



**State of Minnesota
Department of Finance**

400 Centennial Building
658 Cedar Street
St. Paul, Minnesota 55155
(612) 296-5900

April 29, 1993

To: Senator Gene Merriam
Senate Finance Committee

Representative Loren Solberg
House Ways and Means Committee

Fr: John Gunyou 

Re: Governor's 1994-95 Biennial Budget - Supplemental Federal Funds - Change Order #8

The purpose of this memorandum is to provide additional federal funds for review by the legislature that were not known or anticipated by agencies prior to the submission of the 1994-95 Governor's Biennial Budget. These federal funds are now considered part of the Governor's Budget.

Sufficient detail is provided for changes to existing or new federal budget items, including copies of the notice of application for federal grant assistance submitted to the Department of Finance for review.

Attached to this memorandum, please find the following federal policy notes:

Education and Children:

Department of Education:

a.) Additional federal receipts are anticipated under Chapter 1 of Title I of the Elementary and Secondary Education Act of \$4,034.1 for the Chapter 1 - Summer School Project. The policy note page shows additional federal receipts and expenditures of \$4,034.1 to carry out the project. The project end date is December 31, 1993 with the begin date unknown at this time. The funding show be available upon award or receipt of funding by DOE.

b.) Additional federal receipts are anticipated under Chapter 1 of Title I of the Elementary and Secondary Education Act of \$2,657.3 for the Chapter 1 - Summer School (Census Adjustment) project. The policy note page shows additional federal receipts and expenditures of \$2,657.3 to carry out the project. The project end date is June 30, 1994 with the begin date unknown at this time. The funding show be available upon award or receipt of funding by DOE.

c.) Additional federal receipts are anticipated from the Federal Government of \$257.5 to fund a grant: Secretary's Fund for Innovation: Innovation in Education Programs. The policy note page shows additional federal receipts and expenditures of \$257.5 and 1.0 position for the biennium. The project is to start October 1, 1993 and end on October 30, 1994.

d.) Additional federal receipts are anticipated from the Environmental Protection Agency of \$12.0 to fund a grant: Statewide Distribution of Pilot Water Pollution Curriculum. The policy note page shows additional federal receipts and expenditures of \$12.0 for the biennium. The project is to start July 1, 1993 and end on June 30, 1994.

e.) Additional federal receipts are anticipated from the National Endowment for the Humanities of \$312.8 to fund the Special Opportunity in Languages Education Project. The policy note page shows additional federal receipts and expenditures of \$312.8 and 1.41 FTE for the period of October 1, 1993 to September 30, 1996. Should both grant items (e) and (f) be successful, MDE will accept only one grant.

f.) Additional federal receipts are anticipated from the Fund for Improvement of Postsecondary Education of \$296.3 to fund the Articulating Language Instruction across Educational Systems project. The policy note page shows additional federal receipts and expenditures of \$296.3 and 1.41 FTE for the period of September 1, 1993 to August 31, 1996. Should both grant items (e) and (f) be successful, MDE will accept only one grant.

g.) Additional federal receipts are anticipated from the U.S. Department of Education of \$1,286.6 for the Minnesota Mathematics and Science Frameworks Development Project. The policy note page shows additional federal receipts and expenditures of \$1,286.6 and 1.5 positions to carry out the project. The funding is available over three years, with \$397.6 for FY94, \$482.7 for FY95 and \$406.2 for FY96.

Higher Education Coordinating Board:

a.) Additional federal receipts are anticipated from the U.S. Department of Education of \$300.0 for the Federal Program Integrity Provisions Project. The policy note page shows additional federal receipts and expenditures of \$300.0 and 3.0 positions to carry out the project for biennium.

b.) Additional federal receipts are anticipated from the National Science Foundation of \$9,978.1 for the Statewide Systemic Initiative Program. The policy note page shows additional federal receipts and expenditures of \$9,978.1 for the grant period of June 1, 1993 through May 31, 1998. The available federal funding for the 1994-95 biennium is projected at \$2,000.0 a year or \$4,000.0 for the budget period. Required matching funds are available in the Education Aids bill for this project.

c.) Additional federal receipts are anticipated of \$1,860.4 for the Summer of Service Application Project. The policy note page shows additional federal receipts and expenditures of \$1,860.4 to carry out the project from June 1, 1993 through September 30, 1993.

Human Development:

Department of Human Services

Additional federal receipts are anticipated of \$5,300.0 for the Child Support Enforcement System Enhancements, This is additional federal funding for this project, over and above what is

currently shown in the 1994-95 biennial budget.. The policy note page shows additional federal receipts and expenditures of \$2,300.0 for FY94 and \$3,000.0 for FY95.
(Committee reference: Senate - Health Care and family Planning, House: Human Services).

Department of Corrections

Additional federal receipts are anticipated from the U.S. Department of Health and Human Services of \$100.0 to fund a grant for Substance Abuse Treatment in State and Local Criminal Justice Systems. The policy note page shows additional federal receipts and expenditures of \$100.0 and 1.5 positions for the biennium. The project is to start October 1, 1993 and end on September 30, 1994.
(Committee reference: Senate - Crime Prevention; House: Judiciary).

Environment and Natural Resources:

Natural Resources:

- a.) Additional federal receipts are anticipated from the Bureau of Land Management of \$5.0 for the Lake Vermillion Cooperative Agreement. The policy note page shows additional federal receipts and expenditures of \$5.0 for FY94.
- b.) Additional federal receipts are anticipated from the Federal Government of \$4,117.4 for the Enhancements - Intermodal Surface Transportation Efficiency Act Project. The policy note page shows additional federal receipts and expenditures of \$4,117.4 for the biennium. The project is to start July 1, 1993 and end on June 30, 1995.
- c.) Additional federal receipts are anticipated from the U.S.D.A. Forest Service of \$939.0, over and above the current amount in the 1994-95 biennial budget for the Oak Wilt Suppression - Forest Health Monitoring Project. The policy note page shows additional federal receipts and expenditures of \$939.0 for the biennium.
- d.) Additional federal receipts are anticipated from the U.S. Fish & Wildlife Service of \$4.0 for a Deer Census project. The policy note page shows additional federal receipts and expenditures of \$2.0 for FY94 and \$2.0 for FY95.
- e.) Additional federal receipts are anticipated from the Environmental Protection Agency of \$15.0 for a Non Point Source - Mine Waste project. The policy note page shows additional federal receipts and expenditures of \$15.0 for FY94. These are pass through funds from PCA.
- f.) Federal receipts from the U.S. Bureau of Mines in the amount of \$5.0 for the Minerals Open Pit Hydrology - Predicting Acid Mine Drainage project is being extended in FY94 as an extension of the current agreement.
- g.) Federal receipts from the U.S. Bureau of Mines in the amount of \$2.0 for FY94 and \$1.0 for FY95 for the Open Pit Hydrology project are an extension of the current agreement.

- h.) Additional federal receipts are anticipated from the Federal Government for reimbursement expenses of the Great Lakes States Breeding Waterfowl Survey Project. The policy note page shows additional federal receipts and expenditures of \$15.0 for the biennium.
- i.) Additional federal receipts are anticipated from the Department of Army for the Eurasian Watermilfoil Research Project. The policy note page shows additional federal receipts and expenditures of \$200.0 for the period June 30, 1993 through June 30, 1996.
- j.) Additional federal receipts are anticipated from the Environmental Protection Agency of \$10.0 for a Biocriteria Survey on the Red River Project. The policy note page shows additional federal receipts and expenditures of \$15.0 for the summer of calendar year 1993. These are pass through funds from PCA.
- k.) Additional federal receipts are anticipated from the United States Geological Survey in the amount of \$2.0 for a Water Quality Assessment Project. The policy note page shows additional federal receipts and expenditures of \$2.0 for the summer of calendar year 1993.
- l.) Additional federal receipts are anticipated from the U.S Fish and Wildlife Service for the Circle of Flight (Manweiler) Project. The policy note page shows additional federal receipts and expenditures of \$30.0 for the period August 1, 1993 through August 1, 1994.
- m.) Additional federal receipts are anticipated from the National Fish and Wildlife Foundation for the Environment Education for SE Asian Minnesotans Project. The policy note page shows additional federal receipts and expenditures of \$50.0 for the period October 1, 1993 through October 1, 1994.
- n.) Additional federal receipts are anticipated from the Environmental Protection Agency of \$100.0 for the Environment Education for SE Asian Minnesotans Project. The policy note page shows additional federal receipts and expenditures of \$100.0 for period January 1, 1994 through December 30, 1994.
- o.) Additional federal receipts are anticipated from the U.S Fish and Wildlife Service for the Endangered Animal Research and Survey Project. The policy note page shows additional federal receipts and expenditures of \$5.2 for FY94 and \$30.0 for FY95.
- p.) Additional federal receipts are anticipated from the U.S Environmental Protection Agency for the Wetlands Challenge Grant. The policy note page shows additional federal receipts and expenditures of \$114.4 for FY94 and \$155.1 for FY95.

Minnesota Zoological Garden:

Additional federal receipts are anticipated from the Agency for International Development of \$55.4 for the Asian Wild Cattle Project. The policy note page shows additional federal receipts and expenditures of \$37.0 for FY94 and \$18.4 for FY95. The project is to start September 1, 1993 and end in September 1995.

Agriculture:

a.) Additional federal receipts are anticipated from the North Central Region Sustainable Agriculture Research and Education Program of USDA of \$15.0 for the New Legumes for Sustainable Farming Systems in the Midwest. The policy note page shows additional federal receipts and expenditures of \$15.0 for the 1994-95 biennium.

b.) The second policy note, for the Department of Agriculture, is a revision to the original policy note for the FY93 - Pesticide Grant Project. This revision adds 1.0 position to the project. The required funding is already included in the biennial budget document.

c.) Additional federal receipts are anticipated from United States Department of Agriculture in the amount of \$266.7 for the Cooperative National Plant Pest Survey and Detection Program. The policy note page shows additional federal receipts and expenditures of \$122.0 for FY94 and \$144.7 for FY95.

d.) Additional federal receipts are anticipated from the Federal Government of \$250.0 for the Recirculating Aquaculture Technologies Project. The policy note page shows additional federal receipts and expenditures of \$250.0 of which \$125.0 is for FY95 and \$125.0 for FY96. An additional 1.0 FTE is part of the grant.

e.) Additional federal receipts are anticipated from the Federal Government of \$65.0 for the Increasing the Scale and Efficiency of Direct Marketing Project, this is a continuation of an existing grant. The policy note page as shown should be broken down as follows: federal receipts and expenditures of \$16.0 for FY93, \$32.0 for FY94 and \$17.0 for FY95. An additional 1.0 FTE is part of the grant.

f.) Additional federal receipts are anticipated from the U.S.D.A. of \$70.0 for the Ag-Oil Based Inks Project. The policy note page shows additional federal receipts and expenditures of \$70.0 for FY94.

g.) Additional federal receipts are anticipated from the U.S.D.A. of \$45.0 for the Organic Foods Inspector Training project. The policy note page shows additional federal receipts and expenditures of \$45.0 for FY94.

h.) Additional federal receipts are anticipated from the Federal Government of \$50.0 for the Recirculating Aquaculture Technologies Project. The policy note page shows additional federal receipts and expenditures of \$50.0 for FY95. An additional .5 FTE is part of the grant.

Jobs and Commerce:

Public Service:

Additional federal receipts are anticipated from the Council of Great Lakes Governor's of \$50.0 for the Ethanol Fueled Fleet Demonstration Project. The policy note page shows additional federal receipts and expenditures of \$50.0 . The project is to start May 1, 1993 and run through FY94 with a final report due on July 15, 1994.

(Committee Reference: Senate - Jobs, Energy & Community Dev., House: Economic Dev., Infrastructure & Regulation).

Iron Range Resources and Rehabilitation Board:

Additional federal receipts are anticipated from the U.S. Forest Service of \$10.0 for the Forest Oral History Project. The policy note page shows additional federal receipts and expenditures of \$10.0 . The project is to start July 1, 1993 and run through October 1, 1994.

(Committee Reference: Senate - Jobs, Energy & Community Dev., House: Economic Dev., Infrastructure & Regulation).

Transportation Department:

The funding mentioned on the policy note is included within the agency's biennial budget package to the legislature. This policy note requests an additional 2.0 positions for the Railroad Grade Crossing Safety Grant.

(Committee Reference: Senate - Transportation and Public Transit, House: Econ. Development/Infrastructure & Regulation).

Public Safety:

a.) Additional federal receipts are anticipated from FEMA of \$90.0 for the Superfund Amendment and Reauthorization Act (Title III) Project. The policy note page shows additional federal receipts and expenditures of \$90.0 . The project is to start May 1, 1993 and run through March 31, 1994.

b.) Additional federal receipts are anticipated from FEMA of \$4.0 for the Hazardous Materials Exercise Grant Project. The policy note page shows additional federal receipts and expenditures of \$4.0 . The project is to start May 1, 1993 and run through September 30, 1994.

c.) Additional federal receipts are anticipated from Hazardous Materials Uniform Safety Act of \$182.1 for the Hazardous Materials Transportation Issues Project. The policy note page shows additional federal receipts and expenditures of \$182.1. The project is to start May 1, 1993 and run through April 30, 1994.

d.) Additional federal receipts are anticipated from Anti Drug Operations of \$375.0 for the Juvenile Justice Community Data Model Project. The policy note page shows additional federal receipts and expenditures of \$375.0. The project is to start October 1, 1993 and run through October 30, 1994.

e.) Additional federal receipts are anticipated from Federal Emergency Management Agency of \$84.0 for the funding of a Survivable Crisis Management Planner position. The policy note page shows additional federal receipts and expenditures of \$84.0. The project is to start February 12, 1993 and run through September 30, 1994.

f.) This policy note is submitted to extend the grant period and allow expenditure of previously authorized federal receipts in the amount of \$100.0 from National Highway Traffic Safety Administration for the National Driver Register Problem Driver Pointer System Project. The policy note page shows extending the funding period for this grant that was authorized on LAC

Order #5, dated September, 1992, with a begin date of September 30, 1992, through April 30, 1995.

g.) This policy note is submitted to extend the grant period and allow expenditure of federal receipts for FY94 in the amount of \$71.4 for Improving the States Registration of Interstate Trucks as it relates to licensing and fuel tax reporting. The policy note page shows extending the funding period for this grant that was authorized on LAC Order #5, dated September, 1992, with a begin date of October 1, 1992, through Sept. 30, 1993.

h.) This policy note is submitted to extend the grant period and allow expenditure of federal receipts for FY94 received from the Bureau of Criminal Justice of \$235.3 for the Criminal History Improvement Project. The policy note page, with the original grant amount of \$295.3, shows extending the funding period for this grant that was authorized on LAC Order #7, with a begin date of September 1, 1992, through August 30, 1993 to allow expenditures of \$235.3 in FY94.

i.) This request is to extend the grant period into FY94 to expend federal receipts received from the Bureau of Criminal Justice of \$288.9 for the Criminal Records Improvement Project. The policy note page shows extending the funding period for this grant that was authorized by review of the 1992 Legislature, within the federal supplement, with a begin date of October 1, 1992, through September 30, 1993 to allow expenditures in FY94.

j.) This policy note is submitted to extend the grant period and allow expenditure of federal receipts in the amount of \$300.0 in FY 94, including 11.0 positions, for the Random Drug and Alcohol Pilot Project. The policy note page, with total grant funding of \$1,259.5, shows extending the funding period for this grant that was authorized on LAC Orders #4 & #5, with a begin date of July 6, 1992, through September 30, 1993 to allow expenditures in FY94.
(Committee Reference: Senate - Crime Prevention; House: Econ. Development/Infrastructure & Regulation.

State Government:

Military Affairs:

Additional federal receipts are anticipated from the National Guard Bureau \$40,000.0 for Federal-State Cooperative Agreements. The policy note page shows additional federal receipts and expenditures of \$40,000.0 for the 1994-95 biennium. Pending rule changes eliminate the direct payment by the United States Property & Fiscal Office's on Federal-State Cooperative funding agreements and place the State reimbursement under OMB Circular A-87 or grant status.
(Committee Reference: Senate - State Government; House: State Government).



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Education
 Title of Project/Proposal: Chapter 1 - Summer School
 Federal Catalog Number:

Type of Grant: New Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application Application _____ Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 ___ Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: Unknown End Date: 12-31-93
 Funding Amount: \$ 4,034,082 Positions: 0

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Congress intends to give districts a great deal of discretion in providing summer school.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

The purpose of these funds will be for summer school activities that will benefit educationally deprived children.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

Congress is encouraging districts to coordinate with JTPA, Head Start and other existing summer programs and activities.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

none

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

100% of funds are flow through. Department of Education already receives indirect cost from the Grant for Administration.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New 3 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No Not Applicable

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?

Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?

Yes No This grant neither increases nor decreases the chances of unemployment costs since existing employees are being used. We anticipate the continued employment of existing staff at conclusion of the grant.

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

MS4.07, Subd.3

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

John E. Wilkins
Accounting Coordinator's Signature

April 26, 1993
Date

Julie Tompson
Executive Budget Officer's Signature

4-26-93
Date



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

MAP - 1 1993

MEMORANDUM TO CHIEF STATE SCHOOL OFFICERS

SUBJECT: President's Request for Supplemental Chapter 1 Funding for Summer Programs and Census Adjustment

This is to provide you with early information about two proposals for supplemental funding under Chapter 1 of Title I of the Elementary and Secondary Education Act that the President has made to Congress. Secretary Riley testified at a Congressional hearing on February 23 in support of these requests. Please note that these are proposed requests that Congress must pass before they become law. Congress may also change the requested amounts or alter the other provisions described below.

1. The President has proposed a \$500,000,000 economic stimulus supplemental under Chapter 1 that would support summer programs. These funds would be awarded at both the Federal and State levels under the current Chapter 1 concentration grant formula except that the small State minimum would be \$250,000. These funds would be available for obligation by local educational agencies (LEAs) only through September 30, 1993. Funds could be used for summer activities that would benefit educationally deprived children as authorized under section 1011 of Chapter 1 and for related activities such as food services, school health services, arts education, and transportation. Activities would not necessarily have to be authorized under section 1011 so long as they would benefit educationally deprived children. Activities would have to be supplemental, however, to activities that an LEA would otherwise provide from either non-Federal or other Federal funds, including regular Chapter 1 funds. [To expedite allocation of these funds to LEAs, State educational agencies (SEAs) would be authorized to approve proposed activities as amendments to LEAs' 1992-1993 Chapter 1 applications.]

If Congress approves the President's request, the lead-time before summer activities begin would be very short. Therefore, we would need to work cooperatively at the Federal, State, and local levels to make grant awards quickly and plan summer programs that will be a beneficial experience for Chapter 1 children. We will provide you additional guidance in the event Congress makes supplemental funding available. We are also working with the Chapter 1 Technical Assistance Centers and others to provide models and creative strategies if supplemental funds become available.

Page 2 - MEMORANDUM TO CHIEF STATE SCHOOL OFFICERS

As proposed by the President, the Department of Labor and the Department of Health and Human Services would also distribute supplemental funds for summer programs. We will coordinate with these agencies to ensure that our summer activities complement each other and that there is no wasteful duplication of services.

2. In addition to the Chapter 1 summer program, the President has requested a one-time supplemental appropriation of \$234,805,000 to ease the transition from 1980 to 1990 census data. This request would mitigate the impact on districts that will lose funds in fiscal year 1993 as a result of using 1990 census data for the first time to make Chapter 1 allocations.

For your information, I am enclosing preliminary estimates of funding that States would receive under each of the proposals. I will notify you promptly if and when Congress takes action on them. If I can provide you additional information about the President's proposals, please do not hesitate to contact me or Bill Lobosco, my Deputy, at (202) 401-1682.



Mary Jean LeTendre
Director
Compensatory Education Programs

Enclosure

cc: State Chapter 1 Coordinators

Compensatory Education for the Disadvantaged

Chapter 1 Summer Programs ¹

State	Proposed Supplemental ²
Alabama	\$10,920,319
Alaska	356,489
Arizona	9,204,770
Arkansas	6,437,568
California	62,570,623
Colorado	4,009,018
Connecticut	2,333,336
Delaware	320,396
Florida	22,976,105
Georgia	13,460,917
Hawaii	1,024,226
Idaho	1,194,424
Illinois	23,700,534
Indiana	5,590,540
Iowa	1,827,062
Kansas	2,454,058
Kentucky	10,004,984
Louisiana	17,503,940
Maine	669,877
Maryland	4,472,074
Massachusetts	7,107,806
Michigan	21,596,907
Minnesota	4,034,082
Mississippi	11,296,806
Missouri	8,741,193
Montana	2,085,232
Nebraska	1,161,418
Nevada	715,538
New Hampshire	250,000
New Jersey	8,236,881
New Mexico	5,456,289
New York	47,649,582
North Carolina	7,349,933
North Dakota	833,355
Ohio	21,774,927

Compensatory Education for the Disadvantaged

Chapter 1 Summer Programs ¹

State	Proposed Supplemental ²
Oklahoma	\$7,120,870
Oregon	3,345,843
Pennsylvania	19,993,361
Rhode Island	1,563,847
South Carolina	6,862,683
South Dakota	1,330,478
Tennessee	10,669,177
Texas	51,182,070
Utah	1,310,544
Vermont	250,000
Virginia	5,928,321
Washington	5,146,584
West Virginia	5,778,683
Wisconsin	5,653,028
Wyoming	384,089
District of Columbia	1,826,956
Puerto Rico	<u>22,332,257</u>
Total	500,000,000

¹ Distribution is based on the concentration grants formula, with minimum State allocation of \$250,000.

² Amounts shown are estimates.

Compensatory Education for the Disadvantaged

Census Adjustment¹

State	Proposed Supplemental ²
Alabama	\$8,530,836
Alaska	185,939
Arizona	0
Arkansas	2,954,438
California	1,664,438
Colorado	194,687
Connecticut	5,322,934
Delaware	1,837,369
Florida	6,121,670
Georgia	9,238,125
Hawaii	1,140,251
Idaho	420,309
Illinois	13,716,229
Indiana	1,999,182
Iowa	2,105,089
Kansas	677,372
Kentucky	3,636,262
Louisiana	837,210
Maine	3,327,640
Maryland	7,742,773
Massachusetts	10,387,615
Michigan	1,171,114
Minnesota	<u>2,657,308</u>
Mississippi	4,237,159
Missouri	2,710,520
Montana	275,635
Nebraska	1,325,895
Nevada	174,206
New Hampshire	446,301
New Jersey	19,347,011
New Mexico	131,596
New York	41,739,548
North Carolina	12,803,378
North Dakota	559,114
Ohio	827,746

Compensatory Education for the Disadvantaged

Census Adjustment¹

State	Proposed Supplemental ²
Oklahoma	\$448,989
Oregon	146,817
Pennsylvania	14,552,574
Rhode Island	1,457,990
South Carolina	5,843,009
South Dakota	1,000,448
Tennessee	8,157,865
Texas	1,490,878
Utah	121,779
Vermont	652,045
Virginia	9,165,897
Washington	71,740
West Virginia	1,044,648
Wisconsin	1,409,012
Wyoming	58,440
District of Columbia	2,701,787
Puerto Rico	<u>16,034,560</u>
Total	234,805,000

¹ Funds will be provided to States based on allocations to counties that, from the regular Chapter 1 allocation, are receiving less than 92 percent of their fiscal year 1992 allocation for Basic and Concentration Grants combined. Each State's allocation will be determined based on the amount of funding necessary to increase county allocations to 92 percent.

² Amounts shown are estimates.



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 400 Centennial Office Building
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POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Education
 Title of Project/Proposal: Chapter 1 - Summer School (Census Adjustment)
 Federal Catalog Number:

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: Unknown End Date: 6-30-94
 Funding Amount: \$ 2,657,308 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 These funds will be merged with district's basic entitlements and may be used in accordance with guidelines which pertain to Chapter 1 Basic Programs.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 These funds will increase the basic entitlements of 250 districts that were adversely affected by use of the 1990 Census data.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 These funds are to be used in the same manner as Chapter 1 Basic funds are used.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 none
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
 Department of Education already receives indirect cost from the Grant for Administration.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New 5 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No Not Applicable
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No This grant neither increases nor decreases the chances of unemployment costs since existing employees are being used. We anticipate the continued employment of existing staff at conclusion of the grant.
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MS4.07, Subd.3
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

John E. Williams
 Accounting Coordinator's Signature

4-26-93
 Date

Julia Tomason
 Executive Budget Officer's Signature

4-26-93
 Date



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

MAP - 1 1993

MEMORANDUM TO CHIEF STATE SCHOOL OFFICERS

SUBJECT: President's Request for Supplemental Chapter 1 Funding for Summer Programs and Census Adjustment

This is to provide you with early information about two proposals for supplemental funding under Chapter 1 of Title I of the Elementary and Secondary Education Act that the President has made to Congress. Secretary Riley testified at a Congressional hearing on February 23 in support of these requests. Please note that these are proposed requests that Congress must pass before they become law. Congress may also change the requested amounts or alter the other provisions described below.

1. The President has proposed a \$500,000,000 economic stimulus supplemental under Chapter 1 that would support summer programs. These funds would be awarded at both the Federal and State levels under the current Chapter 1 concentration grant formula except that the small State minimum would be \$250,000. These funds would be available for obligation by local educational agencies (LEAs) only through September 30, 1993. Funds could be used for summer activities that would benefit educationally deprived children as authorized under section 1011 of Chapter 1 and for related activities such as food services, school health services, arts education, and transportation. Activities would not necessarily have to be authorized under section 1011 so long as they would benefit educationally deprived children. Activities would have to be supplemental, however, to activities that an LEA would otherwise provide from either non-Federal or other Federal funds, including regular Chapter 1 funds. [To expedite allocation of these funds to LEAs, State educational agencies (SEAs) would be authorized to approve proposed activities as amendments to LEAs' 1992-1993 Chapter 1 applications.]

If Congress approves the President's request, the lead-time before summer activities begin would be very short. Therefore, we would need to work cooperatively at the Federal, State, and local levels to make grant awards quickly and plan summer programs that will be a beneficial experience for Chapter 1 children. We will provide you additional guidance in the event Congress makes supplemental funding available. We are also working with the Chapter 1 Technical Assistance Centers and others to provide models and creative strategies if supplemental funds become available.

Page 2 - MEMORANDUM TO CHIEF STATE SCHOOL OFFICERS

As proposed by the President, the Department of Labor and the Department of Health and Human Services would also distribute supplemental funds for summer programs. We will coordinate with these agencies to ensure that our summer activities complement each other and that there is no wasteful duplication of services.

2. In addition to the Chapter 1 summer program, the President has requested a one-time supplemental appropriation of \$234,805,000 to ease the transition from 1980 to 1990 census data. This request would mitigate the impact on districts that will lose funds in fiscal year 1993 as a result of using 1990 census data for the first time to make Chapter 1 allocations.

For your information, I am enclosing preliminary estimates of funding that States would receive under each of the proposals. I will notify you promptly if and when Congress takes action on them. If I can provide you additional information about the President's proposals, please do not hesitate to contact me or Bill Lobosco, my Deputy, at (202) 401-1682.



