN enter the...</th> </tr> </thead> <tbody> <tr> <td data-bbox="380 1348 607 1383">8A is selected</td> <td data-bbox="607 1348 1466 1383">average annual price received for the indicated years.</td> </tr> <tr> <td data-bbox="380 1383 607 1419">8B is selected</td> <td data-bbox="607 1383 1466 1419">production quantity of the commodity for the indicated years.</td> </tr> <tr> <td data-bbox="380 1419 607 1455">8C is selected</td> <td data-bbox="607 1419 1466 1455">value of production of the commodity for the indicated years.</td> </tr> <tr> <td data-bbox="380 1455 607 1491">8D is selected</td> <td data-bbox="607 1455 1466 1491">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> (11-08-11)	<b>U.S. DEPARTMENT OF AGRICULTURE</b> Foreign Agricultural Service	Form Approved - OMB No. 0551-0040
<b>TRADE ADJUSTMENT ASSISTANCE (TAA) FOR FARMERS PROGRAM</b> <b>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>		
<b>FAX:</b> 202-720-0876  <b>Or:</b>  <b>EMAIL:</b> <a href="mailto:tradeadjustment@fas.usda.gov">tradeadjustment@fas.usda.gov</a>	<b>MAIL TO:</b> TAA Foreign Agricultural Service Stop 1021 USDA 1400 Independence Ave., S.W. Washington, DC 20250-1021	<b>COURIER DELIVERY</b> TAA Foreign Agricultural Service Room 5526-S USDA 1400 Independence Avenue, S.W. Washington, DC 20250
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)		
4. Fax Number (Including Area Code)		5. E-Mail Address
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>		

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43 Submitting FAS-930's (Continued)

B Example of FAS-930 (Continued)

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FAS-930 (11-08-11)		Page 2		
<p>8. Provide one of the following for the most recent marketing year and for each of the 3 preceding marketing years: the average annual price, production quantity, value of production, or cash receipts.</p> <p><b>Note: Use Official data if available.</b> The Department's National Agricultural Statistical Service (NASS) has national price data available for many raw agricultural commodities. The information can be found at: <a href="http://www.nass.usda.gov">http://www.nass.usda.gov</a>. You must state the source of your data. If you do not use official data, you must provide contact information for verification purposes and supporting documentation to show how your data was calculated or obtained.</p>				
(Check and complete only one)	(1) Most Recent Year	(2) 1 Year Ago	(3) 2 Years Ago	(4) 3 Years Ago
A. <input type="checkbox"/> Average Annual Price	\$	\$	\$	\$
B. <input type="checkbox"/> Production Quantity				
C. <input type="checkbox"/> Value of Production	\$	\$	\$	\$
D. <input type="checkbox"/> Cash Receipts	\$	\$	\$	\$
9. Source of data entered in Items 8A – 8D:				
<p>10. <b>Basis for request for adjustment assistance.</b> Explain (or attach documentation) how imports have affected your commodity during the most recent marketing year based on at least one of the following measures: price, quantity of production, value of production, or cash receipts. Include any other factors that may also have contributed to lower producer prices below:</p>				
11A. SIGNATURE OF AUTHORIZED REPRESENTATIVE OR PRIMARY CONTACT		11B. TITLE		11C. DATE SIGNED (MM-DD-YYYY)
12A. SIGNATURE OF FAS REPRESENTATIVE		12B. TITLE		12C. DATE PETITION FILED (MM-DD-YYYY)

--\*

**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. For applicants who apply in the County Office where they are domiciled but is not a TAAF-approved county under an approved petition, that County Office must FAX FSA-229-1 and all supporting documents to the appropriate TAAF-approved County Office where the business is located. 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.

\*--Deck hands may apply in the TAAF-approved county where their captain is domiciled.--\*

#### 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 TAAF 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.

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

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

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 TAAF training on behalf of the applicant is permitted to represent **only 1** applicant, regardless of whether the applicant is an individual or an entity.

**\*--Note:** Applicants can be approved for benefits under **only 1** petition.--\*

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

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

### C Husband and Wife Eligibility

FAS has determined that husbands and wives may apply and obtain separate TAAF 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.