Mary Jean LeTendre
Director
Compensatory Education Programs

Enclosure

cc: State Chapter 1 Coordinators

Compensatory Education for the Disadvantaged

Chapter 1 Summer Programs ¹

State	Proposed Supplemental ²
Alabama	\$10,920,319
Alaska	356,489
Arizona	9,204,770
Arkansas	6,437,568
California	62,570,623
Colorado	4,009,018
Connecticut	2,333,336
Delaware	320,396
Florida	22,976,105
Georgia	13,460,917
Hawaii	1,024,226
Idaho	1,194,424
Illinois	23,700,534
Indiana	5,590,540
Iowa	1,827,062
Kansas	2,454,058
Kentucky	10,004,984
Louisiana	17,503,940
Maine	669,877
Maryland	4,472,074
Massachusetts	7,107,806
Michigan	21,596,907
Minnesota	4,034,082
Mississippi	11,296,806
Missouri	8,741,193
Montana	2,085,232
Nebraska	1,161,418
Nevada	715,538
New Hampshire	250,000
New Jersey	8,236,881
New Mexico	5,456,289
New York	47,649,582
North Carolina	7,349,933
North Dakota	833,355
Ohio	21,774,927

Compensatory Education for the Disadvantaged

Chapter 1 Summer Programs ¹

State	Proposed Supplemental ²
Oklahoma	\$7,120,870
Or - gon	3,345,843
Pennsylvania	19,993,361
Rhode Island	1,563,847
South Carolina	6,862,683
South Dakota	1,330,478
Tennessee	10,669,177
Texas	51,182,070
Utah	1,310,544
Vermont	250,000
Virginia	5,928,321
Washington	5,146,584
West Virginia	5,778,683
Wisconsin	5,653,028
Wyoming	384,089
District of Columbia	1,826,956
Puerto Rico	<u>22,332,257</u>
Total	500,000,000

¹ Distribution is based on the concentration grants formula, with minimum State allocation of \$250,000.

² Amounts shown are estimates.

Compensatory Education for the Disadvantaged

Census Adjustment¹

State	Proposed Supplemental ²
Alabama	\$8,530,836
Alaska	185,939
Arizona	0
Arkansas	2,954,438
California	1,664,438
Colorado	194,687
Connecticut	5,322,934
Delaware	1,837,369
Florida	6,121,670
Georgia	9,238,125
Hawaii	1,140,251
Idaho	420,309
Illinois	13,716,229
Indiana	1,999,182
Iowa	2,105,089
Kansas	677,372
Kentucky	3,636,262
Louisiana	837,210
Maine	3,327,640
Maryland	7,742,773
Massachusetts	10,387,615
Michigan	1,171,114
Minnesota	2,657,308
Mississippi	4,237,159
Missouri	2,710,520
Montana	275,635
Nebraska	1,325,895
Nevada	174,206
New Hampshire	446,301
New Jersey	19,347,011
New Mexico	131,596
New York	41,739,548
North Carolina	12,803,378
North Dakota	559,114
Ohio	827,746

Compensatory Education for the Disadvantaged

Census Adjustment¹

State	Proposed Supplemental ²
Oklahoma	\$448,989
Oregon	146,817
Pennsylvania	14,552,574
Rhode Island	1,457,990
South Carolina	5,843,009
South Dakota	1,000,448
Tennessee	8,157,865
Texas	1,490,878
Utah	121,779
Vermont	652,045
Virginia	9,165,897
Washington	71,740
West Virginia	1,044,648
Wisconsin	1,409,012
Wyoming	58,440
District of Columbia	2,701,787
Puerto Rico	<u>16,034,560</u>
Total	234,805,000

¹ Funds will be provided to States based on allocations to counties that, from the regular Chapter 1 allocation, are receiving less than 92 percent of their fiscal year 1992 allocation for Basic and Concentration Grants combined. Each State's allocation will be determined based on the amount of funding necessary to increase county allocations to 92 percent.

² Amounts shown are estimates.



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Education
 Title of Project/Proposal: Secretary's Fund for Innovation: Innovation in Education Programs
 Federal Catalog Number: 84-215G

Type of Grant: New X Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application X Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes X No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: October, 1993 End Date: October, 1994
 Funding Amount: \$ 257,500.00 Positions: 1 - to be located at Mn. Alliance for Arts

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

We will select staff and manage the project.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

See attached for goals and objectives.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

See Appendix A attached.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year	\$ <u>37,500</u>	Percentage of total grant	<u>12.71</u> %	Hard	<u> </u> %	Soft	<u>100</u> %
2nd year	\$ <u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
3rd year	\$ <u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

None

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 14.8 %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 1 - at Mn. Alliance for Arts
New Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?

Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?

Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

M.S. 4.07, Subdivision 1.

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

John E. Wickens
Accounting Coordinator's Signature

4-26-93
Date

Julie Tommeson
Executive Budget Officer's Signature

4-26-95
Date

FACS
Frameworks in Arts Education,
Curriculum Strategies
Minnesota Department of Education

Contact Person: Susan K. Vaughan, Ph.D.
Arts Education Specialist
Minnesota Department of Education (MDE)
661 Capitol Square Building
St. Paul, Minnesota 55101
(612)-296-4075

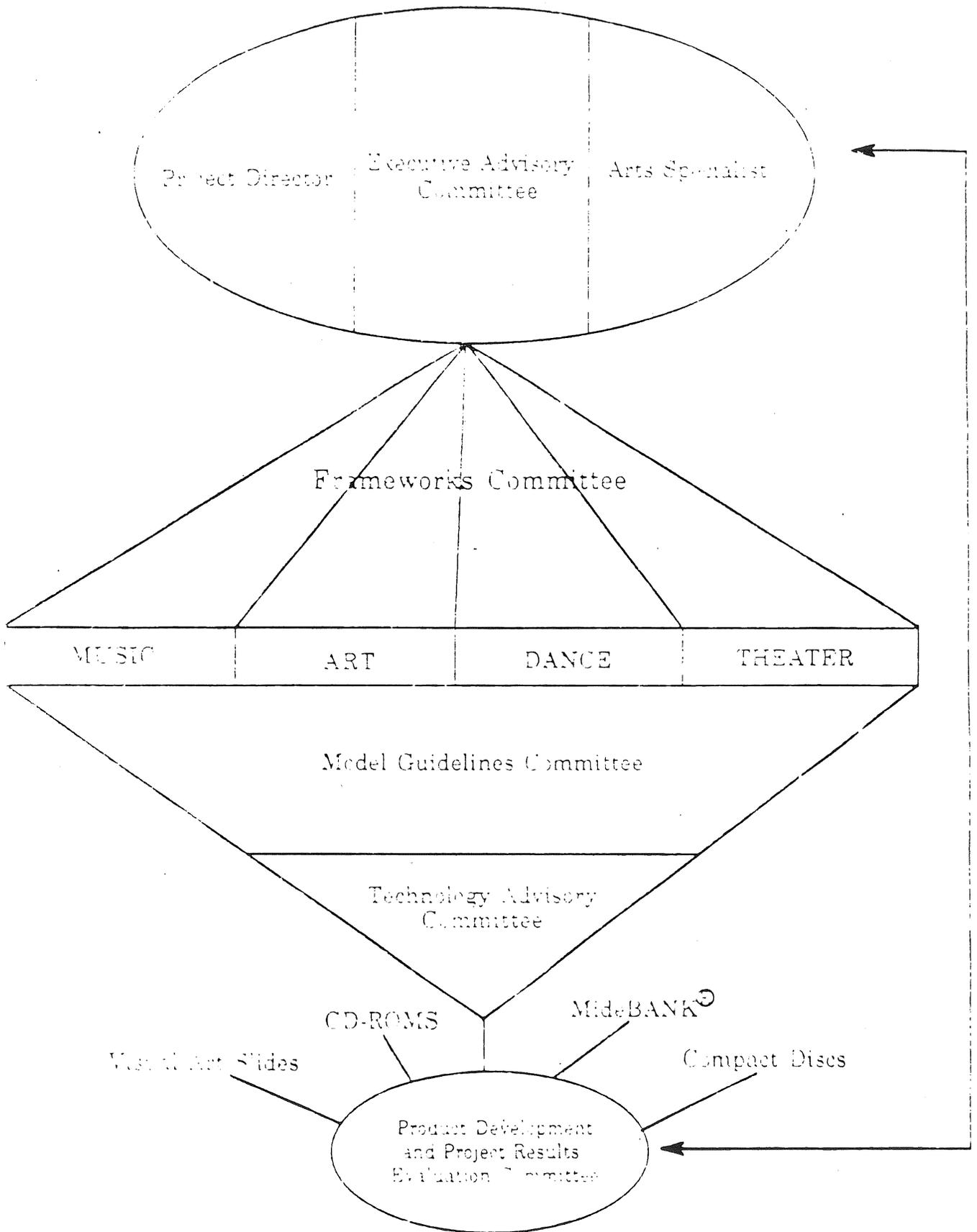
Abstract: The Minnesota Department of Education, in collaboration with the Arts Partners, the Arts Advisory, the West Metro Service Team, several project committees, and the Allied Arts Organization (AAO) will develop, implement, and evaluate arts curriculum frameworks in the arts for grades K-12 and model guidelines for colleges and universities that ensure the success of all learners based on educational improvement strategies and approaches. The curriculum frameworks and guidelines will be focused on research-based, results-oriented outcomes and strategies which are based on world-class standards, compliance with federal guidelines of the grant, and adaptation to the proposed Minnesota State Board of Education Graduation Rule.

The objectives of the project, FACS (Frameworks in the Arts, Curriculum Strategies), will include: 1.) Designing, implementing, and evaluating arts curriculum frameworks for use statewide in public and private schools that result in improved classroom instruction and learning. 2.) Developing and implementing model guidelines with effective approaches to teacher preservice

needs and to certification requirements based upon world-class standards and the arts curriculum frameworks. 3.) Developing criteria for teacher recertification and designing and piloting a model, cost-effective inservice professional development program for teachers (inservice and preservice) based on world-class standards and the arts curriculum frameworks. Implementation at each stage will be conducted through networks of arts and arts education organizations, professional visual and performing arts providers, business and industry, higher education institutions, and public and private schools. 4.) Creating an evaluation of the project process, training initiatives, and products (CD-ROM materials).

FACS

FRAMEWORKS IN ARTS, CURRICULUM STRATEGIES



Appendix A

Arts Organizations Associated with the Curriculum Frameworks Project: Arts Partners, Allied Arts Organization, Arts Advisory Members of the Executive Advisory Committee

Arts Partners consists of arts education staff from the Minnesota Department of Education, the Minnesota State Arts Board, the Minnesota Center for Arts Education, and the Minnesota Alliance for Arts in Education. Formed to carry out the vision and mission of Arts Education in Minnesota, 1988, the Arts Partners combine resources to ensure that all Minnesota students have access to learning experiences in discrete arts disciplines, in combined and integrated arts, and general curriculum areas which benefit with the enrichment of the arts.

Arts Partners is dedicated to arts delivery by arts specialists teamed with classroom teachers, to informed advocacy of the arts pertinent to a changing social and economic context for communities, and programs enriched by the resources of artists who fulfill their instruction in a manner which complements the curriculum of the local school districts and state mandates and recommendations. The Arts Partners provide direct service to the CAPP sites and offer a practical, sensitive means of getting a large project under way that takes into account the constituent concerns of all levels of arts education, and provides for arts education delivery by licensed teachers and artists.

Members of the Arts Partners. The Arts Partners have worked on projects with missions targeted at improving arts education access and opportunities. Each member of the Arts Partners represent key arts education expertise at the Minnesota State Arts Board, the Minnesota Alliance for Arts in Education, the Minnesota Center for Arts Education, and the Minnesota Department of Education.

George Hanson is chairperson of the state steering committee for the CAPP. As physical education and dance specialist for the MDE, he serves on the American Alliance of Health, Physical Education, Recreation and Dance board. George has extensive curriculum and instruction experience and is recognized often for his contributions of service to committees and charities.

Pam Paulson is currently Director, Resource Programs of the Minnesota Center for Arts Education where she previously served as Director of Performing Arts. Pam has provided statewide leadership in the Minnesota Dance Initiative, the state Leadership Consortium, Magnet Arts Programs, the Minnesota Arts eXperience, and the Professional Opportunities Program.

David L. Bach oversees all programs, administration, and fund raising for the Minnesota Alliance for Arts in Education. Operating a \$250,000 budget, he manages public relations activities, and supervises staff and volunteers. He serves as lobbyist for the Alliance's political platform and works with the board and its committees in long-range planning and policy development. He also serves on the Getty Center for Education in the Arts Advisory Committee, the

Minnesota Discipline-Based Art Education (DBAE) Consortium Executive Committee, the Walker Art Center Education Advisory Committee, and the Thursday Musical Advisory Committee.

Tamara G. Hauser is Artists in Education Program Associate for the Minnesota State Arts Board. She is responsible for overseeing the State Arts Board's Arts in Education grant programs which include: School Support, the Roster of Artists, and Organizational Support Grants. Currently she is regional AIE representative to the NEA and serves on the Minnesota Center for Arts Education Advisory Task Force.

Susan Vaughan has been noted earlier (Appendix D).

Allied Arts Organization (AAO) consists of three major bodies of arts and arts education leaders: the president or chair of each known professional organization (approximately fifteen), the appropriate arts and education contact of professional visual and performing arts organizations, and arts industry council contacts who service the schools with high quality products and resources. Both public and private organizations and education-related agencies and businesses participate in the AAO for the purposes of improving arts offerings in the schools.

Members of the Allied Arts Organization (AAO) are leaders of each arts and arts education organization of the state. Members of the AAO, Arts Partners, and the Arts Advisory have experience and prior training in the fields in which the curriculum frameworks will be developed. Their credentials include experience in arts advocacy, arts production and aesthetics, arts history and criticism, and arts education publications and research. The AAO includes representatives from the industry council of the business sector and live visual and performing arts organizations and agencies, e.g., the Walker Art Center, the Minneapolis Institute of Arts, and the Ordway Music Theater. The AAO, Arts Partners, and Arts Advisory will include representatives from music, art, dance, and theater counterparts in music and visual art.

Rachel Walpole, school services associate, is co-chair of the Minneapolis Institute's teacher advisory committee. As liaison between Minnesota teachers and the museum, she develops materials for classroom use. Rachel serves on the AEM state board and the NAEA teacher advisory committee of the Institute. The Minneapolis Institute of Arts, recognized internationally as one of the great museums of America, provides innovative education systems designed to meet audience needs with special programs and activities for children, families, and adults. The Institute's emphasis has been on the careful gathering of works representative of every age and cultural tradition, spanning 4,000 years of world history.

David J. Henry, Associate Director of Education at the Walker, has for the past five years been responsible for a wide range of school programs designed to provide greater understanding of modern art. These include classroom materials, teacher workshops, curriculum development, tours, high school classes, and educator conferences. The Walker Art Center is one of the nation's

primary resources for contemporary art. Through its multi-disciplinary programs in visual and performing arts, as well as film and video, the Walker presents an overview of all the major styles of 20th century art. An extensive variety of educational programs create unique opportunities for the active engagement of all audiences with the artists and art forms presented.

Laura Johnson is the Ordway Music Theater Director of Education. She is responsible for designing, marketing, implementing, and administering all educational and outreach programs of the Theatre. Laura works closely with the Vice President of Programming and Marketing to develop meaningful activities centered on Ordway presentations for students, educators, and families.

The Arts Advisory is a body of arts leaders who provide ready guidance to the arts-education specialist when planning programs and initiating meaningful and significant plans which are consistent with the leadership foci of the Arts Educators of Minnesota and the National Arts Education Association, the Minnesota Music Educators Association (in cooperation with the Music Educators National Conference affiliate projects), the chair persons of the art education and music education at the University of Minnesota (Minnesota's only doctoral granting arts education institution), and the Minnesota Alliance for Arts in Education.

Members of the Arts Advisory include the heads of the departments of art and music education at the University of Minnesota, the state arts education organization presidents, the NAEA national president who resides in Minnesota, and the executive director of the Minnesota Alliance for Arts in Education.

Margaret DiBlasio, Head of the Art Education Program, University of Minnesota is the Director of Curriculum Training for the DBAE Consortium. A noted scholar and researcher, Dr. DiBlasio specializes in curriculum development and implementation for local, state, and national arts education projects.

Paul Haack is Professor and Head, Division of Music Education/Therapy, University of Minnesota. Paul has taught instrumental and choral music as well as general music and related arts classes in the public and private schools. His teaching expertise includes instrumental and general music; related arts methods; psychology, sociology, and aesthetics of music. His research interests emphasize musical values, attitudes, and preferences. Currently he directs Yamaha's National Music Education Research Project.

Mark Hansen is district arts resource coordinator in the Forest Lake schools, working across disciplines and connecting institutions and staff in professional development activities. He serves on the planning committee of the National Assessment for Education Progress and is publications chair for the NAEA. Mark is chair of the visual arts early adolescent young adult standards committee, National Board for Professional Teaching.

Karen Rossbach, Art Educators of Minnesota past-president, is a private school art educator at Mounds Park Academy. She has been recognized as art educator of the year and was awarded an excellence award by the youth art month

committee. She has also received the state elementary art educator of the year award.

Make a list of all subjects in the Minnesota Music Educators Association and former fellowships in the Professional Development Plan Fellowship Program.



- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Department of Education
 Title of Project/Proposal: Statewide Distribution of Pilot Water Pollution Curriculum
 Federal Catalog Number: 66-951

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: July, 1993 End Date: June 30, 1994
 Funding Amount: \$ 12,000.00 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Priorities for proposals established by EPA. Otherwise, total administrative discretion to applicant.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 See Attached.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 Need for non-point source water pollution curriculum in schools: Environmental Quality Board and Pollution Control Agency engaged in education planning and development for non-point source. This curriculum will be coordinated with plans and needs developed by those agencies.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>4,000</u> *	Percentage of total grant <u>25</u> %	Hard <u>50</u> %	Soft <u>50</u> %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required _____

* From water pollution penalties.

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 Short. Statewide distribution of an existing curriculum developed through a water pollution penalty against 3M and Hormel companies.
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 14.8 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 0 New 10% Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No N/A
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No This grant neither increases nor decreases the chances of unemployment cost since existing employees are being used. We anticipate the continued employment of existing staff at conclusion of this grant.
- b. If yes, has provision been made to provide the necessary funding? NA Yes No
13. Legal authority to apply for and accept grant. M.S. 126A.04, Subd.5. Grants. "The Director may apply for, receive, and allocate grants and other money for environmental education.
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

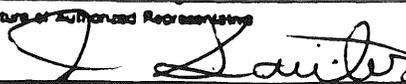
Mye Wilkins
 Accounting Coordinator's Signature

1-26-93
 Date

Lube Tommerson
 Executive Budget Officer's Signature

4-26-93
 Date

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input checked="" type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction <input checked="" type="checkbox"/>		2. DATE SUBMITTED 1/15/93	Applicant Identifier																												
		3. DATE RECEIVED BY STATE	State Application Identifier																												
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																												
5. APPLICANT INFORMATION																															
Legal Name: Mn. Department of Education		Organizational Unit: Office of Environmental Education																													
Address (give city, county, state, and zip code): 6th Floor, Capitol Square Building 550 Cedar Street, St. Paul, MN, 55101		Name and telephone number of the person to be contacted on matters involving this application (give area code): Shirley M. Dougherty, Director																													
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 41 - 6007162		7. TYPE OF APPLICANT: (enter appropriate letter in box) A. State <input type="checkbox"/> H. Independent School Dist. <input type="checkbox"/> A B. County <input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> C. Municipal <input type="checkbox"/> J. Private University <input type="checkbox"/> D. Township <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> E. Interstate <input type="checkbox"/> L. Individual <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> G. Special District <input type="checkbox"/> N. Other (Specify) _____																													
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in boxes: <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY: U. S. Environmental Protection Agency																													
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 66 - 951 TITLE: Environmental Educational Grants		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Updating, reproduction and statewide distribution of elementary nonpoint source water pollution curriculum project.																													
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): State of Minnesota																															
13. PROPOSED PROJECT: Start Date: 7/93 Ending Date: 6/94		14. CONGRESSIONAL DISTRICTS OF: a. Applicant: 4 b. Project: State of Minnesota																													
15. ESTIMATED FUNDING: <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td>a. Federal</td> <td>\$</td> <td>12,000.00</td> <td>.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td>8,000.00</td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td>20,000.00</td> <td>.00</td> </tr> </table>		a. Federal	\$	12,000.00	.00	b. Applicant	\$	8,000.00	.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$	20,000.00	.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$	12,000.00	.00																												
b. Applicant	\$	8,000.00	.00																												
c. State	\$.00																												
d. Local	\$.00																												
e. Other	\$.00																												
f. Program Income	\$.00																												
g. TOTAL	\$	20,000.00	.00																												
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																													
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED																															
a. Typed Name of Authorized Representative Gene Mammenga		b. Title Commissioner	c. Telephone number 612/297-3115																												
d. Signature of Authorized Representative 			e. Date Signed 1-14-93																												

Previous Editions Not Usable

Standard Form 424 (REV 4-88) Prescribed by GMB Circular A-102

Authorized for Local Reproduction

EPA ENVIRONMENTAL EDUCATION GRANT

PROJECT TITLE: UPDATING, REPRODUCTION AND STATEWIDE DISTRIBUTION OF ELEMENTARY PORTION OF PILOT NONPOINT SOURCE WATER POLLUTION CURRICULUM PROJECT.

GRANT REQUEST: \$12,000.00

**PROJECT MANAGER: Shirley M. Dougherty, Director
Office of Environmental Education
Minnesota Department of Education
651 Capitol Square Building
St. Paul, Minnesota 55101
(612) 296-2723**

I. INTRODUCTION

In 1989-90, an interdisciplinary elementary nonpoint curriculum was developed for Mower County in Minnesota with funds from water pollution penalties assessed by the Minnesota Pollution Control Agency against Hormel and 3M corporations. The local Izaak Walton League managed the project and received a national award. The purpose of this request is to review, update, reproduce and disseminate the grades 4, 5 and 6 portion of the curriculum to 1104 elementary schools in Minnesota. The curriculum will be updated for outcome-based instruction and edited for suitability for nationwide use.

The existing curriculum to be edited and reproduced includes:

- An innovative storytelling video used to introduce the topic and create an anticipatory setting for both teachers and students.
- A teacher's packet of existing materials from a variety of sources which were selected and tested by teachers in Mower County, Minnesota. Teacher Guides, hands-on activities and pre and post-testing are some features of the packet.

Dissemination of materials:

- 1 teacher's packet to the Environmental Education Contacts established in each school in Minnesota.
- 7 videos (1 per Education Service Teams for duplication by each school).

Expected Results/Benefits:

Statewide distribution of an innovative, outcome-based, teacher developed and tested, hands-on, community-oriented nonpoint elementary curriculum. Approximately 168,500 students per year potentially will be reached through this project.

II. PROJECT DESCRIPTION

A. Establish a task force to oversee and guide project.

A task force will be formed of key participants in the Mower Co. pilot project, outcome-based education experts from the Department of Education (MDE), Office of Environmental Education (OEE), Minnesota Pollution Control Agency (MPCA), Environmental Quality Board (EQB) and other as appropriate. The Task Force will develop a work plan and timeline.

B. Teacher's Packet Update.

The existing teacher's packet will be reviewed, edited and updated for:

- consistency with the outcome-based education requirements in the 1990 Environmental Education Act and the Model Environmental Learner Outcomes of MDE;
- appropriateness and application of materials to the entire state of Minnesota;
- appropriateness and application of materials to other states;
- necessary instructions and or materials will be developed for the packet.

C. Video Update:

The storytelling video produced in Mower County will be reviewed and updated for using throughout Minnesota and nationwide. Instructions for developing appropriate stories to fit local areas will be developed, if necessary. The video will also be evaluated for expanded use as a teacher training tool and/or an inter-active tool in the classroom. Depending upon cost, the video will be updated for the maximum amount of use by the greatest number of teachers within the budget.

D. Distribution:

Teacher Packets for each elementary school (private and public) will be distributed to the Environmental Education Contact established in each school. The Environmental Education Bulletin Board on Minnesota Quick Link (computer hook-up between each school district and MDE) will announce the availability of the packets. A story will be published in Minnesota Update, MDE newspaper which reaches 60,000 teachers.

E. Videos will be distributed to each of the seven service teams established by MDE which serve all school districts in Minnesota. The video will be duplicated by each school to complete the curriculum package. A video will be available at OEE and catalogued in MDE library. Videos will be announced as above.

FUNDING PRIORITIES:

This project meets objective F.1.a.; F.2.a,b,c; F.3.a,b.

The project will distribute statewide a model non-point source curriculum developed and being used only by teachers in one Minnesota county. It promotes equity and consistency in Minnesota's EE programs.

Storytelling was deemed a most effective tool by the teachers and the tape was developed to ensure continuation of that aspect of the curriculum even if a good storyteller is unavailable to a teacher. Instructions will be developed for developing stories relevant to local non-point source issues. It enable teachers to develop and enhance storytelling skills.

The project relates to the high priority issue of non-point source water pollution and how it impacts both surface and groundwater.

The product will be outcome-based curriculum which uses storytelling to captivate the audience. Outcome-based education is the trend, not only in Minnesota, but nation-wide. The curriculum is specifically developed for non-point source water pollution.

BENEFITS

This project has ongoing benefits of:

- Potentially reaching approximately 168,500 Minnesota students each year.
- Strengthening through implementation, the structure for delivery of environmental education in the 1990 Minnesota Environmental Education Act.
- Demonstrating the use of outcome-based education methods with a very important environmental issue.
- Enhancing partnerships in a useful manner.
- Leveraging funds which originated from a negative environmental happening to a positive outcome. A win-win situation.

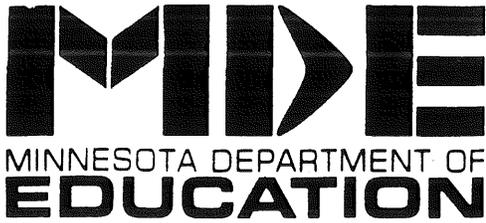
BUDGET**Sources:**

<u>EPA</u>	\$12,000
<u>OEE</u>	\$4,000 (3M Penalty)
	\$7,000 (In-Kind)

ACTIVITY	EPA	OEE
Task Force	\$0	\$1500 IK*
Action Plan	\$0	\$500 IK
Teacher Packet	\$5,000	\$750 IK
Video Update	\$5,000	\$750 IK
Printing/ Distribution	\$2,000	\$4,000
Workshops	\$0	\$500 IK
TOTAL	\$12,000	\$4,000 \$4,000 IK

*IK = In Kind (Administrative time, duplicating drafts, mailing, task force meeting preparation and meeting time, etc.)

MILESTONES	TARGET DATE	COST ESTIMATE
1. Assemble Advisory Task Force	7/1/93	0
2. Develop detailed action plan	8/1/93	0
3. Update Teacher's Packet	10/1/93	\$5,000
4. Update Video	2/1/94	\$5,000
5. Reproduce and distribute 1,000 teacher packets and 12 videos	5/1/94	\$2,000
TOTAL		\$12,000



Capitol Square 550 Cedar Street
Saint Paul, Minnesota 55101 612/296-6104

SHIRLEY M. DOUGHERTY

Biographical Sketch

Shirley Dougherty, Director of the Office of Environmental Education since July, 1990, is responsible for implementing the 1990 Environmental Education Act through the development of programs for students and citizens which meet the goals and mandates of the Act. A current major project is developing a statewide comprehensive environmental education (EE) plan by July, 1993.

From 1980 until 1990, Shirley served as Administrator of the Environmental Quality Board (EQB). In 1985, the EQB assigned her to assess the environmental education issue. She established the Interagency Task Force which made recommendations encouraging the increased development of environmental education programs in Minnesota which the EQB adopted in 1988. In 1989, Shirley was appointed as Co-Coordinator of the Minnesota Environmental Education Board and helped developed the Minnesota Strategy for Environmental Education. In 1990, legislation implementing the strategy was adopted.

From 1974 to 1975, Shirley developed major water basin plans. From 1975 through 1979 she directed the Minnesota 208 Non-Point Water Quality Planning effort at the Minnesota Pollution Control Agency.

Before joining state government, Shirley lobbied for the League of Women Voters on environmental and metropolitan issues and worked on the Rice Creek Watershed study which culminated in the formation of an urban Watershed District. She is a graduate of the University of Iowa College of Nursing and the University of Minnesota Humanities Department.





Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Education (MDE)
 Title of Project/Proposal: Special Opportunity in Languages Education: National Endowment for the Humanities
 Federal Catalog Number: 45-155

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: October 1, 1993 End Date: September 30, 1996
 Funding Amount: \$ 312,761 Positions: 1.41 FTE at UofM-TC

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area. The MDE had broad discretion in preparation of the application as it proposes an innovative program. MDE worked with a steering committee of representatives from all levels and systems of education in the state: elementary, secondary, and postsecondary (University of Minnesota, State University System, Community Colleges, and the Private College Council).
2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. "Articulating Language Instruction across Education Systems" seeks to develop, over three years, a replicable and transportable model for articulation of curricular strategies, outcomes, and assessment across all levels and systems in Minnesota. A pilot cluster of six system representatives (three/institution in French, German, and Spanish) will add four clusters in Year 3 to achieve agreement on standards and design an assessment system.
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. The proposed project is a natural extension of work already underway on graduation outcomes, entrance and exit standards, and performance-based assessment at the MDE, UofM-TC College of Liberal Arts, and the State University System. The goal of the project is to achieve a coordinated approach and agreement among all systems in order to provide students with maximum learning opportunities.
4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

In the short term, the state accepts responsibility for carrying out the grant over a three-year period and complying with the assurances given in the application. In the long term, there are only opportunities, not firm commitments.

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 14.8 %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No not applicable

8. How many positions are needed to carry out this program? 1.41 FTE New _____ Existing
at UofM-TC

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No not applicable (at U)

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

M.S. 4.07

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

John E. Walker
Accounting Coordinator's Signature

April 23, 1993
Date

Julie Tomerson
Executive Budget Officer's Signature

4-26-93
Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Education (MDE)
 Title of Project/Proposal: Fund for the Improvement of Postsecondary Education: Comprehensive Program
 Federal Catalog Number: 84.116A

Type of Grant: New Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application _____ Application Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 _____ Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: September 1, 1993 End Date: August 31, 1996
 Funding Amount: \$ 296,344 Positions: 5 (=1.41 FTE) at UofM-TC

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

MDE had broad discretion in preparation of the application as it proposes an innovative program. MDE worked with a steering committee of representatives from all levels and systems of education in the state: elementary, secondary, and postsecondary (University of Minnesota, Minnesota State University System, Community Colleges, and the Private College Council).

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

"Articulating Language Instruction across Educational Systems" is designed to develop, over three years, a replicable and transportable model for articulation of curricular strategies, outcomes, and assessment across all levels of instruction and systems in Minnesota. A pilot cluster of six system representatives will add four clusters to achieve agreement on standards and design an assessment system.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. The proposed program is a natural extension of work on graduation outcomes, entrance and exit standards, and performance-based assessment underway at the MDE, UofM-TC College of Liberal Arts, and the State University System. The goal of the program is to achieve a coordinated approach and agreement among all systems in order to provide students with maximum learning opportunities.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

In the short term, the state accepts responsibility for carrying out the grant over a three-year period and complying with the assurances given in the application. In the long term, there are only opportunities, not firm commitments.

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 8 %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

The Fund for the Improvement of Postsecondary Education (FIPSE) allows only 8%.

7. Are indirect costs part of any match? Yes No not applicable

8. How many positions are needed to carry out this program? 1.41 FTE New Existing
at UoFM-TC

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No not applicable (at U)

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

M.S. 4.07

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

John E. Wickham
Accounting Coordinator's Signature

4-22-93
Date

Julie Tommeson
Executive Budget Officer's Signature

4-27-93
Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Education
 Title of Project/Proposal: Minnesota Mathematics and Science Frameworks
 Federal Catalog Number: 84-168A Development Project

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 10/1/93 End Date: 9/30/96
 Funding Amount: \$ 1,286,597 Positions: 1.5

Yr. 1-\$397,624 Yr. 2-\$482,724 Yr. 3-\$406,249

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administrative/staffing or program selection area.

See attached sheets.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc) which will result from the program.

See attached sheets.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

See attached sheets.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 None.
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 14.8 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 1.5 New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 M.S. 4.07 Subd. 3
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

Jean E. Welton
 Accounting Coordinator's Signature

April 27, 1993
 Date

Julie Tompkins
 Executive Budget Officer's Signature

4-27-93
 Date

POLICY NOTE

EDUCATION

MINNESOTA MATHEMATICS AND SCIENCE FRAMEWORKS DEVELOPMENT PROJECT

1. The agency was allowed wide discretion and latitude to develop the program. The products are specified (frameworks, guidelines, and criteria; see 2 below) but the means of development and the form for each was discretionary.
2. There are four Goals for the project, three for products, and a fourth for evaluation

GOAL I: Develop state curriculum frameworks for Grades K-12 reflecting world class standards **in mathematics and science** available for the use of all teachers of mathematics and science in public and private schools in Minnesota..

OBJECTIVES/ACTIVITIES RELATED TO GOAL I:

1. Develop the content portion of frameworks in science and mathematics based on the standards of the National Council of Teachers of Mathematics (NCTM) and the emerging science standards of the National Research Council as well as those in the American Association for the Advancement of Science's Project 2061 and the Science Scope, Sequence and Coordination of the National Science Teacher's Association.
2. Coordinate these frameworks with Minnesota's proposed Graduation Rule, linking science and mathematics with both the broad exit outcomes and the content specific outcomes included in the rule.
3. Use focus groups of teachers throughout the process to generate feedback and involvement.
4. Produce the frameworks developed in objectives 1 and 2 in a relational data base on a compact disk (CD)- ROM, which will be accessed through a computer terminal .

GOAL II. Develop model guidelines for effective approaches to **teacher education and certification** based upon world class standards and the state curriculum frameworks.

OBJECTIVES/ACTIVITIES RELATED TO GOAL II:

1. Cooperate with the state Board of Teaching and SCI/MATH^{MN}, the state's systemic initiative plan to develop and promote model guidelines.

2. Cooperate with the state Board of Teaching to select several teacher preparation institutions as pilot sites for Professional Development Schools in science and mathematics, where a high quality year-long internship will occur. This experience will be aligned with world class standards and the state curriculum frameworks.
3. Form a committee with the state Board of Teaching to revise the science and mathematics requirements for teacher licensure at both the elementary and secondary levels to align with national standards and new curriculum frameworks.

GOAL III Develop **criteria for teacher recertification** and design and pilot test a model, cost-effective inservice professional development program for teachers based on world class standards and state frameworks.

OBJECTIVES/ACTIVITIES RELATED TO GOAL III:

1. Develop a policy paper in conjunction with SCI/MATH^{MN} for district recertification committees to persuade them of the importance they must attach to high quality professional development experiences for teachers of science and mathematics at all levels.
2. Use a teachers-teaching-teachers model, called P.R.I.S.M. (Professionals Renewing and Improving Science and Mathematics), to deliver professional development on the standards and framework, by preparing the presenters.
3. Pilot, refine and deliver model workshops on using the technology required to access the frameworks.
4. Pilot, refine and deliver model workshops on the science and mathematics content of the world class standards and content of the state curriculum frameworks.

GOAL IV. To provide an **evaluation** of the project.

3. There have not been curriculum frameworks in Minnesota in recent memory. Initial planning for frameworks in many areas has begun as part of preparation for implementing a competency-based Graduation Rule. Curriculum frameworks serve as the bridge between standards and the classroom, thus offering needed support for teachers. If federal funding is received for science and mathematics, limited state money can be directed toward other curriculum areas.



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Higher Education Coordinating Board
 Title of Project/Proposal: Federal Program Integrity Provisions
 Federal Catalog Number: Section H of the Higher Education Act

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: September 1, 1993 End Date: Continuing
 Funding Amount: \$ 300,000.00 Positions: 3.0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 The grant will be given specific responsibilities to perform and a fixed amount of funds to perform the responsibilities. The HECB has the discretion on how to perform the responsibilities.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. To implement a program for increased oversight of post-secondary education institutions, to assure they actually provide the education and training they advertise. This will assure students that they receive the education and training they're paying for.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This program will be complementary to the Minnesota programs providing oversight and licensure of private for profit proprietary schools and Private Institution Registration.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

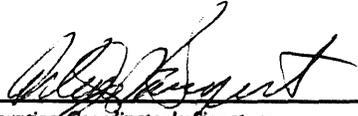
1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
Perform the responsibilities required by the grant.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____⁵ %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 2 or 3 New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.

136A.04

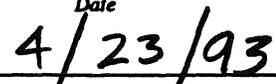
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



Accounting Coordinator's Signature


Executive Budget Officer's Signature



Date


Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Higher Education Coordinating Board
 Title of Project/Proposal: Statewide Systemic Initiative Program
 Federal Catalog Number: NSF 90-47

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 6-1-93 End Date: 5-31-98
 Funding Amount: \$9,978,111 Positions: No State Position

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 This is a grant application from the Minnesota High Technology Council to the National Science Foundation. The HECB will act as the administrative agency.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 This is a consolidated proposal that will address the need for systemic change in the Minnesota's mathematics and science education and help learners, educators, achieve new goals.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This is a statewide proposal from the Minnesota High Technology Council in cooperation with the State Department of Education, the University of Minnesota, the State University System, private colleges and elementary and secondary schools.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>2,000,000</u>	Percentage of total grant <u>50</u> %	Hard <u>100</u> %	Soft <u> </u> %
2nd year \$ <u>2,000,000</u>	Percentage of total grant <u>50</u> %	Hard <u>100</u> %	Soft <u> </u> %
3rd year \$ <u>2,000,000</u>	Percentage of total grant <u>50</u> %	Hard <u>100</u> %	Soft <u> </u> %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 \$1.5 million for Sci/Math^{MN} for each of the next five fiscal years.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 4 %
 All administrative charges will be direct charged, balance is for statewide indirect costs.
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? N/A New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No Any employees hired will not be state employees.
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant. M.S. 136A.06
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature

4/16/93

 Date



 Executive Budget Officer's Signature

4/26/93

 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Higher Education Coordinating Board
 Title of Project/Proposal: Summer of Service Application
 Federal Catalog Number: Commission on National and Community Service

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: June 1, 1993 End Date: September 30, 1993
 Funding Amount: \$ 1,860,361 Positions: 0

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

The HECB is the fiscal agent for this consolidated Metropolitan area grant. The primary grant work will be performed by agencies in Minneapolis and St. Paul and agencies of other Metro area governing structure.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

Youth in this program will work hard at serving others and their community and will be rewarded for their effort. Service to community is the result of their work, just as it is for many well-paid and respected adults. This is in no way a giveaway program or a make-work program. Our youth will work hard, continue to the betterment of their community, benefit personally from the experience, and be appropriately rewarded through stipends and post-service-benefits.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

This program uses youth in all levels or cascading leadership to work directly with public and non-profit agencies, collaborate with agency personnel, and lead and mentor other youth: 17-25 year olds working with high-school youth, they in turn, with middle-school youth, and they with elementary age children. By allowing youth the right to demonstrate their leadership ability and contributions, at whatever level they are at, they will become more responsible, society will benefit, and our communities will show solid improvements because of it.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>1,860,361</u>	Percentage of total grant <u>78</u> %	Hard <u>5</u> %	Soft <u>17</u> %
2nd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

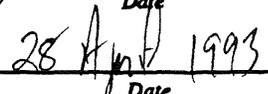
Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 Not at the state level. The HECB primarily act as the fiscal agent of a flow through grant program. Very little effort is required.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New Existing ⁵ at the local level.
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 136A.04
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature


 Executive Budget Officer's Signature


 Date


 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Department of Corrections
 Title of Project/Proposal: Substance Abuse Treatment in State & Local Criminal Justice Systems.
 Federal Catalog Number:

Type of Grant: New Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application Application _____ Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 ___ Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 10/01/93 End Date: 9/30/94
 Funding Amount: \$ 100,000 Positions: 1.5

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Minimal discretion - monies must be used for Substance Abuse programming within the criminal justice system.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 Expand substance abuse treatment programming to a larger - chemically dependent prison population.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 Enhance existing programming available to this criminal justice population.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

None

6. Are indirect costs included in the proposal? Yes No ?

a. If indirect costs are not included in the proposal, indicate reason.

Have not seen the RFP

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____%

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 1.5 New 0 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

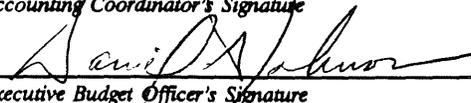
MS 241.01

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature



Executive Budget Officer's Signature

April 23, 1993

Date

4/26/93

Date

FEB 24 1993

Substance Abuse and Mental
Health Services Administration
Rockville MD 20857

Mr. John Gostovich
Associate Director for Funding
Minnesota Department of Human Services
444 Lafayette Road
St. Paul, Minnesota 55155-3823

Dear Mr. Gostovich:

The Center for Substance Abuse Treatment (CSAT), in order to forward its vision of expanding the availability of effective substance abuse treatment and recovery services, has utilized the authority granted in the ADAMHA Reorganization Act to expand and enhance existing programs, and to implement new grant programs and cooperative agreements in fiscal year (FY) 1993. The CSAT will fund these programs with new monies in FY 1993:

- o Residential Treatment Program for Pregnant and Postpartum Women. The Request for Applications will be published in March, with an anticipated funding level of \$24.6 million.
- o Residential Treatment Program for Women and Children. The Request for Applications will be published in March, with an anticipated funding level of \$24.2 million.
- o Addiction Treatment Training Grant Program. The Request for Applications will be published in March, with an anticipated funding level of \$3.8 million.
- o The CSAT/HRSA Substance Abuse/Primary Care Linkage Grant Program. The Request for Applications will be published in March, with an anticipated funding level of \$7.8 million.
- o Rural, Remote, and Culturally Distinct Populations Demonstration Program. The Request for Applications will be published in March, with an anticipated funding level of \$4.0 million.
- o CSAT/CMHS Collaboration Services for Homeless Substance Abusers Who Are Mentally Ill Program. The Request for Applications will be published in April, with an anticipated funding level of \$4.0 million.
- o Referral and Monitoring Under SSI for Individuals Disabled Due to Addictive Disorders Grant Program. The Request for Applications will be published in March, with an anticipated funding level of \$3.0 million.

July 28-1993

Page 2 - Mr. John Gostovich

- o Grants for Substance Abuse Treatment in State and Local Criminal Justice Systems. The Request for Applications will be published in March, with an anticipated funding level of \$30.4 million.
- o Target Cities Program. The Request for Applications will be published in March, with an anticipated funding level of \$32.5 million.
- o Critical Populations Grant Program. The Request for Applications will be published in March, with an anticipated funding level of \$42.3 million.

The CSAT will be awarding approximately \$150 million in new awards under our discretionary grant programs in FY 1993.

The CSAT's 1993 Technical Assistance Workshops are being scheduled in March to assist prospective grant applicants in responding to future CSAT grant announcements. Organizations in your communities are being invited and encouraged to attend. The workshops will be held March 5-6 in Baltimore, Maryland, and March 12-13 in San Diego, California. I have enclosed a brochure containing registration information.

Additionally, organizations in your State wishing to be placed on CSAT's mailing list to receive future grant announcements as they are published in the Federal Register, may wish to contact United Information Systems, Incorporated, at the following address:

United Information Systems, Incorporated
 3206 Tower Oaks Boulevard
 4th Floor
 Rockville, Maryland 20852
 Telephone: (301) 984-4222

Please feel free to call the CSAT's Peer Review Branch at (301) 443-8923 if you need any additional information or assistance.

Sincerely,

Becky

Beny J. Primm

Beny J. Primm, M.D.
Director

Center for Substance Abuse Treatment

Enclosure



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Human Services
 Title of Project/Proposal: Child Support Enforcement System (CSES) Enhancements
 Federal Catalog Number:

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.

Yes No If yes, state the page and current budget volume for reference.

Most of the funds for the Child Support Enforcement System enhancement are reflected in the Department of Human Services 1994-1995 Biennial Budget on Page B-197.

This award/proposal: Start Date: Fiscal Year 1994 End Date: Fiscal Year 1995
 Funding Amount: \$ 2,300,000 \$3,000,000

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

SEE ATTACHED

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

SEE ATTACHED

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

SEE ATTACHED

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

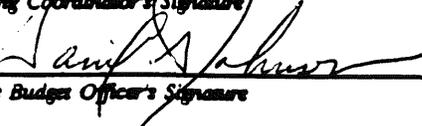
1st year \$	<u>230,000</u>	Percentage of total grant	<u>10</u> %	Hard	<u>10</u> %	Soft	<u> </u> %
2nd year \$	<u>300,000</u>	Percentage of total grant	<u>10</u> %	Hard	<u>10</u> %	Soft	<u> </u> %
3rd year \$	<u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____
- b. What short and long term commitments is the state making by acceptance of this grant?
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. % Statewide and Agency costs are allocated to the project per the federally approved cost allocation plan
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 20 New Existing
9. Will the award supply funding of present positions? Partial Full None
 Based on the Federal Financial Participation Percentage.
10. Will new positions be funded entirely by the grant award? Yes No
 See #9 above
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No Enhancement project development staff are temporary.
 However the ongoing system operation must be adequately staffed.
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No There will be Federal Financial Participation in these costs.
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 M.S. 256.014
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature



 Executive Budget Officer's Signature

 4-28-93

 Date

 4-29-93

 Date

ATTACHMENT

1. The CSES Enhancement project is a result of federally required changes in the state's Child Support Enforcement computer system. Funds are awarded pursuant to a series of advance planning documents that DHS has submitted. These planning documents outline the scope of the project and the investment needed. Final approvals are negotiated with the Federal Agency, but must conform to the new federal regulations.

2. The Child Support Enforcement System is one of the major Human Services information systems run by the Department of Human Services. Its purpose is to assist the state and county agencies in collecting child support payments for public assistance recipients and others. Recent federal regulations mandated the upgrading or enhancement of these systems across the country. Federal funds are available for this enhancement effort. Funds will be used to pay the costs of site preparation computer hardware, programming modifications, state staff needed, and vendor contracts.

3. As noted in #2 above this is a federally required enhancement of an existing certified system. The child support system interfaces with other DHS and state systems at present and will continue to do so after the enhancements. As a major system, CSES is reviewed regularly by the Information Policy Office (IPO).



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Lake Vermillion Cooperative Agreement
 Federal Catalog Number: 15.xxx

APID: 31500:08-30

Type of Grant: New Continuation Other If Other, Please Explain.

(however, there were no expenditures in F.Y. 93)

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

Approved in F.Y. 92 - F.Y. 93 Budget, Not F.Y. 94

This award/proposal: Start Date: July 1, 1993 End Date: June 30, 1994
 Funding Amount: \$ 5,000 (F.Y. 94) Positions: -0-

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Agreement is result of joint issue identification and planning by the Bureau of Land Management and DNR.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. To provide through the partnership, for management and protection of BLM land island and their resource values in Lake Vermillion. To extend an immediate management influence on the island through: production of public signage related to public use, provision of weekly watercraft patrols and distribution of "Islands ethics brochure".

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. It is a continuation of normal DNR responsibilities in that geographic area, only on federal land.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>2,500</u>	Percentage of total grant <u>50</u> %	Hard <input type="checkbox"/> %	Soft <u>100</u> %
2nd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <input type="checkbox"/> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <input type="checkbox"/> %	Soft <u> </u> %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

Short term - products described under #2

Long term - maintain communication with Bureau of Land Management regarding the management and protection of the area.

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

However salary costs not anticipated for F.Y. 94.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____%

Enforcement	53.5
Parks	59.3
I & E	20.9

c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? New Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No NA

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No NA

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

Minnesota Statutes 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature

4-16-93

Date



Executive Budget Officer's Signature

4/23/93

Date



- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources, Trails and Waterways
 Title of Project/Proposal: Enhancements -- I.S.T.E.A.
 Federal Catalog Number: 20.2XX
 APID: 31600-09-30

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: July 1, 1993 End Date: June 30, 1995
 Funding Amount: \$ 4,117,440 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Trails and Waterways has discretion as to program selection, however, must follow the application guidelines in determining project's eligibility as stated by the Intermodal Surface Transportation Efficiency Act--Enhancements.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. Provide recreational opportunities which recognize the link between the preservation and enhancement of significant natural and cultural resources and transportation decisions. Additional recreational trails as well as the development of an intermodal transportation system will result from this grant.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

Projects within developing authority of State Trail System Statute M.S. 85.015. Grant will accelerate development and enhancement as well as coordinate with the current State Trail System.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>250,000</u>	Percentage of total grant <u>25</u> %	Hard <u>100</u> %	Soft <u> </u> %
2nd year \$ <u>779,250</u>	Percentage of total grant <u>11</u> %	Hard <u>11</u> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

Commitment is to provide the public with safe accommodations and improvements to existing transportation facilities and improvements to recreational opportunities.

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

Funds will be used for construction contracts.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New Two Existing

9. Will the award supply funding of present positions? Partial Full 0 None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?

Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?

Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

Minnesota Statutes 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

Accounting Coordinator's Signature

Executive Budget Officer's Signature

4-16-93

Date

4/23/93

Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources-Forestry
 Title of Project/Proposal: Oak Wilt Suppression-Forest Health Monitoring
 Federal Catalog Number: 10.664

APID: 31200-39-30

Type of Grant: New Continuation Other If Other, Please Explain.

Federal funds are received on a reimbursement basis.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

1992-92 Biennial Budget, pp. 100-103 *

This award/proposal: Start Date: 10-1-92 End Date: 9-30-93
 Funding Amount: \$ 1,000,000 / yr Positions: 0

(Increase of \$939,000 for FY94 + FY95)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Broad guidelines are established by the U.S.D.A. Forest Service. Specific accomplishment targets are negotiated between the State and Federal program managers. All hiring, spending and contracting decisions are made by the State Program Manager.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The overall goal of this grant is to ensure the health of the State's forests. Forest Health Monitoring provides baseline information necessary to plan intervention crucial to the health of our forests. Oak Wilt Suppression funds will be used to fight the widespread infections of oak wilt disease throughout the State.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This grant will supplement the resources available to the Division's existing Forest Insect and Disease Unit. The Oak Wilt funds will be granted to local units of government to aid them with their suppression efforts. The Health Monitoring funds will allow more thorough detection efforts to a larger portion of the State.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>750,000</u>	Percentage of total grant <u>75 %</u>	Hard <u> </u> %	Soft <u>75 %</u>
2nd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required . The match for the Oak Wilt portion of this grant (\$750,000) will be provided by the local units of government selected to receive matching subgrants. Forest Health Monitoring requires no match.

FI-00211-04 (7-91)

-over-

* This is an increase to account in FY94-95 Biennial Budget
 PC-183

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 The only commitments are to strive toward the targeted goals negotiated by the program managers.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 No salaries are paid with Federal funds.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New 3 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
 N/A
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
 N/A
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MN Statute 88.063
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature



 Executive Budget Officer's Signature

4-16-93

 Date

4/23/93

 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Deer Census - U.S. Fish & Wildlife Service
 Federal Catalog Number: 15.6xx
 APID: 31500-07-30

Type of Grant: New Continuation Other If Other, Please Explain.
 Cooperative Agreement with U.S. Fish and Wildlife Service

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 7-1-93 End Date: 9-30-95
 Funding Amount: \$ 4,000 Positions: 0
 (\$2,000 F.Y. 94, \$2,000 F.Y. 95)

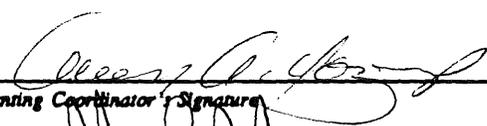
1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 U.S. Fish & Wildlife Service defines the task - plans the census and compiles the data reported to them by MN/DNR Contractor. Funding is based on hourly rate in DNR subcontract.
2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The purpose of the cooperative agreement between U.S. Fish & Wildlife and MN/DNR is to conduct an aerial population census of white tailed deer in the Lower Minnesota River Valley on lands owned and controlled by the State and U.S. Fish & Wildlife Service.
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. Related to other wildlife population management efforts in State Parks and other State managed land.
4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

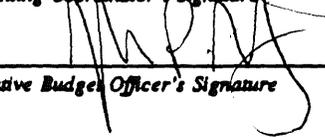
Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 Just to complete the census and report data to U.S. Fish & Wildlife Service.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 No salaries included. Work is subcontracted out.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 0 New 0 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No Not applicable
11. a. Will the state be asked to pick up the positions when federal funds are discontinued? Not applicable
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off? Not applicable
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MN Statutes 88.063
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

WAB


 Accounting Coordinator's Signature

4-16-93
 Date


 Executive Budget Officer's Signature

4/23/93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Non Point Source - Mine Waste
 Federal Catalog Number: 66-459

APID: 31300-48-30 AID# 325563

Type of Grant: New Continuation Other If Other, Please Explain.
 Extension of Current Agreement

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.

Yes No If yes, state the page and current budget volume for reference.

Approved for FY92-93, not for FY94

This award/proposal: Start Date: 1/1/92 End Date: 6/30/94
 Funding Amount: \$ 25,000 Positions: _____

(FY 94 = 15,000)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 This is a pass-through grant. PCA applied to EPA for non point funding. Division personnel developed work plans which were submitted to, and approved by PCA and EPA.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. This program will generate data on the effectiveness of infiltration reduction and wetland treatment to reduce metal release from mine waste to the environment. Data will be collected and technical reports shall be prepared.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This program will complement and extend existing programs by providing funding to collect and analyze additional data from existing test plots. This project is coordinated with other DNR projects, the DNR non point source coordinator, and other state and federal agencies through the PCA.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>10,000</u>	Percentage of total grant <u>40</u> %	Hard <u>100</u> %	Soft <u> </u> %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 Short term commitments are to collect data and provide final reports.
 There are no long term commitments.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 40.0% Pending Federal Approval
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New .6FTE Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MN STAT. 88.063
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature


 Executive Budget Officer's Signature

4-20-93
 Date

4/23/93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Minerals Open Pit Hydrology - Predicting Acid Mine Drainage
 Federal Catalog Number:

APID: 31300-45-30 AID# 325555

Type of Grant: New Continuation Other If Other, Please Explain.