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

### C Husband and Wife Eligibility (Continued)

There is no statutory, regulatory, or procedural requirement for proof of marriage for TAAF 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 TAAF and may submit separate applications for TAA assistance:

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

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

**A General Eligibility (Continued)**

- 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

<b>Crop Year of Approved TAAF Commodity</b>	<b>3 Years for Which AGI Is Averaged for Determining AGI Compliance</b>
2008	2005, 2006, 2007
2009	2005, 2006, 2007
2010	2006, 2007, 2008

- 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 TAAF commodity.

<b>TAAF 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

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

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

**B Payment Eligibility (Continued)**

<b>TAAF Eligibility Provision</b>	<b>2008 Crop</b>	<b>2009 and Subsequent Crops</b>
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 TAAF eligibility requirements, but who are ineligible for cash payments because of payment limitation are **eligible** for educational assistance (business-plan training).

**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
- \*--received benefits under another TAAF petition.--\*

**D Production Eligibility Requirements**

To be eligible for TAAF 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.

52 **Producer Eligibility Requirements (Continued)**

**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.

**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

**52 Producer Eligibility Requirements (Continued)**

**F Option 1 Eligibility Determination: Applicant's Production History (Continued)**

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. Applicants unable to provide the appropriate documentation at the time of spot check must be referred to FAS for disapproval. If FAS disapproves based on noncompliance with a spot-check request to provide supporting documentation, the County Office must request a refund of paid benefits according to paragraph 32.--\*



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

## 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.
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 TAAF 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 TAAF 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.
	<p><b>*--If FSA-229-1 is submitted for a commodity in a State or region for which FAS has granted blanket approval (pre-certification), then the producer is not required to provide any entries or initials under items 11E through 11N, and FSA does not provide entries to items 17D through 17F. Instead, the applicant or County Office staff shall enter "Blanket Approval" at an angle across all items 17D through 17F.--*</b></p>
11A	Check (✓) either "Yes" or "No". Benefits received under the FY 2004 through 2006 TAA Programs are <b>not</b> considered benefits received under TAAF.
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.

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

Item	Instruction
	<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>
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.



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

Item	Instruction
	<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? Applicants 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>
<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>
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>

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

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

Item	Instruction
	<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.
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.
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. Do <b>not</b> delay submitting the Excel file by waiting for COC approval.--*
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". COC approval is <b>not</b> needed.--*
23B	Enter title of the person who signed in item 23A.
23C	Enter date of signature in item 23A.

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 the 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 the 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 the 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 reduced production or price (Option 1, 2, or 3) as required by the Trade Act of 1974, Section 296 (a)(1)(A) and regulations at 7 CFR 1580.301(c)(2) or (3).--*
	* * *

## 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 TAAF petition and is ineligible for additional benefits as provided by the 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 the 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 TAAF petition as disallowed for eligibility by the 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 the 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 the 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 the Trade Act of 1974, Section 296 (b)(2) and provided in 7 CFR 1580.302 (b).
<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 the 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.

## 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 #4, Reimbursement of Travel and Per Diem (Continued)</b>	
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 the 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 the 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 the 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 the 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).
*--26	Applicant is noncompliant with a conservation, converted wetland, or HEL compliance requirement as required by 7 CFR Part 12.7 and the Food Security Act of 1985, as amended.
27	Applicant did not submit a farm operating plan as required by 7 CFR Part 1400 to determine eligibility.
28	Foreign person provisions are applicable and COC has determined the applicant does not meet the foreign person provisions as required by 7 CFR Part 1400 and the Food and Security Act of 1985, as amended.
29	Applicant has not filed the required documentation for a person determination as required by 7 CFR Part 1400 and the Food and Security Act of 1985, as amended.
30	Applicant is <b>not</b> a member of a joint operation and is not receiving payment as an individual in any county as requested.
31	State and local governments are ineligible for the applicable program as required by 7 CFR Part 1400 and the Food, Conservation, and Energy Act of 2008.--*
<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)**