Extension of Current Agreement

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

Approved for FY92-93, Not for FY94

This award/proposal: Start Date: 9/27/91 End Date: 8/24/93

Funding Amount: \$ 35,000 Positions:

(FY 94 = 5,000)

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Minerals developed a workplan which was submitted to, and approved by, the US Bureau of Mines.
2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The Minerals Division shall provide data to the US Bureau of Mines for use in a "Mathematical Model to Predict Acid Mine Drainage for Waste Rock."
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This project complements existing state programs by combining data from several wasterock stockpiles into the mathematical model.
4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %
2nd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 Short term commitments are to collect data and provide all required reports.
 There are no long term commitments.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 40.0 % Pending Federal Approval
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New .6 FTE Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MS 88.063
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature



 Executive Budget Officer's Signature

4-20-93

 Date

4/23/93

 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Open Pit Hydrology
 Federal Catalog Number:

APID: 31300-45-30 AID# 325464

Type of Grant: New Continuation Other If Other, Please Explain.
 Extension of Current Agreement

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

Approved for FY92-93, Not for FY94-95

This award/proposal: Start Date: 10/1/91 End Date: 6/30/95
 Funding Amount: \$ 20,000 Positions: —

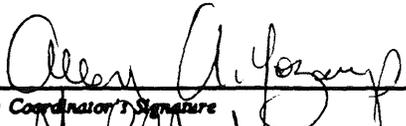
(FY 94 = \$2,000 FY 95 = \$1,000)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 All work was defined by Division personnel. U.S. Bureau of Mines has approved workplan.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. This is a cooperative agreement to: 1) Determine better methods for revegetation of coarse tailings, 2) determine the hydrology of open pits, and 3) determine the effectiveness of sulfate reduction to treat mine drainage.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This project will allow the Minerals and Waters Division to work together to investigate various revegetation techniques.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 Short term commitments are to collect data and provide all required reports.
 There are no long term commitments.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 40.0 % Pending Federal Approval
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New .6FTE Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MS 88.063
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature



 Executive Budget Officer's Signature

4-20-93

 Date

4/23/93

 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Great Lakes States Breeding Waterfowl Survey
 Federal Catalog Number: 15.6XX

APID: 31400 63-30

Type of Grant: New Continuation Other If Other, Please Explain.
 Federal purchase order for reimbursement for expenses incurred doing a bird survey for Federal Government.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 4/1/94 End Date: 6/30/95
 Funding Amount: \$ 15,000.00 Positions: -0-

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

The federal agency initiates the request for DNR services. The methodology for carrying out the survey is jointly decided. DNR submits a financial proposal and has full discretion in staffing decisions (internal/contract) and other expenditure decisions.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

Conduct aircraft surveys of breeding waterfowl as part of the Great Lakes States Breeding Waterfowl Survey. DNR will produce reports of surveys.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

DNR normally surveys 40% of the state itself but does not have resources to survey these thinly populated species without federal cooperation.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
 No salaries are funded by this money.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. N/A %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No N/A
8. How many positions are needed to carry out this program? _____ New 2 Existing (INKIND)
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 Minnesota Statutes 88.023
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

Accounting Coordinator's Signature

Executive Budget Officer's Signature

Date

Date

9-22-93

4/23/93



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Eurasian Watermilfoil Res/Dept of Army
 Federal Catalog Number: APID 31400298-30

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: June 30, 1993 End Date: June 30, 1996
 Funding Amount: \$ 200,000 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Dept. of Army approached DNR with match funds available for work concerning Eurasian Watermilfoil research to use as necessary for this project.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The proposed grant will fulfil a match requirement to release LCMR fund for Eurasian watermilfoil research. The goal is to develop long-term control methods, such as biological control, that are environmentally safe. A final report on these efforts will be provided during the summer of 1995.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This funding program will fulfil a match requirement needed for LCMR research on Eurasian watermilfoil over the next two years.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

					unknown at this tim
1st year	\$ <u>125,000</u>	Percentage of total grant	<u>62</u> %	Hard <u> </u> %	Soft <u> </u> %
2nd year	\$ <u>125,000</u>	Percentage of total grant	<u>62</u> %	Hard <u> </u> %	Soft <u> </u> %
3rd year	\$ <u> </u>	Percentage of total grant	<u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

No salaries will be paid from federal money.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New 1 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

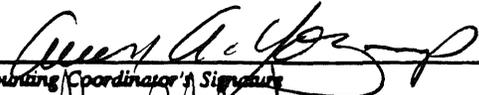
b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

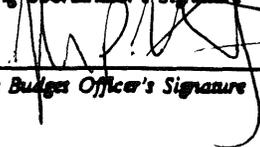
Minnesota Statutes 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature



Executive Budget Officer's Signature

4-22-92

Date

4/23/92

Date

DRAFT VERSION 2

PROJECT COOPERATION AGREEMENT
BETWEEN
THE DEPARTMENT OF THE ARMY
AND
STATE OF MINNESOTA

FOR EURASIAN WATERMILFOIL PLANT CONTROL RESEARCH

THIS AGREEMENT is entered into this ___ day of _____, 1993, by and between the DEPARTMENT OF THE ARMY (hereinafter referred to as the "Government"), acting by and through the Assistant Secretary of the Army (Civil Works), and the STATE OF MINNESOTA (hereinafter referred to as the "Local Sponsor"), acting by and through the Commissioner of the Minnesota Department of Natural Resources.

WITNESSETH, THAT:

WHEREAS, a comprehensive program to provide research related to the control and progressive eradication of Eurasian Watermilfoil from waters of the United States is authorized by Section 104 of the Rivers and Harbors Act of 1958 (Public Law 85-500), codified as amended at 33 U.S.C. 610; and

WHEREAS, Eurasian Watermilfoil research and engineering studies conducted by the Government primarily through the Waterways Experiment Station, under this authority, in cooperation with States, have led to an ongoing Federal Aquatic Plant Control Research "Program" for the improving technology and control of Eurasian Watermilfoil in Minnesota and throughout the United States (hereinafter referred to as the "Program");

WHEREAS, the Government and the Local Sponsor have cooperatively defined general Eurasian Watermilfoil research services to be conducted primarily in Minnesota over a three calendar year timeframe (hereinafter referred to as the "Project" and further defined in Article 1.b. of this Agreement and first described in a Memorandum of Understanding between the Government and the Local Sponsor, dated _____);

WHEREAS, the Local Sponsor and the Government desires to enter into a mutually beneficial Project Cooperation Agreement for cost sharing of Eurasian Watermilfoil control research, consistent with general cost-sharing requirements established in Section 105 of the Water Resources Development Act of 1986, Public Law 99-662;

*I haven't even
had a chance to review
this. ~~Stewart~~*
4/21/93

WHEREAS, the Government and the Local Sponsor have the legal authority and capability to perform as hereinafter set forth and intend to cooperate in the cost-sharing and financing of the Project in accordance with the terms of this Agreement.

NOW, THEREFORE, the Government and the Local Sponsor agree as follows:

ARTICLE I - DEFINITIONS AND GENERAL PROVISIONS

For purposes of this Agreement:

a. The term "Program" shall mean all Eurasian Watermilfoil research services including planning, engineering, design, relate control operations related to the implementation of the overall Federal program for aquatic plant research conducted under the overall guidance of the Waterways Experiment Station.

b. The Program includes specific Eurasian Watermilfoil research efforts (work units) to be done in cooperation with the Local Sponsor in Minnesota during Fiscal Years 1993, 1994, & 1995. These specific research efforts are termed the "Project" and shall be more specifically defined in work plans to be prepared for each of the Fiscal Years of the Project.

c. The term "Work Plan" shall mean the detailed annual plan of research services/operations which is developed by the Government and the Local Sponsor for the implementation of the Project.

d. The term "Government Representative" shall mean the District Engineer of the U.S. Army Engineer District, St. Paul, or his designee.

e. The term "period of implementation" shall begin with the signing of this Agreement by the Government, and shall conclude on the completion date set forth in the 1995 Work Plan (estimated completion date of September 25, 1995).

f. The term "total project costs" shall mean those costs incurred by the Local Sponsor and the Government directly related to the Project. Such costs shall include the costs of preparing the annual research Work Plans, actual research services/operations costs, and related supervision and administration costs.

ARTICLE II - OBLIGATIONS OF THE PARTIES

a. The Local Sponsor, subject to and using funds provided by the Local Sponsor and appropriated by the Congress of the United States, shall expeditiously implement the Project.

b. As further described in Article III hereof, the Local Sponsor shall provide, at no cost to the Project, all lands, easements, and rights-of-way necessary for implementation of the Project.

c. The Government's participation in the Project will consist of inkind service and cash and will be limited to available Federal funds. The Federal cash contributions to this Project shall not exceed \$200,000 and the extent of Federal inkind services will be fully defined in each of the annual Work Plans for the Project; however, the total extent of Federal inkind services plus Federal cash contributions shall not exceed a total of \$400,000. As further specified in Article V, the Government and the State shall each provide 50 percent of the total project cost (The Local Sponsor shall be responsible for matching all Federal costs incurred as part of the agreed upon Project work and the total Federal costs include cash plus inkind service contributions). However, any costs in excess of the maximum Federal contribution of \$400,000 will be the responsibility of the Local Sponsor.

d. It is contemplated that the Local Sponsor will perform the work with its own forces and with research service contractors. At the request of the Local Sponsor, the Government may make progress payments to the Local Sponsor as the work progresses. Such progress payments shall be based on allowable costs incurred by the Local Sponsor in accomplishing its obligations under this Agreement. Allowable costs for progress payments purposes be determined initially by the Government Representatives and are subject to adjustment after audit. Allowable costs are those that are reasonable, allocable to total project costs, and allowable under O.M.B. Circular A-87. The Local Sponsor shall not include in its request for partial payment any costs that it is disputing with any contractor or supplier prior to resolution of that dispute. At the end of each Fiscal Year an audit of the total costs will be conducted by the Government and an adjustment will be made by the parties to this Agreement to insure that the cost sharing for the that Fiscal Year is in accordance with Article V of this Agreement.

e. With the approval of the Government Representative, the Local Sponsor may perform any or all of the work by contract. The Local Sponsor shall obtain competitive bids or proposals for all work to be performed by contract. Any contract shall be

subject to review and approval by the Government Representative prior to award. The Local Sponsor shall submit to the Government Representative a detailed estimate of costs, a tabulation of all bids/proposals received, and a request for approval of award of a contract and shall furnish such copies of the contract as may be required by the Government to the Government Representative. Any amendments or modifications to such contracts shall be submitted to the Government Representative for approval.

f. The Local Sponsor shall provide continuous inspection of the work in progress, and shall submit quarterly progress report showing the work completed.

g. The Local Sponsor shall provide necessary facilities and access to the Project for inspection of the Project by the Government Representative.

h. The Local Sponsor shall keep accurate cost accounts and records, and these shall be available at all times for inspection and audit by the Government.

i. No Federal funds may be used to meet the Local Sponsor's share of total project costs under this Agreement unless the expenditure of such funds is expressly authorized by statute as verified in writing by the granting Agency.

ARTICLE III - LANDS, FACILITIES, AND PUBLIC LAW 91-646 RELOCATION ASSISTANCE

a. The Local Sponsor shall provide all lands, easements, and rights-of-way necessary for the Project.

b. As applicable, the Local Sponsor shall comply with the applicable provisions of the Uniform Relocations Assistance and Real Property Acquisition Policies Act of 1970, Public Law 91-646, as amended by Title IV of the Surface Transportation and Uniform Relocations Assistance Act of 1987, Public Law 100-17, and the Uniform Regulations contained in 49 CFR Part 24, in acquiring lands, easements, and rights-of-way for the Project and inform all affected persons of applicable benefits, policies, and procedures in connection with said Act.

ARTICLE IV - PROJECT MANAGEMENT

a. To provide for consistent and effective communication, the Local Sponsor and the Government shall, upon

implementation of the Project, appoint representatives to coordinate on all facets of Project development, including Project design, operations, scheduling, plans, specifications, real estate requirements, awards of contracts, contract modifications and change orders, contract costs, claims and other related matters.

b. These representatives shall generally oversee the Project operation and shall be identified as the Project Coordination Team. They shall meet regularly during the period of operation and will be informed of all changes in total project costs. The Project Coordination Team shall make recommendations to the Government Representative, including suggestions to avoid potential sources of dispute.

c. The Government Representative shall, in good faith, consider the recommendations of the Project Coordination Team on all matters related to implementation and operation of the Project. The Government Representative has complete discretion to accept, reject, or modify the recommendations of such representatives.

ARTICLE V - METHOD OF PAYMENT

a. The Local Sponsor shall implement the Eurasian Watermilfoil research activities in accordance with the approved Work Plans, and the Government shall, during the period of implementation, reimburse the Local Sponsor and amount necessary to insure the Government's share equals 50 percent of the total project cost (total project costs estimated to be \$800,000 with the non-Federal cost estimated to be a maximum of \$400,000).

b. The Government shall pay its share of the total Project costs in proportion to the rate of Project expenditures by the Local Sponsor. After initiation of the Project, the Government will make quarterly payments to the Local Sponsor upon receipt of properly executed and duly certified invoices covering services satisfactorily performed during the preceding quarter, as set forth in the Work Plan. All payments by the Government shall take into account any project costs incurred by the Government for that quarter. All work for which payment is requested by the Local Sponsor must have already been performed in accordance with this Agreement.

c. Upon completion of the Project and resolution of all relevant contract claims and appeals, the Local Sponsor shall compute the total Project costs and tender to the Government a final accounting of the total Project costs.

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1. In the event the total contributions by the Local Sponsor is less than the Local Sponsor's required share of the total Project costs, the Local Sponsor shall, no later than 90 calendar days after receipt of written notice, make a cash payment to the Government of whatever sum is required to meet the Local Sponsor's required share of the total project costs.

2. In the event the total contribution by the Local Sponsor is more than the Local Sponsor's required share of the total project costs, the Government shall, no later than 90 calendar days after accounting is complete, subject to the availability of appropriations for that purpose, subject to the \$400,000 total Federal funding limitation set out in Article IIc, return said excess to the Local Sponsor.

ARTICLE VI - DISPUTES

Before any party to this Agreement may bring suit in any court concerning an issue relating to this Agreement, such party must first seek in good faith to resolve the issue through negotiations or other forms of nonbinding alternative dispute resolution mutually acceptable to the parties.

ARTICLE VII - RELEASE OF CLAIMS

The Local Sponsor shall hold and save the Government free from all damages arising from the implementation, operation and maintenance of the Project, except for damages due to the fault or negligence of the Government.

ARTICLE VIII - MAINTENANCE OF RECORDS

Within 60 days of the date of this Agreement, the Government shall provide procedures to the Local Sponsor for keeping books, records, documents, and other evidence pertaining to costs and expenses incurred to this Agreement to the extent and in such detail as will properly reflect total project costs. The Government and the Local Sponsor shall maintain such books, records, documents, and other evidence in accordance with these procedures and for a minimum of three years after completion of implementation of the Project and resolution of all relevant claims arising therefrom, and shall make available at their offices at reasonable times, such books, records, documents, and

other evidence for inspection and audit by authorized representatives of the parties to this Agreement.

ARTICLE IX - GOVERNMENT AUDIT

The Government shall conduct and audit, when appropriate, of the Local Sponsor's records for the Project to ascertain the allowability, reasonableness, and allocability of the Local Sponsor's costs for inclusion as credit against the Local Sponsor's share of total project costs.

ARTICLE X - FEDERAL AND STATE LAWS

In the exercise of the Local Sponsor's rights and obligations hereunder, the Local Sponsor agrees to comply with all applicable Federal and state laws and regulations, including section 601 of Title VI of the Civil Rights Act of 1964, Public Law 88-352, and Department of Defense Directive 5500.II issued pursuant thereto and published in Part 300 of Title 32, Code of Federal Regulations, as well as Army Regulations 600-7, entitled "Nondiscrimination on the Basis of Handicap in Programs and Activities Assisted of Conducted by the Department of the Army."

ARTICLE XI - RELATIONSHIP OF PARTIES

The Government and Local Sponsor act in an independent capacity in the performance of their respective functions under this Agreement, and neither is to be considered the officer, agent, or employee of the other.

ARTICLE XII - OFFICIALS NOT TO BENEFIT

No member of, or delegate to the Congress, or Resident commissioner, shall be admitted to any share or part of this Agreement, or to any benefit that may arise therefrom.

ARTICLE XIII - COVENANT AGAINST CONTINGENT FEES

The Local Sponsor warrants that no person or selling agency has been employed or retained to solicit or secure this Agreement upon agreement or understanding for a commission, percentage,

brokerage, or contingency fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Local Sponsor for the purpose of securing business. For breach or violation of this warranty, the Government shall have the right to annul this Agreement without liability, or, in Government's discretion, to add to the Agreement or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

ARTICLE XIV - TERMINATION OR SUSPENSION

a. If at any time the Local Sponsor fails to make the payments required under this Agreement, the Assistant Secretary of the Army (Civil Works) shall terminate or suspend work on the Project until the Local Sponsor is no longer in arrears.

b. If the Local Sponsor fails to receive appropriations in amounts sufficient to meet Project expenditures for the current year, the Local Sponsor shall so notify the Government. After 60 calendar days either party may elect without penalty to terminate this Agreement pursuant to this Article or to defer future performance hereunder, however, deferral of future performance under this Agreement shall not affect existing obligations or relieve the parties of liability for any obligation previously incurred. In the event that either party elects to terminate this Agreement pursuant to this Article, both parties shall conclude their activities relating to the Project and proceed to a final accounting in accordance with Article V of this Agreement. In the event that either party elects to defer future performance under this Agreement pursuant to this Article, such deferral shall remain in effect until such time as the Local Sponsor receives sufficient appropriations or until either the Government or the Local Sponsor elects to terminate this Agreement.

ARTICLE XV - NOTICES

a. All notices, request, demands, and other communications required or permitted to be given under this Agreement shall be deemed to have been duly given if in writing and delivered personally, given by prepaid telegram, or mailed by first-class (postage-prepaid), registered, or certified mail, as follows:

If to the Local Sponsor:

— Program Manager, Ecological Services
Minnesota Department of Natural Resources
Box 25, 500 Lafayette Road
St. Paul, Minnesota 55155-4025

If to the Government:

District Engineer
St. Paul District, U.S. Army Corps of Engineers
Attention: CENCS-PD-WR
180 Kellogg Boulevard East, Room 1421
St. Paul, Minnesota 55101-1479

b. A party may change the address to which such communications are to be directed by giving written notice to the other party in the summer provided in this Article.

c. Any notice, request, demand, or other communication made pursuant to this Article shall be deemed to have been received by the addressee at such time as it is personally delivered or seven calendar days after it is mailed, as the case may be.

ARTICLE XVI - CONFIDENTIALITY

To the extent permitted by the law governing each party, the parties agree to maintain the confidentiality of exchanged information when requested to do so by the providing party.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement, which shall become effective upon the date it is signed by the Government.

THE DEPARTMENT OF THE ARMY

STATE OF MINNESOTA

BY: _____

BY: _____

Commissioner, MDNR

DATE: _____

DATE: _____

CERTIFICATE OF AUTHORITY

I, _____, do hereby certify that I am the principal legal officer of the MINNESOTA DEPARTMENT OF NATURAL RESOURCES, that the MINNESOTA DEPARTMENT OF NATURAL RESOURCES is a legally constituted public body with full authority and legal capability to perform the terms of the Agreement between the DEPARTMENT OF THE ARMY and the MINNESOTA DEPARTMENT OF NATURAL RESOURCES in connection with the Eurasian Watermilfoil cooperative research to be conducted in Minnesota, and pay damages, if necessary, in the event of the failure to perform, in accordance with Section 221 of Public Law 91-611, and that the persons who have executed the contract on behalf of the MINNESOTA DEPARTMENT OF NATURAL RESOURCES have acted within their statutory authority.

IN WITNESS WHEREOF, I have made and executed this Certificate this _____ day of _____, 1993.

NAME

TITLE

**COOPERATIVE EURASIAN WATERMILFOIL RESEARCH IN MINNESOTA
CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

MINNESOTA DEPARTMENT OF NATURAL RESOURCES

BY: _____

RODNEY SANDO
Commissioner
Minnesota Department of Natural Resources





- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Biocriteria Survey on the Red River
 Federal Catalog Number:

APID 31400:97-30

Type of Grant: New Continuation Other If Other, Please Explain.

Environmental Protection Agency funds passed through the MN Pollution Control Agency to DNR.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: Summer 1993 End Date: Summer 1993
 Funding Amount: \$ 10,000 Positions: 1 (will absorb within current DNR FIE CAP)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Application was at discretion of DNR.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. Primary purpose is to collect fish data from select sampling stations to establish indices of biotic integrity (i.e. Biocriteria) for the Red River watershed
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This project will expand a project currently coordinated by the PCA/DNR to establish indices of biotic integrity on the Red River.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required to my knowledge _____.

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

A short term commitment for the summer only.

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 42.7 %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? New Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

MN Statut 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

Alison A. Young
Accounting Coordinator's Signature

[Signature]
Executive Budget Officer's Signature

4-22-93

Date

4/23/93

Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: USGS Water Quality Assessment
 Federal Catalog Number:
 Type of Grant: New ^{APID} X Continuation 31400:96-30 Other If Other, Please Explain.

This request is in the following state:

Pre-application X Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes X No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: Summer 1993 End Date: Summer 1993
 Funding Amount: \$ 2000 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Application was largely at our discretion,

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The funds are being awarded in compensation for the Department providing USGS with an electroshocking boat, an operator and a fish taxidermist to assist in their water quality assessment

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This program will be coordinated with the Biocultural Survey also being conducted on the Minnesota in the summer of 1993

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required X to my knowledge

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

A short term commitment for the summer only

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

No salaries are funded by this money.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____%

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

MN Statutes 88.023

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

Accounting Coordinator's Signature

Executive Budget Officer's Signature

4-22-93

Date

4/23/93

Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Circle of Flight (Manweiler Project)
 Federal Catalog Number: PL 93-638
 APID 31400: 95-30

Type of Grant: New Continuation Other If Other, Please Explain.

Circle of Flight-Federal funds administered by US Fish & Wildlife Service through Red Lake Indian Reservation.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 8/1/93 End Date: 8/1/94
 Funding Amount: \$ 30,000 Positions: none

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Funds only to be used for engineering and contract costs for building a wetland impoundment (Manweiler pool) in the Red Lake Wildlife Management Area.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

Create a wetland impoundment, includes engineering cost and contract obligations. Pool includes Red Lake Reservation lands.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

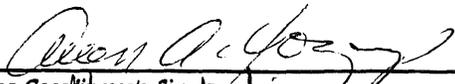
A cooperative project between the Red Lake Band and the DNR to develop waterfowl habitat similar to other programs to develop waterfowl habitat.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

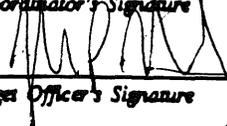
1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 The agreement requires 50/50 cost-share for major repair, DNR maintenance for routine annual work.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 No salaries included.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New 2 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature



 Executive Budget Officer's Signature

4-22-93

 Date

4/23/93

 Date



- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this for Items where space is inadequate.

Department Name: Natural Resources (Planning)
 Title of Project/Proposal: Environment Education for SE Asian Minnesotans
 Federal Catalog Number:

APID: 31080 1130

Type of Grant: New Continuation Other If Other, Please Explain.

Federal Funds passed through the National Fish and Wildlife Foundation

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: October 1993 End Date: October 1994
 Funding Amount: \$50,000 Positions: 1= Community Liaison
(will absorb from current FTE CAP)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Application was largely at our discretion

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

Provide education and information on natural resources opportunities and DNR rules, regulations and programs to southeast Asian citizens settled in Minnesota

- Describe how the proposed program relates to, or differs from, existing state programs, both within you agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

Expanded services of existing southeast Asian Outreach Project. This expansion will permit services to other southeast Asian subgroups e.g. Cambodians, Laotians.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

				unknown
1st year	\$ <u>12,500</u>	Percentage of total grant	<u>25</u> %	Hard <u> </u> % Soft <u> </u> %
2nd year	\$ <u> </u>	Percentage of total grant	<u> </u> %	Hard <u> </u> % Soft <u> </u> %
3rd year	\$ <u> </u>	Percentage of total grant	<u> </u> %	Hard <u> </u> % Soft <u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

No salaries paid from federal funds.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 1 New 2 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?

Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?

Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

MN Statutes 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

Allen A. Young

Accounting Coordinator's Signature

[Signature]

Executive Budget Officer's Signature

4-22-93

Date

4/23/93

Date



- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this for Items where space is inadequate.

Department Name: Natural Resources (Planning)
Title of Project/Proposal: Environment Education for Southeast Asian Minnesotans
Federal Catalog Number:

Type of Grant: APID: 31080 1230
New Continuation Other If Other, Please Explain.
Funded by the Environmental Protection Agency (EPA)

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: January 1994 End Date: December 1994
Funding Amount: \$100,000 Positions: 2 (Planner & Research Assistant)
(will absorb from current FTE CAP)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Applied to RFP in the Federal Register

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

Provide environment education to Southeast Asians

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

This will be an expansion/extension of program funded by LCMR to serve southeast Asians-same target population-same programmer.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 46.1%

c. If rate charged is different than agencies approved rate, indicate reason. Provisional - Overall DNR rate for FY 93
Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 2 New 1 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

Minnesota Statutes 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No

Allen A. Goyne
Accounting Coordinator's Signature

[Signature]
Executive Budget Officer's Signature

4-22-93
Date

4/23/93
Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Endangered Animal Research and Survey (Non-Section 6)
 Federal Catalog Number: APID 31400 74 30

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 5/1/93 End Date: 6/30/94
 Funding Amount: \$ 60,245 Positions: 0
 Increase \$5,245 FY 94, \$30000 FY 95)

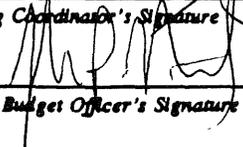
- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 The DNR was given discretion in project focus, scope, staffing, and scheduling.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. This grant funds research and surveys focusing on the black tern, common tern, Karner blue butterfly, dakota skipper, powesheik skipper, and prairie leafhopper. All activities will result in final reports.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. Responsibility for research and surveys related to endangered animals lies solely with the DNR's Nongame Wildlife Program. This funding helps the Program meet its goals of conserving Minnesota's biological diversity.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 Deliver three copies of all final reports to USFWS by 6/30/94
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 No salaries will be funded by this money
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No N/A
8. How many positions are needed to carry out this program? 0 New 0 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No N/A
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No N/A
- b. Is continuation of positions a condition of receiving the federal grant? Yes No N/A
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No N/A
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MN Stat 88.063
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature


 Executive Budget Officer's Signature

4-22-93
 Date

4/23/93
 Date



- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this for Items where space is inadequate.