**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.

\*--

 <b>Agricultural TRADE ADJUSTMENT ASSISTANCE</b>	[FAS Disapproval Date]
<b>United States Department of Agriculture</b>	
Farm and Foreign Agricultural Services	[NAME] [ADDRESS] [ADDRESS]
Foreign Agricultural Service	Dear [Applicant's Name]:
Office of Trade Programs	We regret to inform you that your [application, travel voucher, participation] under the U.S. Department of Agriculture's Trade Adjustment Assistance (TAA) for Farmers Program has been disapproved. This disapproval is based on the following:
Import Policies and Export Reporting Division	[Enter text of reason code that corresponds with disapproval reason code]
1400 Independence Avenue, S.W. STOP 1021 Washington, DC 20250-1021	If you wish to appeal this decision, you must file an administrative appeal in writing within 30 calendar days of the date of this letter. Your appeal letter must include the following:
	<ul style="list-style-type: none"> <li>• Your name, address, telephone number, and email address (if available);</li> <li>• A statement stating why our determination is in error, and any supporting documents;</li> <li>• An original signature and date.</li> </ul>
	Please mail your appeal letter by certified mail, return receipt requested, through the U.S. Postal Service to the following address: Deputy Administrator, Office of Trade Programs, 1400 Independence Avenue, SW, STOP 1021, Washington, DC 20230-1021.
	Also, please note that the U.S. Postal Service postmark on your appeal letter will be used to determine whether your letter was received by the 30-day deadline.
	If you need additional information pertaining to the appeal process, please contact the TAA for Farmers Program staff at (202) 690-0633.
	Sincerely,
	
	Ronald C. Lord Acting Director Import Policies and Export Reporting Division USDA, Foreign Agricultural Service
	<b>FAS-931 (11-08-11)</b>
	<small>USDA is an Equal Opportunity Employer and Provider</small>

--\*



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

### \*--G Notifying Applicants of Approvals

FSA will notify TAAF applicants in approved status of their approval status. TAAF-approved applicant notifications will be made according to the following:

- FY 2010 applicants will be notified by the National Office using FSA-931-A (Exhibit 7)
- FY 2011 applicants will be notified by County Offices using FSA-931-TAA COF (Exhibit 8).

Approval notification letters may be found on the FFAS Employee Forms/Publications Online web site at <http://fsaintranet.sc.egov.usda.gov/dam/ffasforms/forms.html>.

### H Withdrawn FSA-229-1's

Upon notification by a TAAF applicant to withdraw their FSA-229-1 for TAAF benefits, County Offices must:

- note information about the withdrawal on FSA-229-1, item 20
- check "NO" in TAAF software to indicate that the applicant has refused payment.

**Note:** An approved FSA-229-1 must be changed to pending status to edit the refused payment flag.--\*

## 74 Processing FSA-232's

### A Approving FSA-232's

Producers may request reimbursement of local travel expenses incurred to attend the initial TAAF orientation training, subject to the maximum Federal travel rates and verification of attendance by the instructor. The statutory authority for TAAF 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.