Department Name: Natural Resources
 Title of Project/Proposal: Wetlands Challenge Grant
 Federal Catalog Number:

APID: 31400 8230

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

Increase

This award/proposal: Start Date: April 3, 1993 End Date: March 1995
 Funding Amount: \$269,531 Positions: 1
\$114,395-(FY4); \$155,136-(FY5) (will absorb from current FTE CA

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 DNR will act as recipient of proposed grant and will distribute portions to other state agencies at USEPA request for one responsible agency to improve the protection and management of the state's wetland resources.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

see attachment

- Describe how the proposed program relates to, or differs from, existing state programs, both within you agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

see attachment

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 42.7%

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 1 New Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

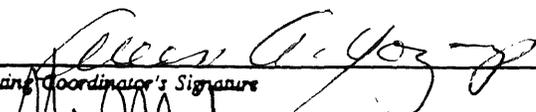
b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

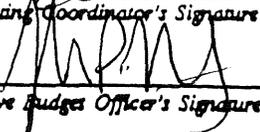
Minnesota Statutes 88.063

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature



Executive Budget Officer's Signature

4-22-93

Date

4/23/93

Date

2. The main purpose of the proposed grant is to improve the protection and management of the state's wetland resources. The grant will fund five projects designed to further this overall goal. They are as follows:
 - a. Statewide Comprehensive Wetlands Conservation Plan - Development of this plan, which will be coordinated by the DNR, will provide overall guidance and set goals for the management and protection of the state's wetlands. The main product will be a written management plan.
 - b. Wetland Water Quality Planning - The Pollution Control Agency will continue the development and promulgation of water quality standards for wetlands. These standards will be used in the regulation of discharges to wetlands.
 - c. Wetland Technical Training - The Board of Water Soil Resources will use this part of the grant to establish a training program for local and state wetland officials in wetland delineation and evaluation, impact assessment, and wetland mitigation.
 - d. Wetland Geographic Information System - The Board of Water and Soil Resources will develop a computer program that will allow local units of government to more easily access the state-supported GIS that contains wetland and other land use information. This product will facilitate local governments in their administration of wetland regulations.
 - e. Pilot Studies for Statewide Inventory of Drained Wetlands and Drainage Ditches - Pilot projects will be conducted to identify and map drained wetlands and drainage ditches in selected geographic areas. The final product will be maps (which may also be incorporated into the computerized Geographic Information System) that will assist in identifying sites for wetland restoration and mitigation.
3. The DNR is acting as the recipient of the proposed grant with portions of the grant being distributed to other state agencies, as indicated above. This is being done because the U.S. Environmental Protection Agency, the grantor, has requested that there be only one state agency responsible for the grant. Funds going to other agencies are to be coordinated through that main contact. This helps ensure a high level of coordination between the activities funded through this grant and other existing wetland programs. Overall, the activities funded through this grant will complement and facilitate existing state wetland programs.

APPLICATION FOR FEDERAL ASSISTANCE

		2 DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3 DATE RECEIVED BY STATE	State Application Identifier
		4 DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5 APPLICANT INFORMATION			
Legal Name Mn Department of Natural Resources		Organizational Unit Div. Fish & Wildlife - Ecological Services	
Address (give city, county, state, and zip code) 500 Lafayette Rd, Box 25 St. Paul, MN 55155-4025		Name and telephone number of the person to be contacted on matters involving this application (give area code) Douglas Norris 612-296-0779	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 41 - 6007162		7. TYPE OF APPLICANT: (enter appropriate letter in box) A A State B County C Municipal D Township E Interstate F Intermunicipal G Special District H Independent School Dist I State Controlled Institution of Higher Learning J Private University K Indian Tribe L Individual M Profit Organization N Other (Specify) _____	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A Increase Award B Decrease Award C Increase Duration D Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY: Environmental Protection Agency Region V	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 6 6 - 4 6 1 TITLE: Wetlands Protection - State Development Grants		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Mn comprehensive Wetlands Conservation Plan Wetland Water Quality Planning Wetland Delineation Training Advanced wetland Identification Systems/Drained Wetland and Ditch Inventory	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.)			
13. PROPOSED PROJECT: Start Date: 4/93 Ending Date: 3/95		14. CONGRESSIONAL DISTRICTS OF: a Applicant: ALL b Project: ALL	
15. ESTIMATED FUNDING: a Federal \$ 269,531.00 b Applicant /State \$ 194,813.00 c State \$.00 d Local \$.00 e Other \$.00 f Program Income \$.00 g TOTAL \$ 464,344.00		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a YES THIS PREAPPLICATION APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b NO <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E O 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a Typed Name of Authorized Representative Rodney W. Sando		b Title Commissioner	c Telephone number (612) 296-2549
d Signature of Authorized Representative		e Date Signed	

BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Comprehensive Conservation Plan	66-461	\$	\$	\$ 69,100	\$ 86,730	\$ 155,830
2. Wetlands Water Quality Stds.	66-461			65,272	21,757	87,029
3. Wetlands Delin. Training	66-461			20,260	13,000	33,260
4. Advance ID System	66-461			28,000	44,360	72,360
Drained Inventory	66-461			86,898	28,966	115,864
5. TOTALS		\$	\$	\$ 269,530	\$ 194,813	\$ 464,343

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY			Adv. Id.	Drained	Total (5)
	(1) Comp Cons Plan	(2) Wetl. Water Qual.	(3) Wetland Trng.	(4) Systems	WL Inv.	
a. Personnel	\$ 73,500	\$ 54,530	\$ 9,840	\$ 2,000	62,500	\$ 202,370
b. Fringe Benefits	13,230	10,906	2,160	360	6,650	33,306
c. Travel	12,700	2,600	8,200	1,000	2,000	26,500
d. Equipment	6,000	0	5,260	5,000	7,000	23,260
e. Supplies	400	410	0	500	400	1,710
f. Contractual	20,000	0	7,800	62,000	0	89,800
g. Construction	0	0	0	0	0	0
h. Other	30,000	0	0	1,500	24,000	55,500
i. Total Direct Charges (sum of 6a - 6h)	155,830	68,446	33,260	72,360	102,550	432,446
j. Indirect Charges	N/A	18,584	0	N/A	13,314	31,898
k. TOTALS (sum of 6i and 6j)	\$ 155,830	\$ 87,030	\$ 33,260	\$ 72,360	115,864	\$ 464,344
7 Program Income	\$ 0	\$ 0	\$ 0	\$ 0		\$ 0

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. 104 (b) All Activities	\$ 194,813	\$	\$	\$ 194,813
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$ 194,813	\$	\$	\$ 194,813

SECTION D - FORECASTED CASH NEEDS

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$ 114,395	\$ 53,543	\$ 20,284	\$ 20,283	\$ 20,284
14. NonFederal	120,125	71,281	16,281	16,282	16,281
15. TOTAL (sum of lines 13 and 14)	\$ 234,520	\$ 124,825	\$ 36,565	\$ 36,565	\$ 36,565

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FY 94/95	FUTURE FUNDING PERIODS (Years)		
	(b) First	(c) Second	(d) Third	(e) Fourth
16. 104 (b) All Activities	\$ 155,136	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16-19)	\$ 155,136	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges: See next page
23. Remarks See next page	



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Minnesota Zoological Garden
 Title of Project/Proposal: Asian Wild Cattle
 Federal Catalog Number:

Type of Grant: New X Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application _____ Application X Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 _____ Yes X No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: September 1993 End Date: September 1995
 Funding Amount: \$ 55,395.00 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Application to Agency for International Development was restricted as to the developing countries which could be assisted. The Zoo had latitude in staffing.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The purpose of this grant is to build a facility to develop a captive breeding program for a wild cattle species of S.E. Asia and to train Indonesians to manage this captive population to enhance domestic cattle productivity. For more specific objectives see attached executive summary.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. Relates to the continuing conservation mission of the MN. Zoo to strengthen the bond between people and the living earth by empowering Indonesians to better manage the genetics of their domestic an wild cattle for increased productivity. Existing Zoo staff in conjunction with individuals from around the country will administer the program.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>13,086</u>	Percentage of total grant <u>35</u> %	Hard <u>0</u> %	Soft <u>100</u> %
2nd year \$ <u>13,402</u>	Percentage of total grant <u>73</u> %	Hard <u>0</u> %	Soft <u>100</u> %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required _____

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 2 year grant objectives would require committment of staff time for travel, research, training of Indonesions as outlined in the grant.
 No long term committment.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 18 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New .15 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No N/A
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No N/A
- b. Is continuation of positions a condition of receiving the federal grant? Yes No N/A
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No N/A
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 Chapter 85A
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

Jim Higgins
 Accounting Coordinator's Signature

3-24-93
 Date

Lee B. Melchior
 Executive Budget Officer's Signature

4-7-93
 Date

MINNESOTA ZOO
ASIAN WILD CATTLE
BUDGET

	GRANT BUDGET YEAR 1 -----	GRANT BUDGET YEAR 2 -----
DRUGS	\$ 1,250	\$ 1,500
MOLECULAR DNA ANALYSIS	\$ 12,000	
TRAVEL	\$ 16,790	\$ 12,780
MISC: FAX, PHONE, POSTAGE	\$ 1,350	\$ 1,275
INDIRECT:ADMIN OVERHEAD	\$ 5,650	\$ 2,800
	-----	-----
	\$ 37,040	\$ 18,355
	=====	=====
	ZOO MATCH YEAR 1 -----	ZOO MATCH YEAR 2 -----
SALARIES	\$ 8,875	\$ 9,320
MISC: FAX, PHONE, POSTAGE	\$ 750	\$ 500
INDIRECT:ADMIN OVERHEAD	\$ 3,461	\$ 3,582
	-----	-----
	\$ 13,086	\$ 13,402
	=====	=====
PERCENTAGE OF TOTAL GRANT	35%	73%

III. EXECUTIVE SUMMARY

SCIENTIFIC SUMMARY

Wild cattle species of Southeast Asia are threatened or endangered across their entire range, and are at risk of extinction if conservation action plans are not put in place. This would be a tragedy because the full value of these species is only generally known and practically unused. Wild cattle are renowned for their development of high levels of disease resistance and ability to thrive on low quality resources in comparison to foreign breeds. These indigenous species have excellent survival qualities that provide more efficient use of natural resources. This proposal aims to: 1) use the application of techniques of quantitative genetics to characterize, or define, the genetic variability of a wild population of Javanese banteng, *Bos javanicus javanicus* that is reputed to represent pure or "wild" type banteng; 2) use the principles of conservation biology to develop a captive breeding program of banteng in Indonesia to ensure a self-sustaining population of this taxon; and 3) lay the groundwork to initiate programs to enhance domestic cattle productivity. The experimental plan has the following specific objectives:

1. Establish and compare genetic variability of the wild population of banteng in Ujung Kulon National Park, Java, Indonesia, with that of other subpopulations of banteng elsewhere in Indonesia.
2. Establish the genetic characteristics of the "wild" banteng population in Ujung Kulon by comparison of individual banteng variability across the entire national park.
3. Train Indonesian collaborator in modern technology used in molecular biology at US laboratory.
4. Design and construct a captive breeding facility to secure sufficient genetic variability of the "wild" banteng population in the captive population.
5. Develop a long-term management program to ensure a self-sustaining captive banteng population.
6. Train Indonesian collaborators in the long-term management of this captive banteng population.
7. Establish the basis to allow future assessment and exploitation of this captive banteng population as a genetic resource for enhancing domestic cattle productivity in Southeast Asia.

RELEVANCE TO DEVELOPMENT

Wild banteng are the most cow-like of all the wild bovines and are the parent stock of the 1.5 million domesticated banteng in Indonesia. Wild banteng have four known significant attributes: 1) the genetic endowment to thrive in hot, moist tropical climates; 2) the ability to thrive on low-quality feeds unpalatable to domestic cattle; 3) the ability to tolerate a number of internal parasites; and 4) a high tolerance to ticks and tick-borne disease (National Research Council 1983). It is paradoxical that this species, which is also adaptable for draft power and high meat production, tolerant of the proximity of humans, and docile when captive-reared, has not been fully exploited as a valuable resource. What needs to be considered is the use of domestic x wild cattle crosses. Such hybrids have been shown in prototype studies to have an exciting possibility to be an economical and environmentally efficient beef market animal. This results in three main benefits: 1) economical gains and a better food product; 2) a reduction in primary forest destruction for conversion to feeding areas; and 3) a continued incentive to preserve banteng as a wild cattle species. Further, banteng are pan-Asian, once found throughout Myanmar, Thailand, Indochina, Malaysia and parts of Indonesia; therefore, beneficial developments can be disseminated to neighbors where remnant populations remain through cooperative programs among the respective Departments of Forestry and Nature Conservation.

INNOVATIVE ASPECTS

Almost 170 years ago, Sir Stanford Raffles, founder of Singapore, noted that in Java, "the degenerate domestic cows are sometimes driven into the forest to couple with the wild banteng, for the sake of improving that breed". Here we apply the principles of modern genetic theory to quantitatively and

qualitatively develop the process of maintaining a self-sustaining reservoir of captive managed banteng for use in improving current domesticated populations of banteng and for interbreeding with, and improving, domestic populations of cattle (Alikora & Palete 1981; Appleton et al 1976; Arka et al 1978; Arman 1979; Brooke 1987; Darmadja & Sutedja 1975; Devendra et al 1973; Lana & Nitis 1977; Mashur 1985a, 1985b; Mathius & Nitis 1980; Moran 1979; Nitis & Oka 1977; Norton et al 1979; Omar 1981; Packard 1983; Rasjid & Barker 1979; Siregar & Suparjata 1975; Steklenev 1989; Steklenev & Elistratova 1982, 1986; Steklenev et al 1985; Subandriyo et al 1979; Thalib & Siregar 1986; Vietmeyer 1980). It is a significant departure in that the lessons learned from managing endangered species in captivity will be used for maintaining wild and captive populations of banteng and improving domestic populations of cattle.

The project will be divided into several sections:

1. The application of conservation and molecular biology to genetically survey and define the remaining variability in the wild Ujung Kulon banteng populations. This will set the parameters to establish a captive breeding program to preserve the taxon (Soulé et al 1986; Templeton 1989). It will also evaluate the degree of hybridization in the population and ensure the founding populations is comprised of "pure" founders (Davis & Read 1985).
2. The construction of a captive management facility large enough to meet long-term goals for retention of the genetic variability will be needed before the collection of founding animals can begin. The F₁ generation will be utilized to migrate animals between wild/preserve and captive populations. The founder stock will stay in the captive facilities.
3. An Indonesian collaborator from the Bogor Agriculture University will be trained in modern techniques used in molecular biology in the US (Washington University, St. Louis). This collaborator will also be responsible for the supervision of two Master-level Indonesian students that will be supported by this grant. Another Indonesian collaborator from PHPA will be trained in modern techniques for managing captive wild cattle at the St. Louis Zoo, where these facilities are already in place. This person and the two University students will be trained to operate and manage the *in situ* captive facility, with additional training in wild cattle management at Taman Safari Indonesia.

STRENGTHENING INNOVATIVE RESEARCH CAPACITY OF DEVELOPING COUNTRY INSTITUTIONS

Wild banteng in Ujung Kulon National Park are of concern because they may be in direct competition with Javan rhinos – 50-60 rhinos are left in the park and nowhere else. Thus, the Indonesian conservation authorities are highly motivated to develop alternate uses for banteng other than simple elimination. In addition, the IUCN/SSC is highly motivated to develop sustainable uses for national parks and their resources in developing countries (Hedges 1991). Thirdly, the wild banteng in the park may constitute a "pure genetic reservoir of this species." Taken altogether, the initiation of this proposal will create an opportunity for Indonesian biologists to expand upon the initial premises and foster further exploitation and preservation of this species biologically and agriculturally.

Training Program: Molecular Biology and Wild Cattle Animal Management

Immediately following the collection of tissue samples for analysis, an Indonesian molecular biologist (Dr. Supraptini) will visit the U.S. for eight weeks to train in modern molecular biology technology. Dr. Alan Templeton will provide the opportunity for Dr. Supraptini to learn modern molecular genetic analyses at his laboratory at Washington University (St. Louis). The PHPA Indonesian collaborator will spend three weeks at the St. Louis Zoo learning modern animal management techniques for wild cattle. Two Indonesian University students will be further trained at the new captive banteng facility and at Taman Safari Indonesia.

Captive Breeding Facility and Program

The development of an Indonesian captive breeding program for banteng will be accomplished through the acquisition of genetically pure "wild" type founder stock, the construction of an animal captive breeding facility, and the training of Indonesian personnel in captive management. The execution of this proposal will leave Indonesians with the skills and facilities to manage a self-sustaining captive banteng population which can be used as a genetic reservoir for augmenting free-ranging banteng populations and for hybridization with domestic cattle to increase productivity.



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: New Legumes for Sustainable Farming Systems in the Midwest
 Federal Catalog Number: 10.215

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: FY 1994 End Date: FY 1995
 Funding Amount: \$ 15,000.00 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

SEE ATTACHED

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

SEE ATTACHED

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

SEE ATTACHED

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>2,500.00</u>	Percentage of total grant <u>33</u> %	Hard <u> </u> %	Soft <u>33</u> %	<u>100</u> %
2nd year \$ <u>4,500.00</u>	Percentage of total grant <u>60</u> %	Hard <u> </u> %	Soft <u>60</u> %	<u>100</u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %	<u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?
No long term commitments made by acceptance of this grant.
Short term commitments are execution of proposed project objectives and final report preparation.

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

Federal regulations prohibit use of these funds to reimburse indirect costs.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____%

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

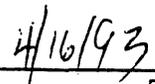
MS 4.07

14. Will the program involve a change in existing state rules? Yes No

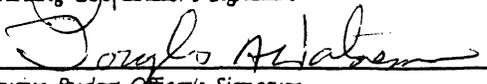
15. Will the program require new rules? Yes No



Accounting Coordinator's Signature



Date



Executive Budget Officer's Signature



Date

Department of Finance Policy Note

1. The proposed project was developed within the broad guidelines developed by the North Central Region Sustainable Agriculture Research and Education Program of USDA. Six general types of projects are eligible for funding: educational, demonstration, experimental component, exploratory component, integrated systems, and impact assessment. Projects must:

- a. Promote good stewardship of the nation's natural resources by providing site-specific and profitable low-input sustainable farming methods that will strengthen agricultural competitiveness; satisfy human food and fiber needs; maintain and enhance the quality of productivity of the soil; conserve soil, water, energy, natural resources, and fish and wildlife habitat; and maintain and improve the quality of surface and ground water;
- b. Enhance the quality of life for farmers and society as a whole, by increasing income and employment - especially profitable self-employment opportunities in agriculture and rural communities - and strengthening the family farm system of agriculture, a system characterized by small - and moderate-sized farms which are principally owner operated;
- c. Protect the health and safety of persons involved in the food and farm system by reducing, to the extent feasible and practicable, the use of toxic materials in agricultural production; and by optimizing the use of on-farm resources and integrating, where appropriate, biological cycles and controls;
- d. Promote crop, livestock, and enterprise diversification, and the well being of animals;

2. The goal of the proposed project is to promote and encourage the adoption of farming practices which conserve natural resources through the evaluation and promotion of annual medic based cropping systems as alternatives to conventional Midwest cropping systems. Annual medics will be used in cropping systems to smother weeds, supply nitrogen, reduce soil erosion, and to enhance yield and quality of companion crops and pastures.

The proposed projects includes a number of other participants:

University of Minnesota Department of Agronomy and Plant Genetics (Primary grantee)
Michael Feilds Agricultural Institute, East Troy, MI
Michigan State University, East Lansing, MI
Michigan Agricultural Stewardship Association, East Lansing, MI
Rodale Midwest On-Farm Research, Clarks Grove, MN
Sustainable Farming Association of Southeast Minnesota, Lewiston, MN

The activities which will take place include:

Methods:

a. The evaluation of the cropping system will be a participatory research/demonstration project. Producers will interact with personnel from nonprofit organizations, state government, and universities in evaluation of medic based cropping systems which fit their farm operations. All research will be on-farm. The medic based systems will be compared to conventional sustainable or conventional chemical dependent systems depending upon the producer. All research will evaluate use of annual medics, but because farmers designed the studies after consideration of their production practices, there is a diversity of research being conducted.

b. The educational component of the project will include field days which review and new technology and regional workshop/meetings during the fall and winter to present the new technology. Educational programs will be coordinated to promote interaction of all participants and to promote team building. Information collected will be used to develop decision case studies. Decision cases have been highly acclaimed as a teaching tool. The studies will be published and available nationwide to promote sustainable practices and will be used as part of the educational programs in each participating state.

Timetable:

Winter-Spring 1993	Final planning of field research by all participants
Spring-Summer-Fall 1993 & 1994	Conduct field research; data collection
Summer 1993 & 1994	Field days
Winter 1993-1994	Conferences and workshops for participants and non-participants
Summer 1993-Fall 1994	Development of case studies and publications

Projects are funded for a maximum of two years, with renewal dependent upon subsequent review of progress and prospectus for further contributions to the goals of sustainable agriculture. Besides documents produced for this purpose, a final report will be prepared. Decision case studies and other publications for nationwide distribution will also result from the program.

Matching funds for this project will be allocated from accounts, 237578 and 241653.

3. The goal of the Energy and Sustainable Agriculture Program (ESAP) is to demonstrate and promote alternative practices which are energy efficient, environmentally sound, profitable and which enhance the self-sufficiency of Minnesota farmers. The proposed project will accomplish research and educational objectives by a team effort involving producers, nonprofit sustainable agriculture organizations, state government, and university personnel. The farmer directed teams have generated ideas, designed protocol and developed the project. This is a unique, multi-state, team approach to research and education that may serve as a model for future problem solving activities in sustainable agriculture. The ESAP has several programs which complement the proposed project: the On-Farm Research/Demonstration Program, the Sustainable Agriculture Education Program, the Sustainable Agriculture Grant Program and the Sustainable Agriculture Loan Program. Farmers were initially recruited from participants in these programs. Field days, workshops and other educational activities will be coordinated through the Sustainable Agriculture Program's field days, the Adult Farm Management programs, extension and SWCD's.

Legislative Advisory Commission Request

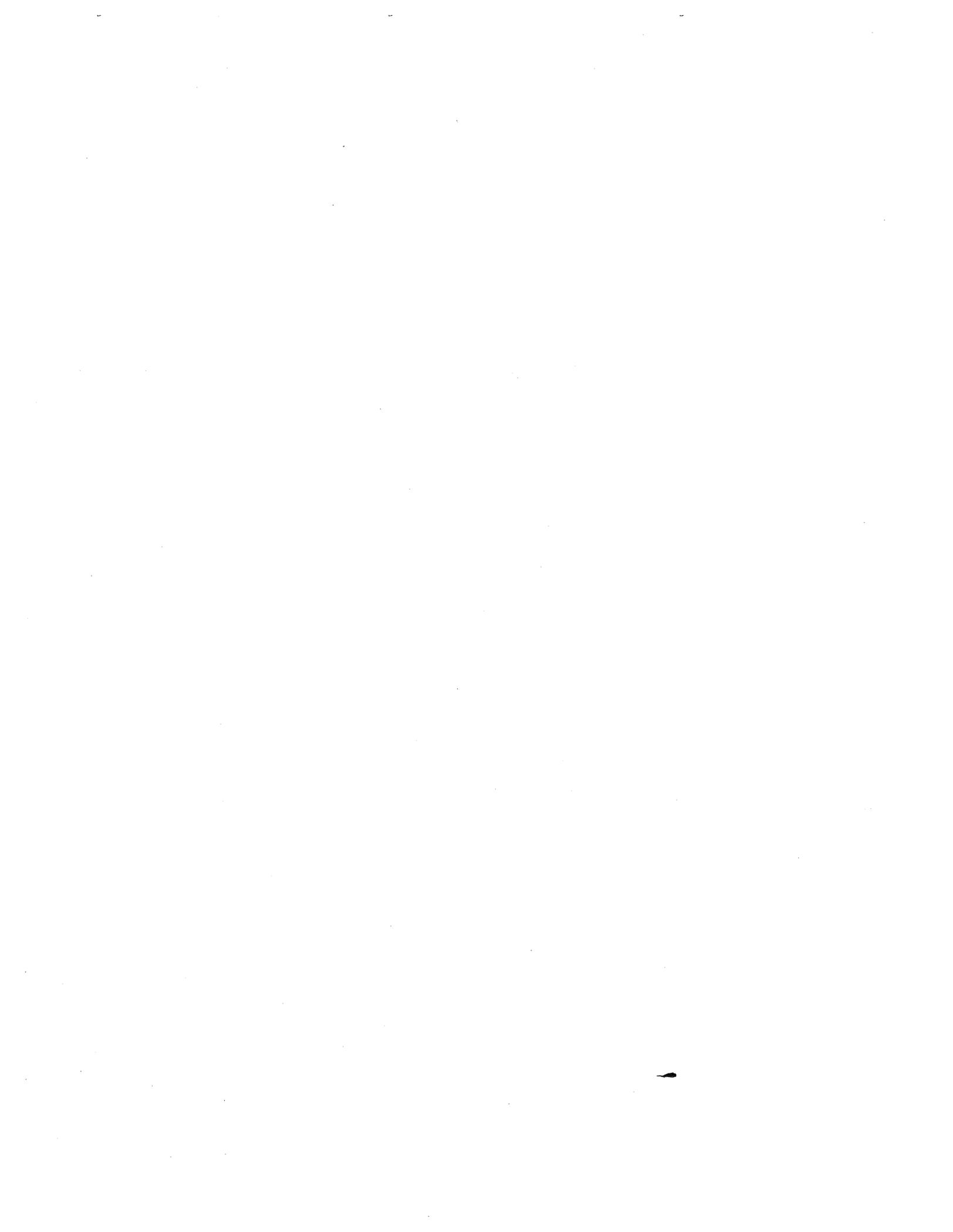
DEPARTMENT OF AGRICULTURE

Energy and Sustainable Agriculture Program

Summary of Request

Two Digit Object of Expenditure Detail

<u>Object Code</u>	<u>Description</u>	<u>Amount</u>				<u>Total</u>
		<u>Fiscal Yr 1994</u>		<u>Fiscal Yr 1995</u>		
		<u>MDA</u>	<u>USDA</u>	<u>MDA</u>	<u>USDA</u>	
01-03	Salaries	1,500	3,600	2,900	3,600	11,600
09	Fringe Benefits	500	1,400	1,100	1,400	4,400
20	Communications	500	500	500	500	2,000
21	Travel In-State	0	1,000	0	1,000	2,000
30	Supplies/Materials	0	1,000	0	1,000	2,000
	TOTAL	2,500	7,500	4,500	7,500	22,000





Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

AMENDED

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: FFY 1993 - Pesticide Grant
 Federal Catalog Number: 66:700

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.
 1994-95 Biennial Budget Page C-353

This award/proposal: Start Date: 10/01/92 End Date: 09/30/93
 Funding Amount: \$ 758,493.00 Positions: 12 (1)

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 MDA was given discretion in preparation of this grant application. Program outlines and commitments were developed by MDA staff.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

This is a continuation of grants that have been in effect since 1979. The MDA operates a wide range of pesticide regulatory programs. This grant provides federal dollars to assist with enforcement, certification, groundwater, endangered species and worker protection.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

This program, as detailed with US EPA under terms of the cooperative agreement, is exactly in line with state responsibilities as specified in the Minnesota Pesticide Control Law.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>395,557.00</u>	Percentage of total grant <u>34</u> %	Hard <input type="checkbox"/> %	Soft <u>100</u> %
2nd year \$ _____	Percentage of total grant _____ %	Hard <input type="checkbox"/> %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard <input type="checkbox"/> %	Soft _____ %

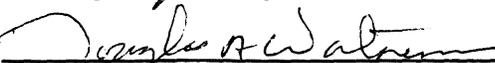
Check here if no match is required .

Note (1): 11 positions have previously been approved.

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 No short or long term committments.
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 22.77 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New 10 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 M.S. 18B.17, Subd. 1
 M.S. 4.07
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4/23/93
 Date


 Executive Budget Officer's Signature

4/25/93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: **Agriculture**
 Title of Project/Proposal: **Cooperative National Plant Pest Survey and Detection Program**
 Federal Catalog Number: **10-025**

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: October 1, 1993 End Date: September 30, 1995
 Funding Amount: \$ 266,700 Positions: None

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
The application will be prepared cooperatively with the USDA, Animal and Plant Health Inspection Service, Plant Protection and Quarantine Program. Our agency will have discretion in all three areas.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
Conduct surveys for the detection and reporting of exotic and endemic plant pests. Initiate biological control activities on crop pests including noxious weeds. Reports of accomplishments to be a part of the work plan.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
This program dove tails and compliments existing Department Programs and Cooperative Agricultural Pest Programs with several state agencies. A committee will oversee the expenditure of survey funds and work accomplishments.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>122,000</u>	Percentage of total grant <u>50</u> %	Hard <input type="checkbox"/> %	Soft <u>100</u> %
2nd year \$ <u>144,700</u>	Percentage of total grant <u>50</u> %	Hard <input type="checkbox"/> %	Soft <u>100</u> %
3rd year \$ _____	Percentage of total grant _____ %	Hard <input type="checkbox"/> %	Soft _____ %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?
**Short term commitments only to the extent of the work plans
and program. No long term commitments intended or granted.**

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 22.77 %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 0 New 0 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

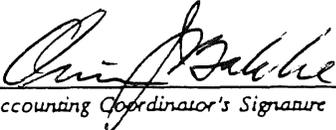
b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

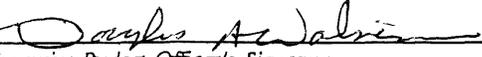
Chapter 17.03 subdivision 3.

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No


Accounting Coordinator's Signature

4/23/93
Date


Executive Budget Officer's Signature

4/25/93
Date

Department of Agriculture
Plant Protection Division

Biological Pest Control*
(Soft Matched with LCMR AID 238014)

Summary of Request

(In 2 Digit Object Codes)

Obj. Code	F.Y. 94		F.Y. 95	
	Federal	State	Federal	State
03	35.0	35.0	35.0	35.0
10	5.0	5.0	5.0	5.0
20	5.0	5.0	5.0	5.0
21	12.0	12.0	12.0	12.0
22	3.0	3.0	3.0	3.0
30	6.0	6.0	6.0	6.0
40	0	8.0	0	8.0
92	8.0	0	8.0	0
Total	<u>74.0</u>	<u>74.0</u>	<u>74.0</u>	<u>74.0</u>

*Note

	F.Y. 94	F.Y. 95
Cereal Leaf Beetle	8.0	8.0
European Corn Borer	12.0	12.0
Colorado Potato Beetle	15.0	15.0
Alfalfa Weevil	7.0	7.0
Gypsy Moth	12.0	12.0
Weed Control (Misc.)	20.0	20.0
	<u>74.0</u>	<u>74.0</u>

Department of Agriculture
Plant Protection Division

Cooperative Agricultural Pest Survey

Summary of Request

(In 2 Digit Object Codes)

<u>Obj. code</u>	F.Y. 94		F.Y. 95	
	Federal	State	Federal	State
03	23.0	25.0	23.0	25.0
10	3.0	5.0	3.0	5.0
20	3.0	3.0	3.0	5.0
21	3.5	2.0	3.5	2.0
22	1.0	1.5	1.0	1.5
30	1.2	1.5	1.2	1.5
92	<u>5.3</u>	<u>0</u>	<u>5.3</u>	<u>0</u>
Totals	40.0	40.0	40.0	40.0

Department of Agriculture
Plant Protection Division

Japanese Beetle Federal Grant

Summary of Request
(In 2 Digit Object Codes)

Obj. code	F.Y. 1994		F.Y. 1995	
	Federal	State	Federal	State
03	4.5	0	25.0	13.0
14	0	.1	0	.2
21	2.5	2.6	0	13.0
30	0	.3	0	.5
31	0	5.0	0	4.0
92	1.0	0	5.7	0
Total				
Allotments:	8.0	8.0	30.7	30.7
Total Fiscal				
Year:		8.0		30.7

*FY 94 request is only for May-June 1994
FY 95 request is July 1, 1995 thru June 30, 1996





Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: Recirculating Aquaculture Technologies
 Federal Catalog Number: 11-417

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 7-1-94 End Date: 6-30-96
 Funding Amount: \$ 250,000 Positions: 1.0

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 The agency is given considerable discretion in developing the application.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 Goals: Evaluate and further develop recirculating aquaculture technology employing "nerf balls" as water clean-up agents.
 Product: Report of evaluations.

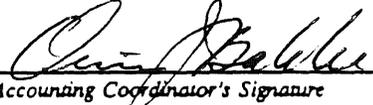
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. There is no similar program/project in the state right now except a LCMR recommended project to evaluate all recirculating aquaculture technologies on the market. This proposal will be building on the project and develop the technology further.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year. *LCMR funds will be used for hard match funds. Existing staff will be used for soft match.

1st year \$ <u>30,000</u>	Percentage of total grant <u>12</u> %	Hard <u>100</u> %	Soft <u> </u> %
2nd year \$ <u>30,000</u>	Percentage of total grant <u>12</u> %	Hard <u> </u> %	Soft <u>100</u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 None . _____
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 22.77 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 1.0 New _____ Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 M. S. 4.07
 M.S. 17.03
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4/23/95
 Date


 Executive Budget Officer's Signature

4/25/95
 Date

Minnesota Department of Agriculture

Name: Sea Grant

<u>Object Code</u>	<u>Description</u>	<u>State Match</u>		<u>Fed Exp.</u>	
		<u>FY 95</u>	<u>FY 96</u>	<u>FY 95</u>	<u>FY 96</u>
02	Salaries		\$30,000	\$40,000	\$40,000
10	Rents & Leases			5,000	5,000
14	Printing			1,000	1,000
16	Prof & Tech Svs	\$30,000		66,000	66,000
20	Communications			500	500
21	Travel In-State			1,000	1,000
22	Travel Out-State			2,000	2,000
90	Indirect Cost			9,000	9,000
	TOTAL	\$30,000	\$ 30,000	\$125,000	\$125,000





Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: Increasing the Scale and Efficiency of Direct Marketing
 Federal Catalog Number: 10-156

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 1-1-93 End Date: 12-31-94
 Funding Amount: \$ 65,000 Positions: 1.0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Complete discretion was provided.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 The goals of the project are to document the scale of direct marketing in Minnesota, identify key consumer demographics, and evaluate the effectiveness of marketing/advertising tools.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. The proposal complements the MDA's Ag Diversification efforts by assisting small-scale direct-marketers. It also complements Minnesota Extension Service efforts by providing more detailed information on the scale and nature of direct marketing.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

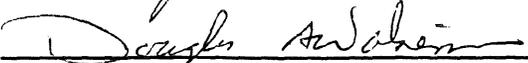
1/1/93-6/30/93	1st year	\$ <u>16,000</u>	Percentage of total grant	<u>50</u> %	Hard	<u> </u> %	Soft	<u>100</u> %
7/1/93-6/30/94	2nd year	\$ <u>32,000</u>	Percentage of total grant	<u>50</u> %	Hard	<u> </u> %	Soft	<u>100</u> %
7/1/94-12/31/94	3rd year	\$ <u>17,000</u>	Percentage of total grant	<u>50</u> %	Hard	<u> </u> %	Soft	<u>100</u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 None . —
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 22.77 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New 1.0 Existing
9. Will the award supply funding of present positions? _____ Partial Full _____ None
10. Will new positions be funded entirely by the grant award? Yes _____ No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? _____ Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? _____ Yes _____ No
13. Legal authority to apply for and accept grant.
 M.S. 4.07
 M.S. 17.03
14. Will the program involve a change in existing state rules? _____ Yes No
15. Will the program require new rules? _____ Yes No


 Accounting Coordinator's Signature

4/23/93
 Date


 Executive Budget Officer's Signature

4/25/93
 Date

Minnesota Department of Agriculture

Name: Increasing the Scale & Efficiency
of Direct Marketing

<u>Object Code Description</u>	<u>State Match</u>		<u>Fed Exp.</u>	
	<u>FY 94</u>	<u>FY 95</u>	<u>FY 94</u>	<u>FY 95</u>
02 Salaries	\$32,000	\$17,000	\$26,000	\$14,000
90 Indirect Cost			\$ 6,000	\$ 3,000
TOTAL	\$32,000	\$17,000	\$32,000	\$17,000

Minnesota Department of Agriculture

**Name: Increasing the Scale & Efficiency
of Direct Marketing**

	FY 93	FY 94	FY 95
TOTAL	\$16,000	\$32,000	\$17,000



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: Ag-Oil Based Inks
 Federal Catalog Number: 10-156

Type of Grant: New Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application Application _____ Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 ___ Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 9-1-93 End Date: 6-30-95
 Funding Amount: \$ 70,000 Positions: 0

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Complete discretion was provided to the agency in designing the application.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

This project would provide funding to test new mixtures of ag-oil based inks for use in the printing industry. Research results will include reports and product samples using the ink blends.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This federal grant program can only receive application from state departments of agriculture. State departments may contract with other organizations to conduct the project. If successful, the MDA will contract with the AURI to conduct the research. The mission of the AURI is to promote commercial new uses of agricultural products, such as agricultural oils.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$	<u>-0-</u>	Percentage of total grant	_____ %	Hard	_____ %	Soft	_____ %
2nd year \$	<u>-0-</u>	Percentage of total grant	_____ %	Hard	_____ %	Soft	_____ %
3rd year \$	_____	Percentage of total grant	_____ %	Hard	_____ %	Soft	_____ %

Check here if no match is required _____.

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

There are no commitments beyond the conduct of the research to be outlined in the proposal.

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

No state salaries will be included in the proposal; all funds awarded will be contracted to the AURI. AURI will conduct the work and hire any necessary staff.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 0 New 0 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

M.S. 4.07
M.S. 17.03

14. Will the program involve a change in existing state rules? Yes No

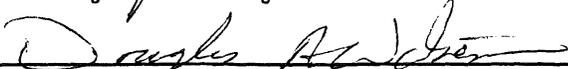
15. Will the program require new rules? Yes No



Accounting Coordinator's Signature

4/23/93

Date



Executive Budget Officer's Signature

4/25/93

Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: Organic Foods Inspector Training
 Federal Catalog Number: 10-156

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 7-1-93 End Date: 6-30-94
 Funding Amount: \$ 45,000 Positions: 0

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 Complete discretion was provided.
2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The goals of the project are to develop materials and conduct training sessions for persons inspecting and certifying organic farms and processing facilities. This component is necessary to implement the new USDA organic program. Results will include copies of materials and conference transcripts.
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 No other entity in state government conducts this type of work. This project will be supportive of the regulatory structure being developed by USDA.
4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

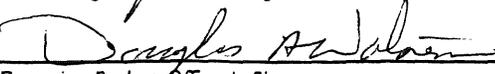
1st year \$	<u>-0-</u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
2nd year \$	<u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
3rd year \$	<u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 None
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
 All work will be done by the Independent Organic Inspectors Association.
 No state funds or positions are included.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 0 New 0 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 M.S. 4.07
 M.S. 17.03
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4/23/93
 Date


 Executive Budget Officer's Signature

4/25/93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Agriculture
 Title of Project/Proposal: Recirculating Aquaculture Technologies
 Federal Catalog Number: 10-212

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 7-1-94 End Date: 6-30-95
 Funding Amount: \$ 50,000 Positions: .5

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 The agency is allowed considerable discretion in developing the project application.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 Goals: Evaluate and further develop recirculating aquaculture technology employing "nerf balls" as water clean-up agents.
 Product: Report of evaluations.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. There is no similar program/project in the state right now except a LCMR recommended project to evaluate all recirculating aquaculture technologies on the market. This proposal will be building on the project and develop the technology further.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

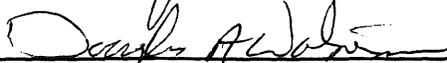
1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 None
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 22.77 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? .5 New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 M.S. 4.07
 M.S. 17.03
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4/23/93
 Date


 Executive Budget Officer's Signature

4/26/93
 Date

Minnesota Department of Agriculture

Name: USDA - SBIR

<u>Object Code</u>	<u>Description</u>	<u>State Match</u>		<u>Fed Exp.</u>	
		<u>FY 94</u>	<u>FY 95</u>	<u>FY 94</u>	<u>FY 95</u>
03	Salaries				\$20,000
14	Printing				2,000
16	Prof & Tech Svs				21,000
20	Communications				1,000
21	Travel In-State				1,000
90	Indirect Cost				5,000
	TOTAL				\$50,000





Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Service
 Title of Project/Proposal: Ethanol Fueled Fleet Demonstration
 Federal Catalog Number: 81.079

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

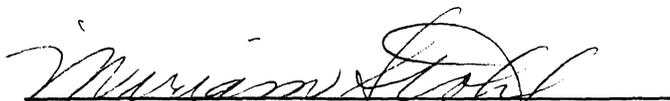
This award/proposal: Start Date: 5/1/93 End Date: 6/30/94
 Funding Amount: \$ 50,000 Positions: 0

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area. Funds were made available by council of Great Lakes Governor's for a specific purpose: E-85 demonstration. State discretion was limited to actual implementation plan.
2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The goal of this project is to aid in the development and implementation of E-85 engine fleets in the State of Minnesota. Reports will include three administrative reports, a financial report, and a final report which will include emission test results, summaries of operational cost, performance evaluation, and economic evaluation.
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. This grant promotes the use of ethanol, a renewable energy source, which is in line with DPS statutory responsibility and statewide energy policy. To our knowledge, this program is the first of its kind in Minnesota.
4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>90,680</u>	Percentage of total grant <u>181</u> %	Hard <input type="checkbox"/> %	Soft <u>100</u> %
2nd year \$ <u>11,902</u>	Percentage of total grant <u>24</u> %	Hard <input type="checkbox"/> %	Soft <u>100</u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <input type="checkbox"/> %	Soft <u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 The State is committing to operate a small fleet of E-85 vehicles through June 1994. The State will perform emissions and performance monitoring throughout the test program.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 16.8 %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption. Same
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 0 New 0 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 Minnesota Statutes 216C.02, Subd. 1(a) (1)
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4-20-93
 Date


 Executive Budget Officer's Signature

4-22-93
 Date

EXECUTIVE SUMMARY

Minnesota Proposal for the Ethanol-Fueled Fleet Demonstration and Evaluation

The State of Minnesota is very interested in promoting the use of ethanol in vehicles in the state. The state is one of the larger corn producers ranking third in 1991. There are several ethanol plants already in operation in Minnesota. This project would assist in the promotion of the ethanol industry.

The project involves the establishment of a ten vehicle fleet of E-85 vehicles that would be used by the Central Motor Pool and dispatched to several Departments for use in their daily operation. The funding from this project will be used to offset the cost of the ethanol conversion costs and the testing, evaluation, and promotion of E-85 technology in Minnesota.

1.0 Problem Statement

An essential requirement in promoting ethanol vehicles in the colder regions such as Minnesota is the successful demonstration of their operation. The successful operation of this fleet in extreme temperature variations and the documented maintenance and operating costs will provide proof that the E-85 engines are a viable unit for Minnesota residents. In addition it will be shown that this engine will provide environmental improvements. There has been very little promotion of E-85 engines in the state and the general public is not aware of the benefits of this new technology.

2.0 Statement of Work

2.1 Objectives

The objective of this project is to aid in the development and implementation of E-85 engine fleets in the State of Minnesota. This will be accomplished by providing operational experience, documented operating and maintenance costs, and environmental test data that will be documented over a year long test program.

2.2 Project Description

The project will consist of the testing and operation of a fleet of ten Chevrolet Lumina. These will be equipped with a variable fuel option. These E-85 dual fuel engines and will be operated on 85 percent ethanol whenever possible. It is expected, however, that they will be in operation in outstate Minnesota and will at times be required to operate on gasoline. This will also provide valuable information to compare and assess the dual fuel capabilities of the engine.

The funding will be used to offset the difference in price between the standard motor Pool vehicle and the Chevrolet Lumina with the E-85 dual fuel capability. This is necessary because of the purchasing policy of the State of Minnesota which requires the acceptance of the low bid. As a result of this the standard vehicle in the motor pool is the Plymouth Acclaim. The E-85 capability is not available on this vehicle. The Lumina can be purchased for this test if the CGLG funding will cover the difference in the purchase price.

The vehicles will be operated by State of Minnesota personal which will allow close supervision of the test program. It is anticipated that one vehicle will be operated by the Commissioner of the Department of Public Service. Three of the vehicles will be used by the department. Other departments expected to participate in the demonstration include the Department of Agriculture and the Department of Administration. The vehicles will be fueled at the Central Motor Pool who will be installing an above ground fuel tank equipped with ethanol compatible dispensing equipment. Exact fuel specifications will be obtained from Chevrolet Motor Division. Chevrolet has stressed the need for very clean fuel purchased from reputable dealers. This exclusive agreement with Kath should meet those requirements.

The vehicles will be tested for CO₂, CO, and total hydrocarbons on a monthly schedule. It was felt that the extreme temperature variations could have a adverse effect on the engine emissions and it would be a more accurate evaluation if monthly testing were practiced rather than quarterly testing. This testing will be conducted by Autoline Inc. recognized engine test facility. The State of Minnesota is currently investigating options for NO_x and aldehyde testing and will develop an appropriate testing schedule when site is identified. A proposed test plan and a drivers log are enclosed with this proposal.

In an effort to publicize the test program the vehicles will be marked as a part of an E-85 ethanol fueled fleet. The department will write and distribute press releases. In addition the vehicles will be displayed at county and the state fairs. The department also operated an Energy Information Center which will produce and distribute information brochures.

2.3 Timetable

The following is a list of events and approximate dates for the major parts of this program:

- | | |
|-------------------------|------------------------------|
| 1. Order vehicles | February 1, 1993 |
| 2. Receive vehicles | May 1, 1993 |
| 3. First emission tests | Within two weeks of delivery |
| 4. Follow up testing | Monthly |
| 5. Final emission tests | June 1, 1994 |
| 6. Quarterly reports | August, November, February |
| 7. Final report | July 1994 |

2.4 Participants

The project team will consist of personnel from the Minnesota Department of Public Service and the Department of Administration. Data collection will be by the Department of Administration and the reporting and analyses will be by the Department of Public Service.

2.5 Project Management

Project management will be the responsibility of the Minnesota Department of Public Service. Richard L. Auld will provide project overview. The Department of Administration will be responsible for the dispatching the vehicles and the data collection.

2.6 Deliverables

The deliverables of this project will be three quarterly administrative reports, a financial report, and a final report which will include emissions test results, summaries of operational costs, operator evaluation of performance, and an economical evaluation.

2.7 Administrative and Financial Reports

Administrative and financial reports will be delivered according to the prescribed schedule, as follows:

- | | |
|-------------------------------------|---|
| 1. Quarterly administrative reports | Aug. 15, 1993
Nov. 15, 1993
Feb. 15, 1994 |
| 2. Final Report | July 15, 1994 |
| 3. Final financial report | July 15, 1994 |

3.0 Project Budget

The total budget for this proposal is \$152,582.

<u>Item</u>	<u>CGLG Funds</u>	<u>Minnesota</u>
Vehicles	0	\$90,680
Multi Fuel option	\$20,810	0
Fuel	0	9,900
Testing	21,998	2,002
Indirect	<u>7,192</u>	<u>0</u>
Totals	\$50,000	\$102,582

DEPARTMENT OF PUBLIC SERVICE

Date: December 21, 1992

To: Dick Auld, Mike Blacik, Narv Somdahl

From: Mike Roelofs 

Subject: Data Collection for Ethanol Fuels Project

Here is my opinion of what data we need to collect in conjunction with an State sponsored E-85 demonstration project:

Daily (in vehicle)

This is routine driving information that could be collected by either the standard (or slightly modified) driving log.

1. Typical Drivers Log

Date, Driver's Name, Destination, Miles Traveled (probably odometer readings), Amount of Fuel Added, Cost of Fuel, Driver Comments. One special item needs to be added - whether the car was filled with gasoline or E-85.

2. Typical Maintenance Log

Date of Problem, Type of Problem, Repair Required, Cost of Repair, Amount of Time Out of Service, Place Repair Done

Monthly (in office Tally)

Some one in the office needs to review the daily driving and maintenance log and come up with the following for each vehicle.

Total Miles Traveled

Total Fuel Used, Total Gasoline Used, Total Ethanol Used

Total Fuel Cost, Total Gasoline Cost, Total Ethanol Cost

Average Miles per Gallon (if possible mpg on E-85 and gasoline)

Number of Driver Comments (positive and negative)

Comments on E-85 vs. gasoline

Maintenance Required

routine vs. non-routine maintenance

fuel system vs. non-fuel system maintenance

Cost of Maintenance (same as above)

Monthly Emission Tests (each vehicle)

Carbon Dioxide
Carbon Monoxide
Hydrocarbons
Nitrous Oxides
Aldehydes

According to my rough tally, there are 24 individual data items which need to be tracked for each car each month. With this amount of data, it would be best to develop a database to store this information. This would give us more versatility in the ways we could report and aggregate the data. This would likely require design assistance from programming staff as well as design of entry procedure and development of specific output reports which need to be completed each quarter for the Feds.

CONTRACT PRICING PROPOSAL
(RESEARCH AND DEVELOPMENT)

GOVT SOLICITATION NO.

PAGE NO.

NO. OF PAGES

This form is for use when (i) submission of cost or pricing data (see FPR 1-3.807-5) is required and (ii) substitution for the Optional Form 99 is authorized by the contracting officer.

SUPPLIES AND/OR SERVICES TO BE FURNISHED

NAME OF OFFEROR Dept. of Public Service Energy Division	TOTAL AMOUNT OF PROPOSAL \$ 152,582
HOME OFFICE ADDRESS Suite 200 121 7th Place East St. Paul, MN 55101-2145	AMOUNT FROM COUNCIL \$ 50,000
DIVISION(S) AND LOCATION(S) WHERE WORK IS TO BE PERFORMED	AMOUNT OF MATCH \$ 102,382

DETAIL DESCRIPTION OF COST ELEMENTS

FUNDING SOURCES

1. DIRECT MATERIAL (Include on Exhibit A)	EST COST (\$)	TOTAL EST COST*	FUNDING SOURCES			REFER- ENCE*
			COUNCIL	OFFEROR	OTHER	
a. PURCHASED PARTS Variable fuel option	20,810		20,810			
b. SUBCONTRACTED ITEMS						
c. OTHER--(1) RAW MATERIAL						
(2) YOUR STANDARD COMMERCIAL ITEMS						
(3) INTERVENTIONAL TRANSFERS (At other than cost)						
TOTAL DIRECT MATERIAL		20,810	20,810			
2. MATERIAL OVERHEAD* (Rate %X% base)						
3. DIRECT LABOR (Specify)	ESTIMATED HOURS	RATE/ HOUR	EST COST (\$)			
TOTAL DIRECT LABOR						
4. LABOR OVERHEAD (Specify Department or Cost Center)*	O.H. RATE	% BASE =	EST COST (\$)			
TOTAL LABOR OVERHEAD						

: DETAIL DESCRIPTION OF COST ELEMENTS		TOTAL EST COST ^a	FUNDING SOURCES			REFER- ENCE ^b
			COUNCIL	OFFEROR	OTHER	
3. SPECIAL TESTING (Including field work at Government installations)		EST COST (\$)				
Emission Testing		24,000	21,998	2,002		
TOTAL SPECIAL TESTING		24,000	21,998	2,002		
6. SPECIAL EQUIPMENT (If direct charge) (Items on Exhibit A)						
7. TRAVEL (If direct charge) (Give details on attached Schedule)		EST COST (\$)				
a. TRANSPORTATION						
b. PER DIEM OR SUBSISTENCE						
TOTAL TRAVEL						
8. CONSULTANTS (Identify - purpose - rate)		EST COST (\$)				
TOTAL CONSULTANTS						
9. OTHER DIRECT COSTS (Items on Exhibit A)		100,580		100,580		
10. TOTAL DIRECT COST AND OVERHEAD		145,390	42,808	102,582		
11. GENERAL AND ADMINISTRATIVE EXPENSE (Rate 16.8 % of cost element Nos. 1-10)		7,192	7,192			
12. ROYALTIES^c						
13. TOTAL ESTIMATED COST		152,582	50,000	102,582		
14. FEE OR PROFIT						
15. TOTAL ESTIMATED COST AND FEE OR PROFIT						

INSTRUCTIONS TO OFFERORS

1. The purpose of this form is to provide a standard format by which the offeror submits to the Government a summary of incurred and estimated costs (and attached supporting information) suitable for detailed review and analysis. Prior to the award of a contract resulting from this proposal the offeror shall, under the conditions stated in FPR 1-3.807-3 be required to submit a Certificate of Current Cost or Pricing Data (See FPR 1-3.807-3(h) and 1-3.807-4).

2. In addition to the specific information required by this form, the offeror is expected, in good faith, to incorporate in and submit with this form any additional data, supporting schedules, or substantiation which are reasonably required for the conduct of an appropriate review and analysis in the light of the specific facts of this procurement. For effective negotiations, it is essential that there be a clear understanding of:

- a. The existing, verifiable data.
- b. The judgmental factors applied in projecting from known data to the estimate, and
- c. The contingencies used by the offeror in his proposed price.

In short, the offeror's estimating process itself needs to be disclosed.

3. When attachment of supporting cost or pricing data to this form is impracticable, the data will be described (with schedules as appropriate), and made available to the contracting officer or his representative upon request.

4. The formats for the "Cost Elements" and the "Proposed Contract Estimate" are not intended as rigid requirements. These may be presented in different format with the prior approval of the Contracting Officer if required for more effective and efficient presentation. In all other respects this form will be completed and submitted without change.

5. By submission of this proposal the offeror grants to the Contracting Officer, or his authorized representative, the right to examine, for the purpose of verifying the cost or pricing data submitted, those books, records, documents and other supporting data which will permit adequate evaluation of such cost or pricing data, along with the computations and projections used therein. This right may be exercised in connection with any negotiations prior to contract award.

FOOTNOTES

1 Enter in this column those necessary and reasonable costs which in the judgment of the offeror will properly be incurred in the efficient performance of the contract. When any of the costs in this column have already been incurred (e.g., on a letter contract or change order), describe them on an attached supporting schedule. Identify all sales and transfers between your plants, divisions, or organizations under a common control, which are included at other than the lower of cost to the original transferee or current market price.