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

## A Approving FSA-232's (Continued)

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 TAAF applicant only. Even if an alternate attends training on behalf of the applicant, the payment must only be issued 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 TAAF 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 TAAF 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 <b>48</b>		
		2. County where TAA application was submitted <b>409</b>		
3A. Applicant's Name  <b>Johnny Shrimper</b>		3B. Applicant's Address (Including the 9-Digit Zip Code if known)  <b>45 Shrimp Cocktail Lane Sinton, TX 78387-2930</b>		
INSTRUCTIONS FOR COMPLETION OF ITEMS 5 THROUGH 7 BELOW: 4. Following are the maximum travel reimbursement rates for (City/State) (a) <b>Sinton, TX</b> during scheduled TAA for Farmers training for Maximum lodging per night \$ (b) <b>70.00</b> ; first and last day maximum meals and incidental expenses (M&IE) \$ (c) <b>34.50</b> ; and M&IE all other days \$ (d) <b>46.00</b> . 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: <b>04/24/2020</b>	2 <sup>nd</sup> Travel Date:	3 <sup>rd</sup> Travel Date:
a.	FROM: City/State	<b>Portland, TX</b>		
b.	Combined Total hours for travel and training	<b>5</b> hours	hours	hours
c.	TO: City/State	<b>Sinton, TX</b>		
6. Per Diem = M&IE plus lodging: Lesser of Actual or Maximum Rates as shown in Instructions in Item 4 above.				
a.	Per Diem Days: Enter ¼ of daily rate for first and last travel days	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: <b>30</b> Rate: <b>0.50/mile</b> Claim: \$ <b>15.00</b>	Miles: Rate: Claim: \$	Miles: Rate: Claim: \$
e. Total Claim Includes Total Per Diem (Items 6D + Items 7a through 7d):				\$
8. Remarks:  <b>Per diem and lodging not reimbursable because travel less than 12 hours total and within 35 miles from applicant's primary residence.</b>				
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) <b>05/05/2010</b>
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) <b>04/24/2020</b>
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) <b>05/05/2010</b>
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) <b>05/05/2010</b>

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 TAAF 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.

\*--FSA-232's submitted by producers without FSA-229-1 on file must be referred to FAS. Contact PSD in the National Office for forwarding instructions.--\*

**74 Processing FSA-232's (Continued)****\*--D Carpooling Applicants**

For FSA-232's submitted for the same expense by TAAF applicants who carpool, such as a husband and wife who share travel expenses for attending the initial orientation training, County Offices can do either of the following:

- approve one FSA-232 claim and disapprove the other FSA-232 claim for the same claim amount
- reduce each claim to half the claim amount.

**E POV Mileage**

No receipts are required for POV mileage claims. However, if the mileage claimed on FSA-232 is higher than what is reasonable, based on MapQuest or other similar program, the mileage claimed may be adjusted accordingly. For POV mileage claim adjustments, County Offices must:

- attach documentation used to justify mileage claim adjustment to FSA-232
- enter explanation for reducing the claim amount on FSA-232, item 8
- notify the producer of the following:
  - correction to claim amount
  - producer's right to appeal the reduction.

**F Reasonableness**

Travel expenses claimed must be reviewed and verified as reasonable. If after review the County Office determines that the claim amount is not within reason, the County Office shall:

- reduce the claim amount
- attach supporting documentation for reducing the claim amount
- enter explanation for reducing the claim amount on FSA-232, item 8
- notify the producer of the following:
  - correction to claim amount
  - producer's right to appeal the reduction.--\*

74 Processing FSA-232's (Continued)

**\*--G Address Used to Compute Mileage**

When calculating mileage for travel reimbursement, County Offices must use the address indicated on FSA-229-1 to determine the maximum round-trip mileage to and from the training location. If the applicant's address on FSA-229-1 and FSA-232 differ, the reimbursable mileage will be based on the address indicated on FSA-229-1, **unless** the applicant updated their address in the County Office **before** FSA-232 was submitted.--\*



## 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.

Column	Entry	Specifications
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", not "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 TAAF commodity. Every application number shall be in the format "SSCCxxxxx" where "SS" is the *--numeric State code and "CCC" is the numeric county code of the State/county where the application is processed (same as columns B and C) 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 TAAF petition.--*  <b>Example:</b> FSA-229-1 numbers for the first 15 applications under a carrot petition would be numbered from SSCCC00001-00015; and in the same County Office, the first 15 applications under a blueberry petition would also be numbered from SSCCC00001-00015.

## 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 (HELC) 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	Trade Adjustment Assistance (TAA) for Farmers Program FAS Disapproval Letter	73	30, 34, 74
FAS-932	FAS Request for TAAF Request 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
FSA-931-A	Trade Adjustment Assistance (TAA) Approval Letter From National Office	Ex. 7	73
FSA-931-TAA COF	Trade Adjustment Assistance (TAA) Approval Letter From County Office	Ex. 8	73
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
TAAF	Trade Adjustment Assistance for Farmers	18, 34, 51, 52, 57, 73, 74, 76

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

**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	*--2011003--*	7-21-10	9-24-10	9-24-10 through 12-23-10	*--12-30-10--*
Blueberries 2009	Maine	2011015	8-13-10	9-30-10	9-30-10 Through 12-29-10	1-6-11


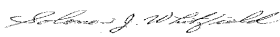
1/ Includes fry, fingerling, and all other commercial catfish, regardless of harvest method.

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



\*--Example of FSA-931-A

The following is an example of FSA-931-A.


	
	[FSA Approval Date]
<b>United States Department of Agriculture</b>	[NAME] [ADDRESS] [ADDRESS]
Farm and Foreign Agricultural Services	Dear [Applicant's Name]:
Farm Service Agency	Thank you for applying for benefits under the U.S. Department of Agriculture's Trade Adjustment Assistance (TAA) for Farmers Program. We are pleased to inform you that your application has been approved.
Price Support Division	The TAA for Farmers Program provides training to help producers of eligible commodities develop business plans and adjust their business practices to be more effective in the changing economic environment. The program also provides producers up to \$12,000 in cash payments to implement their business plans.
1400 Independence Avenue, S.W. STOP 0512 Washington, DC 200250-0512	You will soon be notified of the upcoming schedule for the Initial Orientation. Please be aware that all approved applicants must complete the Initial Orientation in order to receive benefits under the program. After completing it, you will be eligible for the Intensive Technical Assistance workshops. Note that some of these workshops may immediately follow the Initial Orientation at the same location.
	The most up-to-date information and dates for training can be found on the TAA for Farmers web site at <a href="http://www.taafarmers.org/">http://www.taafarmers.org/</a> . Additionally, applicants can sign up at this web site to take online courses for credit, including the Initial Orientation; view their status toward completion; and complete the required phases of TAA. To do this, please complete the instructions on the TAA web site for registering for a new account. If you would like to take advantage of this resource, but do not have access to a high-speed internet connection, we encourage you to visit your local library.
	If you need additional information, please contact my staff at (202) 720-1919.
	Sincerely,
	
	Solomon Whitfield Director Price Support Division USDA, Farm Service Agency
	FSA-931A (11-17-11)
	USDA is an Equal Opportunity Employer





\*--Example of FSA-931-TAA COF

The following is an example of FSA-931-TAA COF.

	
[FSA Approval Date]	
<b>United States Department of Agriculture</b>	[NAME] [ADDRESS] [ADDRESS]
Farm and Foreign Agricultural Services	Dear TAA Applicant:
Farm Service Agency	Thank you for applying for benefits under the U.S. Department of Agriculture's Trade Adjustment Assistance (TAA) for Farmers Program. We are pleased to inform you that your application has been approved.
	The TAA for Farmers Program provides training to help producers of eligible commodities develop business plans and adjust their business practices to be more effective in the changing economic environment. The program also provides producers up to \$12,000 in cash payments to implement their business plans.
	You will soon be notified of the upcoming schedule for the Initial Orientation. Please be aware that all approved applicants must complete the Initial Orientation in order to receive benefits under the program. After completing it, you will be eligible for the Intensive Technical Assistance workshops. Note that some of these workshops may immediately follow the Initial Orientation at the same location.
	The most up-to-date information and dates for training can be found on the TAA for Farmers web site at <a href="http://www.taaforfarmers.org/">http://www.taaforfarmers.org/</a> . Additionally, applicants can sign up at this web site to take online courses for credit, including the Initial Orientation; view their status toward completion; and complete the required phases of TAA. To do this, please complete the instructions on the TAA web site for registering for a new account. If you would like to take advantage of this resource, but do not have access to a high-speed internet connection, we encourage you to visit your local library. If you have any questions regarding training please contact the Center for Farm Financial Management at 612-625-1964.
	If you need additional information, please contact my office at the telephone number below.
	Sincerely,
	[Name of CED] County Executive Director [COF NAME] [COF ADDRESS] [COF TELEPHONE NUMBER]
	<b>FSA-931-TAA COF (02-08-11)</b>
<small>USDA is an Equal Opportunity Employer and Provider</small>	