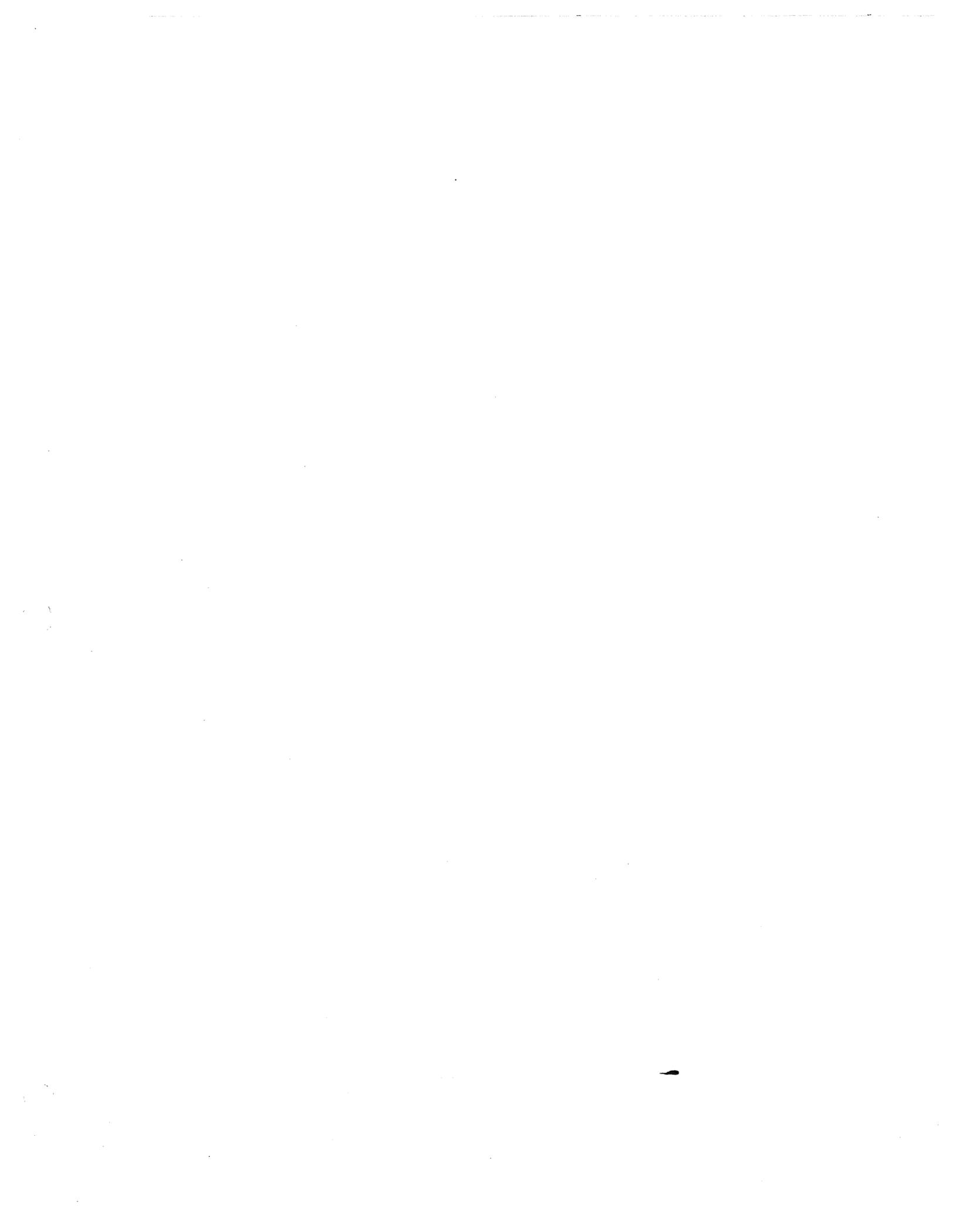
2 When space in addition to that available in Exhibit A is required, attach separate pages as necessary and identify in this "Reference" column the attachment in which the information supporting the specific cost element may be found. No standard format is prescribed; however, the cost or pricing data must be accurate, complete and current, and the judgment factors used in projecting from the data to the estimates must be stated in sufficient detail to enable the Contracting Officer to evaluate the proposal. For example, provide the basis used for pricing materials such as by vendor quotations, shop estimates, or invoice prices; the reason for use of overhead rates which depart significantly from experienced rates (reduced volume, a planned major re-arrangement, etc.); or justification for an increase in labor rates (anticipated wage and salary increases, etc.). Identify and explain any contingencies which are included in the proposed price, such as anticipated costs of rejects and defective work, or anticipated technical difficulties.

3 Indicate the rates used and provide an appropriate explanation. Where agreement has been reached with Government representatives on the use of forward pricing rates, describe the nature of the agreement. Provide the method of computation and application of your overhead expense, including cost breakdown and showing trends and budgetary data as necessary to provide a basis for evaluation of the reasonableness of proposed rates.

4 If the total cost entered here is in excess of \$250, provide on a separate page the following information on each separate item of royalty or license fee: name and address of licensor; date of license agreement; patent number, patent application serial number, or other basis on which the royalty is payable; brief description, including any part or model numbers of each contract item or component on which the royalty is payable; percentage or dollar rate of royalty per unit; unit price of contract item; number of units; and total dollar amount of royalties. In addition, if specifically requested by the contracting officer, a copy of the current license agreement and identification of applicable claims of specific patents shall be provided.

5 Provide a list of principal items within each category indicating known or anticipated source, quantity, unit price, competition obtained, and basis of establishing source and reasonableness of cost.

CONTINUATION OF EXHIBIT A—SUPPORTING SCHEDULE AND REPLY TO QUESTIONS II AND V.





Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Iron Range Resources and Rehabilitation (IRRRB)
 Title of Project/Proposal: Iron Range Research Center (IRRC)
 Federal Catalog Number: Forest History Oral History Project

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 7-1-93 End Date: 10-1-94
 Funding Amount: \$ 10,000.00 Positions: -0-

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area. The application was prepared after lengthy discussion on the topic budget and how the project is to be administered. The IRRC archives is the repository for the Superior National Forest photographs and manuscript materials.
2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The project will include interviews and transcripts for about 100 narrators. Narrators are chosen for their knowledge of the history of the Superior National Forest, IRRRB Foresters and DNR Foresters. The tapes and transcripts will add substance to the archival collections.
3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. The IRRC has a active oral history program and several hundred interviews on hand. It has never done a comprehensive project on forest history. We will be working with retired foresters organizations, agencies of state and federal governments and the Minnesota Historical Society and Forest History Center.
4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>10,000.00</u>	Percentage of total grant <u>100</u> %	Hard <u> </u> %	Soft <u> </u> %
2nd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
The project will be complete when the funds are exhausted. We expect to collect several hundred hours of information.

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

Indirect costs are estimated at \$500.00

- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 5 %
c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New 2 Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

- b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

- b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

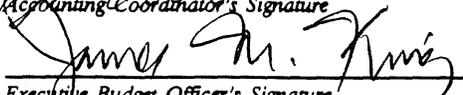
M.S. 4.07

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature



Executive Budget Officer's Signature

4/22/93

Date
4/23/93

Date

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 15.3 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? 2 New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.

M.S. 4.07

14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No

AW Kardosky
 Accounting Coordinator's Signature

4/23/93
 Date

Quinn Z. Zederman
 Executive Budget Officer's Signature

4-26-93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: MINNESOTA DEPARTMENT OF PUBLIC SAFETY
 Title of Project/Proposal: SUPERFUND AMENDMENT AND REAUTHORIZATION ACT OF 1986 (SARA) TITLE
 Federal Catalog Number: 83.403

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: MAY 1, 1993 End Date: MARCH 31, 1994
 Funding Amount: \$ 90,000 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

DEM APPLIED FOR SARA TRAINING MONIES IN MARCH 1993 AFTER IT RECEIVED A GRANT PROPOSAL PACKAGE FROM FEMA. PRIOR TO THIS TIME, DEM WAS TOLD THAT THERE WOULD BE NO SARA TRAINING DOLLARS FOR FY1993-4. FEDERAL MONIES WERE APPROPRIATED TO THIS TIMEFRAME.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

PLEASE SEE ATTACHED SHEET.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

THIS PROGRAM IS ENTERING ITS 6TH YEAR OF FUNDING. IT SPECIFICALLY FUNDS TRAINING FOR FIRST RESPONDERS SO THAT THEY ARE IN COMPLIANCE WITH THE REQUIREMENTS DICTATED BY THE SARA TITLE III LAW.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

THE STATE MATCH IS 20% OF SOFT, "IN-KIND" CONTRIBUTIONS.

Year	Amount	Percentage of total grant	Hard %	Soft %
1st year	\$ <u>22,500</u>	<u>20</u> %	<u> </u> %	<u>20</u> %
2nd year	\$ <u>22,500</u>	<u>20</u> %	<u> </u> %	<u>20</u> %
3rd year	\$ <u>22,500</u>	<u>20</u> %	<u> </u> %	<u>20</u> %
4th year		<u>20</u>		<u>20</u>

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

NONE

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 10.05%

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New 1/4 Existing

9. Will the award supply funding of present positions? _____ Partial _____ Full None

10. Will new positions be funded entirely by the grant award? _____ Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? _____ Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? _____ Yes _____ No

13. Legal authority to apply for and accept grant.

THE GOVERNOR OF MINNESOTA DESIGNATED THE DEPARTMENT OF PUBLIC SAFETY AS THE AGENCY TO APPLY FOR AND ADMINISTER THE SARA TITLE III GRANT FOR THE STATE.

MS 4.07

14. Will the program involve a change in existing state rules? _____ Yes No

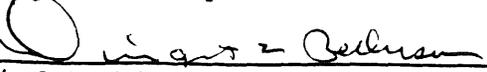
15. Will the program require new rules? _____ Yes No



Accounting Coordinator's Signature

April 28, 1993

Date



Executive Budget Officer's Signature

4-27-93

Date

I. INTRODUCTION

The Department of Public Safety's Division of Emergency Management (DEM), State Emergency Response Commission (SERC), and the Minnesota Technical College System (MTCS) have formed a cohesive structure geared toward the delivery of an effective and efficient hazardous materials training program which has ensured the dissemination of information and technical expertise to multi-disciplined audiences throughout the state of Minnesota. With the Section 305 monies awarded to Minnesota since 1987, over 40,000 participants have been trained in the areas of hazardous materials awareness, recognition, planning, and response.

II. MINNESOTA'S SARA TITLE III TRAINING PLAN

Attachments CAT I-A to CAT II-M give detailed information on the Sara training proposed for FY 1993. Briefly, the training consists of Category I Course Attachments:

CAT I-A. National Hazardous Materials Conference

This national conference is conducted annually at the Emergency Management Institute campus in Emmitsburg, Maryland. Its purpose is to provide SARA state program managers with the latest developments in the hazardous materials field, specifically relating to section 305 training requirements.

CAT I-B. Workshops in Emergency Management (T250)

Six workshops entitled "Hazardous Materials Contingency Planning Workshops" will be offered to continue training that has been on-going for the past four years. Local and county emergency managers in each of the seven regional review committee (RRC) districts will be updated on the latest SARA information and will be trained to address consistent planning deficiencies identified by the SERC computer database.

CAT I-C. Recognition and Identification of Hazardous Materials (RIHM) (F233)

The four hour "Hazardous Materials Awareness for Minnesota First Responders" course which is the Minnesota version of the National Fire Academy (NFA) RIHM course has been well-received by first responders in Minnesota. Members of the emergency medical service community have not been trained in this area, so this course will be offered specifically for them this year. It has been modified slightly to put more emphasis on their needs and concerns in response to hazardous materials.

CAT I-D. SARA Workshop (T251)

An annual training workshop for Emergency Response Commission members, Regional Review Committees, and local planning officials sponsored by the Minnesota ERC. The workshop provides training in all aspects to SARA, Title III planning, enforcement/compliance, facility reporting, and section 313 activi-

CAT II-K. Facility Training

SERC staff provides a variety of workshops geared toward regulated facilities designed to inform them of the reporting requirements contained in SARA, Title III, and assist them in complying with those requirements.

CAT II-L. Public Education Programs

Emergency Response Commission members, Regional Review Committees, and SERC staff provide numerous SARA, Title III public education programs throughout the year. Presentations are directed toward citizen groups, public officials, and emergency response agency personnel.

CAT II-M. Enforcement and Compliance Training

SERC staff provide Title III enforcement and compliance training to other state agency staff, and local officials. Programs are designed to acquaint officials with the reporting requirements of Title III, and identify non-reporting facilities to the Commission.

III. TRAINING DELIVERY

The permanent incorporation of SARA training into the ongoing training efforts of the State Emergency Response Commission, Division of Emergency Management, and the Minnesota Technical College System indicates the state's continued commitment to hazardous materials mitigation, preparedness, and response. These efforts will continue in addition to the pre-Sara hazardous materials training and exercise assistance of DEM and MTCS for the past 13 years.

The state match for federal SARA fund for FY 1992 will be minimally 20 percent. It will be in the form of 100 percent state-funded instructor time.

No permanent capital equipment will be purchased with SARA training funds.

IV. CONCLUSION

This training proposal is submitted as a joint effort of the Minnesota Technical College System, the Division of Emergency Management, and the State Emergency Response Commission. It represents their assessments of the hazardous materials training needs, as outlined in SARA, Title III, and the most effective and efficient means of addressing those needs in Minnesota in FY 1993 and beyond.

ties. It also serves to provide focus for ERC activities for the coming year.

CAT I-E. Incident Command System (F806)

This course has been much in demand and very well attended in the past. Its purpose is to train emergency managers and other response personnel who work with them to coordinate the development of a uniform incident command system in their jurisdictions.

CAT I-F. CAMEO Workshop NOAA

First responders will be trained in the use of CAMEO-DOS and CAMEO-Apple to help them implement this computer program into their pre-planning to meet SARA requirements.

Category II Course Attachments:

CAT II-G. First Responder Operations

The operations level training is for all first responders who have successfully completed the 4 hour "Recognizing and Identifying Hazardous Materials" (RIHM) course along with the 12 hour "Protective Clothing/Decontamination" course.

The Minnesota Technical College System has prepared a 15 hour curriculum for emergency medical service (EMS) personnel which meets the requirements of NFPA 473 and 29 CFR 1910.120, and is specifically geared towards those EMS personnel who provide medical support at hazardous materials incidents.

CAT II-H. NASTTPO Conference

The National Association of State Title III Program Officials (NASTTPO) hosts an annual conference of state level program officials. Minnesota is represented on NASTTPO, and SERC staff attend the conference to exchange program information, participate in the development of federal initiatives, and receive training on Title III matters of state and national significance.

CAT II-I. FEMA Region V SARA Conference

The FEMA V SARA Conference is an annual event designed to allow SARA state managers to share program goals, objectives, problems and successes with each other.

CAT II-J. EPA/FEMA/SERC Conference

This annual conference is a joint effort of the Region V EPA and FEMA offices. Its purpose is to bring together state and federal Title III officials from the Region V agencies to share information concerning program activities, and receive updates on federal actions and initiatives.



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: DEPARTMENT OF PUBLIC SAFETY
 Title of Project/Proposal: HAZARDOUS MATERIALS EXERCISE GRANT
 Federal Catalog Number: Not Assigned

Type of Grant: New X Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application _____ Application _____ Negotiation X Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 _____ Yes X No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: MAY 1, 1993 End Date: SEPTEMBER 30, 1993
 Funding Amount: \$ 4,000 Positions: 1/A

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

DEM APPLIED FOR HAZARDOUS MATERIALS EXERCISE MONIES IN FEBRUARY 1993 AFTER IT RECEIVED A GRANT PROPOSAL LETTER FROM THE FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) REGION 5:

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

PLEASE SEE ATTACHED LETTER.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

THIS PROGRAM WILL ENHANCE BOTH THE EXERCISE TRAINING AND HAZARDOUS MATERIALS TRAINING PROGRAMS OF THE DIVISION OF EMERGENCY MANAGEMENT BY GIVING DIRECT ASSISTANCE TO LOCAL GOVERNMENTAL AGENCIES WHO WISH TO EXERCISE FOR HAZARDOUS MATERIALS INCIDENTS.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>4,000</u>	Percentage of total grant <u>100</u> %	Hard _____ %	Soft <u>100</u> %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required _____

5. a. Does the grant contain a maintenance of effort requirement? Yes X No
 If yes, what is the base year and amount \$.
- b. What short and long term commitments is the state making by acceptance of this grant?
 NONE
6. Are indirect costs included in the proposal? Yes X No
 a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? New 1/8 Existing
9. Will the award supply funding of present positions? Partial Full X None
10. Will new positions be funded entirely by the grant award? Yes X No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes X No
- b. Is continuation of positions a condition of receiving the federal grant? Yes X No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes X No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 THE FEDERAL EMERGENCY MANAGEMENT AGENCY WILL SEND THIS MONEY THROUGH TO THE STATE THROUGH THE COMPREHENSIVE COOPERATIVE AGREEMENT PROCESS (CCA).
- MS 4.67
14. Will the program involve a change in existing state rules? Yes X No
15. Will the program require new rules? Yes X No


 Accounting Coordinator's Signature

April 22, 1993
 Date


 Executive Budget Officer's Signature

4-27-93
 Date

DIVISION OF EMERGENCY MANAGEMENT

B5 - STATE CAPITOL

(612) 298-2233



**STATE OF MINNESOTA
DEPARTMENT OF PUBLIC SAFETY
SAINT PAUL 55155**

February 19, 1993

Dr. John Powers
FEMA, Region 5
175 W. Jackson Blvd.
Chicago, IL 60604

Dear Dr. Powers:

This request is to briefly list the activities Minnesota plans to undertake with the \$4,000 offered by your agency to conduct a full-scale hazardous materials exercise. This exercise will involve the cooperation of various federal and state agencies, local governments, and the private sector, utilizing a simulated hazardous materials scenario that will attempt to tax a large part of the state. No date has been set for this exercise as yet.

In talking with Ann Whelan, it is understood that approximately \$4,000 will be available to help defray the expense of this exercise. We propose awarding two (2) \$1,500 grants to local jurisdictions wishing to participate with the state on this exercise, and the remaining \$1,000 will be used by Minnesota to cover the expenses of the hazardous materials administrator, the hazardous materials senior planner (a new position) and the exercise training officer in their efforts to conduct meetings and training prior to, during, and after this large, full-scale exercise.

As always, Minnesota is very appreciative of the support it has received from your agency in the vital areas of hazmat planning and response, and we look forward to planning and conducting another very beneficial full-scale exercise in our state as a follow-up to the well-recognized and very successful Catastrophic Exercise 1992 (CATEX92).

Sincerely,

James D. Franklin
Director

A handwritten signature in cursive script that reads "Suzanne M. Donnell".

Suzanne M. Donnell
Training Officer

JDF:SMD

cc: Ed Leier, Hazardous Materials Administrator
Chuck Proft, Exercise Training Officer



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: MINNESOTA DEPARTMENT OF PUBLIC SAFETY
 Title of Project/Proposal: HAZARDOUS MATERIALS TRANSPORTATION UNIFORM SAFETY ACT (HMTUSA)
 Federal Catalog Number: 20.703

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: May 1, 1993 End Date: April 30, 1994
 Funding Amount: \$ 182,067 Positions: _____

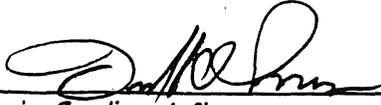
- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 The Division of Emergency Management was told prior to the loan application package was received as to how much money it would receive from the Department of Transportation. Several checklist items had to be addressed in the grant application which DEM did in its proposal.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 Please see the attached statement of goal, objectives, and outcomes from this project.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 This program continues the work started under the Superfund Amendment and Reauthorization Act of 1986 (SARA) Section 305A training monies. SARA is scheduled to end FFY 1993 and this HMTUSA grant will replace it.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>60,689</u>	Percentage of total grant <u>25</u> %	Hard <input type="checkbox"/> %	Soft <u>25</u> %
2nd year \$ <u>60,689</u>	Percentage of total grant <u>25</u> %	Hard <input type="checkbox"/> %	Soft <u>25</u> %
3rd year \$ <u>60,689</u>	Percentage of total grant <u>25</u> %	Hard <input type="checkbox"/> %	Soft <u>25</u> %

4th-5th years are the same as those listed above

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year 1990-1992 and amount \$ 4,375 for planning
118,890 for training
- b. What short and long term commitments is the state making by acceptance of this grant?
 The state is committing 1/4 time total for two new senior planners who will be hired in March-April 1993. This commitment of time will continue through the grant's life of 5 years.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 10.05%
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? New 1.5 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 The Governor of Minnesota designated the Department of Public Safety as the agency to apply for and administer the HMTUSA grant for the state.
M.S. 4.07
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature


 Executive Budget Officer's Signature

April 23, 1993
 Date

4-27-93
 Date

A project narrative statement of the goals and objectives of the proposed project, project design and long range plans.

Minnesota has been allocated \$72,668 for Planning under HMTUSA. The state of Minnesota proposes to use these funds for the following projects:

- Priority # 1 \$40,200 - to conduct a transportation commodity flow study
- Priority # 2 \$25,000 - to local planning advisory committees (PACs) for start-up money
- Priority # 3 \$ 2,300 - for the ERC to modify existing SARA Title III database
- Priority # 4 \$ 5,168 - for administrative expenses to process HMTUSA grant paperwork

IMMEDIATE PLAN: The transportation commodity flow study will help Minnesota identify hazardous materials transportation issues. During 1992, Minnesota surveyed all modes of transportation in the northeastern quadrant of the state. Much valuable information was gained through this study. Minnesota would like to continue to survey the remainder of the state to determine what exactly is traversing the state by all modes of transportation.

By assisting local PACs with start-up monies, Minnesota will encourage hazardous materials planning at the local level which is the most effective level because it will bring multiple planning and response parties together to analyze and discuss the hazards their communities face. More PACs will provide expertise to exercising of local emergency operations plans to "test" their workability in times of crisis. PACs will provide for the review of current response capabilities.

LONG-RANGE PLAN: The transportation commodity flow studies will allow Minnesota to survey the entire state. It will tell emergency planners what, on an average day, is moving across their jurisdictions. This information will be used by planners to update their emergency operations plans.

More PACs in Minnesota will provide for truly "localized" planning.

The amount of \$109,399 has been allocated to Minnesota for Training under HMTUSA. Minnesota proposes to use these funds as follows:

- Priority # 1 \$68,000 - the Minnesota Technical College System proposes to train a total of 5,000 first responders in the areas of hazardous materials awareness, operations, Emergency Medical operations level, incident command system, plan exercise and evaluation areas.
- Priority # 2 \$28,000 - to local jurisdictions in the form of grants ranging from \$500-2,500 to assist them to fully exercise their emergency operations plans in response to hazardous materials threats.
- Priority # 3 \$ 8,399 - to DEM staff to train emergency managers, other state agencies, local public officials, facilities owners, etc. in the Minnesota Incident Management System (MIMS)/Incident Command System.
- Priority # 4 \$ 5,000 - administrative support costs to process the paperwork involved with this part of the HMTUSA grant.

IMMEDIATE PLAN: The Minnesota Technical College System projects that it will reach and train approximately 5,000 first responders during the first year of the grant. DEM anticipates training 2,000 emergency managers, other state agencies, local public officials, and facility owners during its first year.

LONG-RANGE PLAN: The MTCS hopes to train 49,500 first responders during years 2-6 of the grant and plans to continuously assess the various training needs and requirements expressed by those first responders while in the training program. The Division of Emergency Management and the Emergency Response Commission hope to set up 10-25 local Planning Advisory Committees each year that the grant is in service. It is proposed that during the first year, the PACs will be organized and become operational, and hopefully, the second year, DEM/ERC can provide grant monies to assist them in exercising their new emergency operations plans (EOPs). By the end of the sixth year, DEM and the ERC envision all of the PACs started, operational, and experienced in emergency exercises. From then on, it will just be a matter of making slight modifications and changes to the EOP on a yearly basis.



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Safety
 Title of Project/Proposal: Juvenile Justice Community Data Model
 Federal Catalog Number:

Type of Grant: New X Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application X Application _____ Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
X Yes _____ No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 10/93 End Date: 10/94
 Funding Amount: \$ 375,000.00 Positions: -0-

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

These funds must be applied toward the improvement of criminal justice records.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

The purpose of this grant is to improve the completeness, accuracy, timeliness, accessibility and utility of criminal justice information. A data model of criminal justice data will be developed and made available to any agency.

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

This relates to current efforts underway in the Supreme Court, Department of Public Safety, Department of Corrections and Sentencing Guidelines to improve not only criminal justice data but the process of collecting and maintaining that data.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>125,000</u>	Percentage of total grant <u>25</u> %	Hard <u>25</u> %	Soft _____ %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required _____

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
 The grant dollars must be applied to criminal justice data improvement efforts until such time as the state can meet federal guidelines for data quality.

6. Are indirect costs included in the proposal? Yes No
 a. If indirect costs are not included in the proposal, indicate reason.

Salaries are not part of this grant

- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
 c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? -0- New -0- Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No

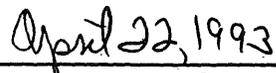
13. Legal authority to apply for and accept grant.

M.S. 4.07

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature


 Date


 Executive Budget Officer's Signature

4-27-93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Safety
 Title of Project/Proposal: Survivable Crisis Management Planner Position
 Federal Catalog Number:

Type of Grant: New Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application _____ Application _____ Negotiation _____ Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 _____ Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 2-12-93 End Date: 9-30-94
 Funding Amount: \$ 84,000.00 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area. The division negotiated work elements that will be performed by the person filling the position with the Federal Emergency Management Agency so that the monies received can be used in a cost effective, efficient manner, and in accordance with the requirements of the SCM funding program.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. The goal of the SCM program is to ensure that communication networks will be operational and compatible in times of a catastrophic emergency so that a coordinated response and recovery effort can be carried out by all levels of government. This will require the development of a Survivable Crisis Management Plan which will describe, in detail the state's ability to continue governmental activities, at all levels of government in the event of a catastrophic event.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs. In addition to number 2 above, this position will be responsible for coordinating with other state agencies to provide technical assistance to local governments in development of its emergency plan to ensure communication compatibility at all levels of government.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$	<u>-0-</u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
2nd year \$	<u>-0-</u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
3rd year \$	<u>-0-</u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 11.78 %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? _____ New 1 Existing

9. Will the award supply funding of present positions? _____ Partial Full _____ None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

Comprehensive Cooperative Agreement between the State Department of Public Safety,
Division of Emergency Management and the FEMA.

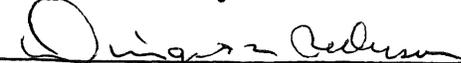
14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature

04/22/93
Date



Executive Budget Officer's Signature

4-27-93
Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Safety
 Title of Project/Proposal: NDR Problem Driver Pointer System
 Federal Catalog Number: 20.217

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

LAC Order #5, \$100,000, 9-21-92
 This award/proposal: Start Date: 09-30-92 End Date: 04-30-95
 Funding Amount: \$ 100,000 Positions: 0

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 We have limited discretion in the administration. There is no latitude for program selection as it is federally mandated.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 Program facilitates the transfer of driver history from one State to another and the reporting of out of States activities. It promotes one driver one license concept, improves customer service and improves the handling of problem drivers.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 The program relates to the issuance of the commercial driver license. It will be coordinated with the current CDL program and the Nat'l Driving Register pointer system.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year N/A and amount \$ N/A.
- b. What short and long term commitments is the state making by acceptance of this grant?

NONE

6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____%
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New _____ Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

MS4.075

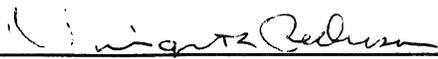
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No



 Accounting Coordinator's Signature

April 22, 1993

 Date



 Executive Budget Officer's Signature

4-27-93

 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Safety
 Title of Project/Proposal: ISTE A Grant
 Federal Catalog Number: 20.217

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.

Yes No If yes, state the page and current budget volume for reference.

1992-93 LAC order # 5

This award/proposal: Start Date: 10-1-92 End Date: 9-30-93
 Funding Amount: \$ 71,392.30 Positions: None

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.
 We have limited discretion in the administration and staffing. There is no latitude in the program selection area.
- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.
 The purpose of the grant is to improve each states registration of interstate trucks for license and fuel tax. The goal of the Prorate Office is to use the monies to put in place new more efficient procedures and computer processing.
- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.
 No other office licenses interstate trucks for this purpose. The proposed program will enhance not change the existing methods.
- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>0</u>	Percentage of total grant <u>0</u> %	Hard <u> </u> %	Soft <u>0</u> %
2nd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %
3rd year \$ <u> </u>	Percentage of total grant <u> </u> %	Hard <u> </u> %	Soft <u> </u> %

Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year N/A and amount \$ N/A.
- b. What short and long term commitments is the state making by acceptance of this grant?
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 No salaries involved.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 Minnesota Statutes Section 4.07
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4/22/23
 Date


 Executive Budget Officer's Signature

4-27-23
 Date



- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Safety
 Title of Project/Proposal: Criminal History Improvement Project
 Federal Catalog Number:

Type of Grant: New X Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application _____ Application _____ Negotiation _____ Awarded X

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes X No _____ If yes, state the page and current budget volume for reference.

1992-93 LAC Order # 9

This award/proposal: Start Date: 090192 End Date: 083093
 Funding Amount: \$ 295,270 Positions: 4 (temporary)

Am + FY, 4 : \$ 235,270

(2-Dept. of Pub. Safety/2-Supreme Ct)

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area. These dollars are for the very specific purpose of improving criminal history (CCH) data and identifying convicted felons.

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

See Attachment 1

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

This relates directly to internal Department of Public Safety efforts to improve CCH data. This is a continuation of those efforts.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$	<u>0</u>	Percentage of total grant	_____ %	Hard	_____ %	Soft	_____ %
2nd year \$	<u>0</u>	Percentage of total grant	_____ %	Hard	_____ %	Soft	_____ %
3rd year \$	<u>0</u>	Percentage of total grant	_____ %	Hard	_____ %	Soft	_____ %

Check here if no match is required X

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?

6. Are indirect costs included in the proposal? Yes No
a. If indirect costs are not included in the proposal, indicate reason.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. 15.85 %
For temporary employees

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? 4 New Existing
temporary employees (2 at Dept. of Public Safety - 2 at Supreme Court)

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

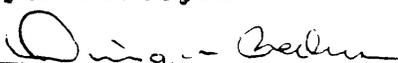
M.S.A. 4.07

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No


Accounting Coordinator's Signature

04/22/93
Date


Executive Budget Officer's Signature

4-27-93
Date

Goal: To make systematic improvements in the completeness, quality and timeliness of the State's criminal history record information.

Activities:

- 1) Eliminate backlogs
- 2) Microfilm old records
- 3) Develop Criminal History Manual
- 4) Develop coordinated training curriculum
- 5) Develop and pilot test Intelligent Sentencing System
- 6) Automate Criminal Judgement Form
- 7) Automate Fingerprint Identification System/Criminal History System Interface
- 8) Electronic Sentencing Data from Hennepin County

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Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Public Safety
 Title of Project/Proposal: Criminal Records Improvement Project
 Federal Catalog Number:

Type of Grant: New X Continuation _____ Other _____ If Other, Please Explain.

This request is in the following state:

Pre-application _____ Application X Negotiation _____ Awarded _____

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
X Yes _____ No If yes, state the page and current budget volume for reference.

*Not included in budget for F.Y. 1994. \$368,900 approved by 1992 legislature.
 This request is to establish funding authority for F.Y. 1994.*

This award/proposal: Start Date: 10/1/92 End Date: 9/30/93
 Funding Amount: \$368,900 Positions: -0-

(Amt - FY 94 \$288,900)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

These funds must be applied toward the improvement of criminal justice records.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

The federal government recognizes the need for improved records at the state level to accomplish federal initiatives. The dollars will be used to continue the criminal history conversion program by adding additional functionality to reduce massive backlogs

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

The program relates to existing Public Safety efforts to improve criminal history records and to similar efforts by the Dept. of Corrections, Supreme Court Systems, and Sentencing Guidelines. In addition, the Legislature mandated a study of the issues of criminal and juvenile justice information.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$ <u>122,967</u>	Percentage of total grant <u>25</u> %	Hard <u>25</u> %	Soft _____ %
2nd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %
3rd year \$ _____	Percentage of total grant _____ %	Hard _____ %	Soft _____ %

Check here if no match is required _____.

5. a. Does the grant contain a maintenance of effort requirement? Yes No
If yes, what is the base year _____ and amount \$ _____.

b. What short and long term commitments is the state making by acceptance of this grant?
The grant dollars must be dedicated to the data improvement project until such time that the State can meet federal guidelines for data quality.

6. Are indirect costs included in the proposal? Yes No

a. If indirect costs are not included in the proposal, indicate reason.

The dollars will supplement current activities.

b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %

c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.

7. Are indirect costs part of any match? Yes No

8. How many positions are needed to carry out this program? -0- New -0- Existing

9. Will the award supply funding of present positions? Partial Full None

10. Will new positions be funded entirely by the grant award? Yes No

11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No

b. Is continuation of positions a condition of receiving the federal grant? Yes No

12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No

b. If yes, has provision been made to provide the necessary funding? Yes No

13. Legal authority to apply for and accept grant.

M.S.A. 4.07

14. Will the program involve a change in existing state rules? Yes No

15. Will the program require new rules? Yes No



Accounting Coordinator's Signature

04/22/93

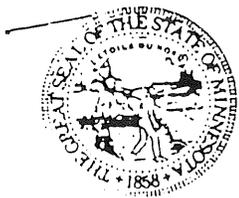
Date



Executive Budget Officer's Signature

4-27-93

Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Department of Public Safety
 Title of Project/Proposal: Random Drug and Alcohol Pilot Project
 Federal Catalog Number: MC-92-27-222

Type of Grant: New Continuation Other If Other, Please Explain.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process
 Yes No If yes, state the page and current budget volume for reference.

1992-93 LAC Order # 445

This award/proposal: Start Date: July 6, 1992 End Date: September 30, 1993
 Funding Amount: \$ 1,259,463 Positions: 11
 (FY 94 Amt. \$ 300,000)

- Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

The Random Drug and Alcohol Project was authorized by Congress to gather statistical information and to determine the feasibility of roadside drug and alcohol checks. The State Patrol was allowed to formulate a plan for testing subject to Fed. approval.

- Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program.

The purpose of the grant is to gather statistical information and to determine the feasibility of expansion of the program. Quarterly reports are submitted and evaluation of the data is conducted by a contractor in Washington, D.C..

- Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

This program is related to the Motor Carrier Safety Assistance Program (MCSAP). The goal of the MCSAP is to reduce the number and severity of commercial motor vehicle accidents.

- Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

1st year \$	<u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
2nd year \$	<u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %
3rd year \$	<u> </u>	Percentage of total grant	<u> </u> %	Hard	<u> </u> %	Soft	<u> </u> %

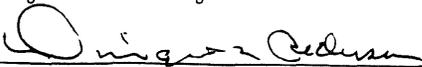
Check here if no match is required

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
There is a short term commitment to fulfill the objectives set forth in the State Enforcement Plan submitted for this project.
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. 13.02 %
- c. If rate charged is different than agencies approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? _____ New 11 Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.

MS 4.01 Subd. 1 and 2

14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature


 Executive Budget Officer's Signature

April 22, 1993
 Date

4-27-93
 Date



Minnesota Department of Finance
 400 Centennial Office Building
 St. Paul, Minnesota 55155

POLICY NOTE
 Notice of Application For
 Federal Grant Assistance

- Contact your agency Executive Budget Officer if you have questions. Provide attachments to this form for items where space is inadequate.

Department Name: Military Affairs
 Title of Project/Proposal: Direct Payment
 Federal Catalog Number: 12000

Type of Grant: New Continuation Other If Other, Please Explain.
 Elimination of direct payment by United States Property & Fiscal Office's on Federal/State cooperative funding agreements.

This request is in the following state:

Pre-application Application Negotiation Awarded

Has the Legislature approved the expenditure of these funds by review in the biennial budget process.
 Yes No If yes, state the page and current budget volume for reference.

This award/proposal: Start Date: 1 July 1993 End Date: 30 June 1995
 Funding Amount: \$ 40 Million* Positions: 0

*These funds are in addition to what is shown in the 1994/95 Biennial Budget.

1. Describe what discretion or latitude your agency was allowed in preparation of the application for federal assistance. Discretion may be in the administration/staffing or program selection area.

Federal Directive

2. Summarize the purpose of the proposed grant including a brief statement of the goals and objectives. Also specify the activities which will take place and any products (reports, plans, etc.) which will result from the program. Military construction funds from the National Guard Bureau in support of long range construction program and congressional add on program. Funds will support construction of armories, logistical & training site facilities.

3. Describe how the proposed program relates to, or differs from, existing state programs, both within your agency and within other agencies and units of government. State how the proposed program will be coordinated with existing programs.

Additional funding to approved federal/state cooperative funding agreements.

4. Indicate the state match required for each year of the grant, also indicate what percentage is hard (cash) and what percentage is soft (in-kind). If the grant runs longer than 3 years, include information for each additional year.

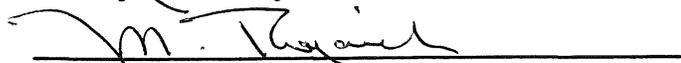
1st year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
2nd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%
3rd year \$ _____	Percentage of total grant _____%	Hard _____%	Soft _____%

Check here if no match is required .

5. a. Does the grant contain a maintenance of effort requirement? Yes No
 If yes, what is the base year _____ and amount \$ _____.
- b. What short and long term commitments is the state making by acceptance of this grant?
6. Are indirect costs included in the proposal? Yes No
- a. If indirect costs are not included in the proposal, indicate reason.
 Indirect costs not reimbursed by the National Guard Bureau.
- b. If indirect costs are included in the proposal, indicate the indirect cost rate. _____ %
- c. If rate charged is different than agency's approved rate, indicate reason. Attach copy of Budget Operations specific exemption.
7. Are indirect costs part of any match? Yes No
8. How many positions are needed to carry out this program? New Existing
9. Will the award supply funding of present positions? Partial Full None
10. Will new positions be funded entirely by the grant award? Yes No
11. a. Will the state be asked to pick up the positions when federal funds are discontinued?
 Yes No
- b. Is continuation of positions a condition of receiving the federal grant? Yes No
12. a. Will the state be asked to pay for unemployment compensation if individuals are laid off?
 Yes No
- b. If yes, has provision been made to provide the necessary funding? Yes No
13. Legal authority to apply for and accept grant.
 MS 190.16
14. Will the program involve a change in existing state rules? Yes No
15. Will the program require new rules? Yes No


 Accounting Coordinator's Signature

4/22/93
 Date


 Executive Budget Officer's Signature

4/22/93
 Date

18 DEC 1992

NGB-JAK (715)

MEMORANDUM FOR FILE

SUBJECT: Memorandum of Law, Legal Issues Concerning Agreements Between The States and The National Guard Bureau For The Construction of Facilities and The Operation and Maintenance of National Guard Facilities and Activities

INTRODUCTION

1. The National Guard Bureau (NGB) annually provides hundreds of millions dollars (\$350 million for Army National Guard Operation and Maintenance (O&M) and \$140 million for the Air National Guard) in funds and property to the 54 state and territorial jurisdictions maintaining Army and Air National Guard organizations for the construction of National Guard facilities, military pay, training, and for other operational expenses of the Federal mission of the National Guard. In some cases, as with military pay and military equipment, this funding is provided through the existing DOD pay and supply systems. However, a substantial amount of funding is provided to the states through NGB-State Federal State Agreements (FSA). FSAs are utilized to fund state construction of National Guard facilities and to fund state National Guard O&M activities. The purpose of this memorandum is to outline the legal questions arising in FSAs pertaining to their underlying legal basis and authority and to provide a definitive opinion on those issues.

2. FSAs, somewhat in their present form, have been utilized since the early 1950s. Initially, their use was primarily limited to situations where NGB was supporting state construction of armory and non-armory facilities. However, the nature of these agreements, from a legal standpoint, has never been definitively established. Consequently, issues such as the forum for disputes, cost allowability standards, audit requirements, procedures for state contracts entered into in performance of FSAs and required Federal "flow-down" clauses continue to arise.

3. With the increasing importance of the reserve components in the military force structure and the concomitant increasing Federal reliance on the National Guard resulting in an exponential increase in Federal funding of the National Guard since the early fifties, the numbers and types of FSAs have increased dramatically. FSAs now provide support to the state in construction, recruiting, facility maintenance, communications and the National Guard in the force structure, and the increased



DEPARTMENTS OF THE ARMY AND THE AIR FORCE

NATIONAL GUARD BUREAU
WASHINGTON, D.C. 20310-2500



NGB-JAK (715)

23 DEC 1992

MEMORANDUM FOR

THE GENERAL COUNSEL OF THE ARMY
THE GENERAL COUNSEL OF THE AIR FORCE

SUBJECT: NATIONAL GUARD BUREAU FEDERAL-STATE AGREEMENTS

1. The National Guard Bureau requests your concurrence with the enclosed Notice of Proposed Rulemaking (NPRM) for the publication of a proposed interim final rule amending 32 C.F.R Part 33, "Uniform Requirements for Grants and Cooperative Agreements to State and Local Governments", to provide certain exceptions to the existing rule for Federal-State cooperative agreements (FSA) between the National Guard Bureau (NGB) and the 54 states and territories maintaining Army and Air National Guards. As explained in the NPRM, certain changes to the existing Rule are necessary in light of the nature of National Guard activities and the applicable statutory and regulatory framework.

2. NGB has undertaken a comprehensive program of revising its FSA regulations and formats to conform them to 32 C.F.R Part 33. The reasons and legal rationale for this action is fully explained in the enclosed Memorandum of Law. It is NGB's intention that all agreements with state and local governments funded from National Guard appropriations will be treated as cooperative agreements subject to 32 C.F.R. Part 33. This would include funding of O&M activities, construction and environmental remediation.

3. Upon your concurrence with the NPRM, we will forward it to DOD for approval and coordination with the Office of Management and Budget. Since a significant portion of Federal funding of the National Guard is provided through FSAs, your early action would be appreciated.

4. If you have any questions, please do not hesitate to contact Colonel Brad Farber or Mr. Joseph Monachino in NGB-JA at 693-3814.

Thomas L. Link

THOMAS L. LINK
Assistant Chief
National Guard Bureau

- 2 Enclosures
1. NPRM
2. Memorandum of Law

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Legal Issues Concerning Agreements Between The States and The National Guard Bureau For The Construction of Facilities and The Operation and Maintenance of National Guard Facilities and Activities

transfer a thing of value to the State, local government, or other recipient to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit of the United States.

9. Grants and Cooperative Agreements are distinguished in these two sections by the degree of involvement between the Federal agency and State, local government or other recipient. Where "substantial" involvement is not anticipated, the use of a grant agreement is prescribed; where substantial involvement is anticipated, a cooperative agreement must be used. Grants and Cooperative Agreements are not contracts subject to the FAR. FAR 2.101.

10. The Army or Air National Guard in a state, when not in Federal Service, is an agency of the State, not DOD. The principal purpose of the funds transferred to states under FSAs is to support the state in carrying out a public purpose (the state's construction of its National Guard facilities or the operation of its National Guard). Thus, although some benefit accrues to the United States from FSAs, there purpose is not to acquire property or services for the sole, direct benefit of the United States. Because of the nature of the activities conducted under FSAs, substantial involvement of NGB is required. Therefore, FSAs are cooperative agreements within the meaning of 31 U.S.C. § 6305.

11. A contrary position has been taken by the Department of Defense General Counsel's Office (DOD Counsel). In a memorandum dated April 16, 1987, the Assistant General Counsel (Fiscal and Inspector General) took the position that the funds provided to the states in FSAs were for the purpose of fulfilling "what are ultimately Federal responsibilities." Based on this, the Assistant General Counsel concluded that the FSAs were procurement contracts wherein NGB was acquiring services to fulfill Federal, national responsibilities.

12. The DOD Counsel opinion was provided in response to a request from the DOD Comptroller's Officer asking whether FSAs were "financial assistance" within the meaning of the Single Audit Act, 31 U.S.C. § 7501-7507. This request was generated as a result of inquiries by several states to the Office of Management and Budget beginning in 1985 regarding whether NGB would reimburse states for the costs (which NGB had disallowed) of audits of FSAs performed pursuant to the Single Audit Act and NGB's

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numerous other necessary activities. The increasing importance of funding, has served to exacerbate the problems resulting from the confusion surrounding the legal aspects of FSAs.

4. The issues to be explored in this Memorandum, in turn, as detailed below include: Instrument Type; Applicable Regulations; Cost Issues; Audit; and Disputes Resolution.

TYPE OF INSTRUMENT

5. There is no question that FSAs are an express contract between a state and the Federal Government. The essentials of contract formation, offer, acceptance, and consideration are detailed in an FSA. However, the issue arises whether the legal relationship formed in FSAs between the State and NGB should be defined by a procurement contract or some other instrument.

6. 31 U.S.C., Chapter 63 (31 U.S.C. §§ 6301-6308), Using Procurement Contracts and Grant and Cooperative Agreements, establishes the criteria and prescribes the legal instrument to be used in terms of the purpose of the instrument and the relationship between the executive agency and the other party to the instrument.

7. 31 U.S.C. § 6303 provides for use of a procurement contract when:

(1) the principal purpose of the instrument is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government; or

(2) the agency decides in a specific instance that use of a procurement contract is appropriate.

8. A procurement contract is required to conform to the Federal Acquisition Regulation (FAR), the Defense Acquisition Regulation Supplement (DFARS), the Army Federal Acquisition Regulation Supplement (AFARS), the Air Force Acquisition Regulation (AFFARS), and the various statutes pertaining to direct federal acquisitions contained therein. 31 U.S.C. § 6304, Using Grant Agreements, and 31 U.S.C. § 6305, Using Cooperative Agreements, prescribe use of one of these two instruments when:

(1) the principal purpose of the relationship is to

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purposes of national government and whose services are procured by the Federal Government from the state whenever the Federal sovereign has a need to protect the realm. This analysis is so fundamentally flawed as to require no further comment.

14. The DOD Counsel's conclusion that the use of cooperative agreements is solely limited to circumstances where the Federal Government transfers funds to states to meet local needs is erroneous on its face. Similarly, the assertion of the AAA counsel that "The purpose of federal financial assistance [cooperative agreement] programs is to fulfill social or cultural programs the beneficiaries of which live or reside in the states receiving the funds.", ignores reality. Under this analysis, grant and cooperative agreement programs to achieve national goals in such areas as the environment, research education and housing are illegal. The logical extension of this argument calls into question the legality of DOD's extensive grant programs funding research for weapons development. Both counsel find a unique distinction in the national security purposes underlying the FSAs preventing anything other than a procurement contract relationship between the states and NGB. Granted, national security may be a national purpose and Federal responsibility; however, national security is no different than clean air, interstate highways or a myriad of other activities primarily funded through grants as well as cooperative agreements that are both national in scope and a Federal responsibility. We find that crux of the DOD General Counsel and AAA Counsel arguments to be little more than bootstrap justifications designed to accommodate the NGB's desire in 1986 to avoid paying audit costs. Thus, we conclude that the opinion of the DOD Counsel erred in concluding FSAs were, or should be, procurement contracts.

15. As will be discussed in the context of whether the legislation pertaining to the transfer of funds from NGB to the states permit the use of cooperative agreements, Congress clearly intended something other than a procurement contract relationship between the states and NGB in regard to the construction, operation and maintenance activities of a state National Guard.

16. The Chief, Procurement Fraud Division of the Office of the Army Judge Advocate General (OTJAG) in 1991 opined to the U.S. Department of Justice that FSAs were cooperative agreements. This opinion, specifically involving the issue of the applicability of the Contract Disputes Act to FSAs, analyzed 31 U.S.C., Chapter 63 and determined that FSAs were, in fact, cooperative

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reaction to these questions by developing an argument that would exempt NGB from reimbursing the audit costs. A review of the correspondence from NGB through Army and DOD financial management channels to the DOD Counsel reveals that the total focus is on NGB's desire, for budgetary reasons, that it not be compelled to reimburse these audit costs. The statute and the OMB and DOD Regulations implementing the Single Audit Act (OMB Circular A-128 and DOD Directive 7600.10) require such reimbursement. In this context, the DOD General Counsel conclusion is clearly an example of the proverbial "tail wagging the dog." The DOD Counsel opinion essentially adopts a November 1986 opinion by the counsel for the Army Audit Agency (AAA) that FSAs could not be cooperative agreements or Federal "financial assistance" because of the underlying national security purpose of the FSAs. AAA Counsel goes on to conclude that FSAs are the same as other facilities contracts and must be treated as procurement contracts. The conclusion by the DOD Counsel and the AAA Counsel ignores the Constitutional relationship between NGB and the state National Guards, erroneously limits the purposes for which the Federal Government can enter into grant or cooperative agreements, and fails to address the intent of Congress in the statutory basis on which Federal funds are provided the states for National Guard purposes.

13. The DOD Counsel argues that the activities of National Guard members, in the main, are conducted in their role as elements of the United States Army and Air Force; consequently, in providing funds to the states, the Federal Government is simply acquiring their services. From this he concludes that the "basic nature" of the legal relationship between NGB and the states is FSAs is one of procurement contract not cooperative agreement. This opinion evidences a complete misunderstanding of the Constitutional status of the National Guard. The Militia Clause of the Constitution (Art. 1, Section 8, Clause 16) reserves authority over the militia to the states. Nothing in current law, from the establishment of the dual enlistment concept in 1933, the development of the total force concept, to the Montgomery Amendment cited by the DOD Counsel has changed this basic Constitutional precept. The modern militia, (the National Guard) under the Constitution is still fundamentally a creature of the state or territory under the control and authority of the Governor when it is not in Federal service. Perpich v. Department of Defense, 496 U.S. 334, 110 S.Ct. 2418 (1990) Under the DOD General Counsel's analysis, the men and women of the National Guard are little more than modern day Hessians who are maintained solely for the

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other than procurement contracts to fund the construction and O&M activities of the states and that use of a cooperative agreement as the legal instrument for those activities is appropriate.

APPLICABLE REGULATIONS

19. Having determined that use of FSAs for funding construction and O&M activities is appropriate, it is necessary to ascertain what regulations apply to FSAs in regard to their terms and conditions. Since the FSA, as a cooperative agreement, is a grant-type instrument, it must conform to the requirements of OMB Circular A-102, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (Rule), 32 CFR, Part 33. It should be noted that a revised Rule is being circulated for agency comment by the Office of Management and Budget prior to publication in the Federal Register; a review of the proposed revised Rule indicates that there are no substantive changes from the existing Rule relative to the issues of its applicability or other issues relevant to the issues concerning FSAs dealt with in this Memorandum. Section references infra., except as specifically indicated, are to 32 CFR part 33.

20. § 33.4 makes Part 33 applicable to all DOD grants and subgrants to states. The definition of grant in § 33.3 includes cooperative agreements. Thus, it is clear that FSAs must conform to the requirements of Part 33 and other applicable statutes and regulations incorporated into the Part.

21. Because of the unique nature and purpose of FSAs, certain aspects of the Rule are inconsistent with the efficient administration of FSAs and the accomplishment of the purposes for which they are entered into by NGB and states. Consequently, certain deviations from, and additions to, the Rule are necessary for FSAs. These deviations and additions will have to be accomplished pursuant to § 33.6. It should be noted that, pursuant to § 33.6(a) any additions to the Rule applicable to FSAs would require a formal rulemaking.

COST ISSUES

22. Under § 33.22, the provisions of OMB Circular A-87, Cost Principles for State and Local Governments, are applicable to FSAs. Thus, the allowability of costs to be reimbursed under FSAs will be determined in accordance with OMB Circular A-87.

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agreements whose principal purpose was to transfer money to a state to accomplish a public purpose. The 1991 opinion echoes an earlier opinion of the Assistant Judge Advocate General for Civil Law finding that FSAs were cooperative agreements.

17. In interpreting 31 U.S.C., Chapter 63, the Comptroller General (Comp. Gen.) has indicated that a Federal agency may use a cooperative agreement (when such use is appropriate under the statute) only if the program legislation supported by the cooperative agreement contains grant or assistance language. This interpretation is grounded in the well settled rule that an executive agency has inherent authority to enter into Procurement contracts; however, the utilization of any other type of contractual relationship requires the express authorization of Congress. 65 Comp. Gen. 605 (1986); "Agencies Need Better Guidance for Choosing Among Contracts, Grants and Cooperative Agreements", Report of the Comptroller General, GGD-81-88, September 4, 1981. As noted previously, NGB uses FSAs funding construction and operation and maintenance activities. Basic authority for NGB construction is found in 10 U.S.C., Chapter 123. This statute expressly provides for NGB's contribution of funds to states for construction. Thus, there is no question that the requisite statutory authority for utilizing a legal instrument reflecting an assistance relationship exists for NGB's construction FSAs. Similar authority for the use of a contractual relationship other than a procurement contract for NGB O&M FSAs is found in 32 U.S.C. §§ 106 and 107. These statutory provisions provide for the appropriation of funds for the support (emphasis added) of the National Guard and they provide for the Secretary concerned to "apportion" these appropriations among the states for the expenses of the National Guard. This language, in conjunction with the legislative history of the sections and the predecessor statutes, dating back to 1916, clearly indicates that Congress is authorizing use of some relationship other than a procurement contract to fund the O&M activities of the National Guard. This Congressional intention is further reinforced by the language of 32 U.S.C. § 108 which permits the President to bar a state from receiving money or aid if its National Guard fails to comply with a regulation. If NGB was restricted solely to funding O&M activities within a state with a procurement contract such language would be unnecessary since funds could be withheld for the breach of such contract under the inherent authority of an executive agency to enforce its contracts.

18. Thus, it is clear that there is authority for NGB to utilize

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Property Fiscal Officer in a state primarily responsible for maintaining records of expenditures and payments under FSAs. DOD Directive 7600.10 clearly places primary audit responsibility for FSAs with the DOD IG. The DOD IG has the responsibility of coordinating requests for audit of state and local governments, the responsibility to monitor state auditing of cooperative agreements under the Single Audit Act to insure that the statutory purpose of the avoidance of duplicative auditing is achieved. Under 32 CFR Parts 33 and 36 the states are primarily responsible for maintaining the necessary records supporting reimbursement and for insuring that regular and appropriate audit of those records is performed. This responsibility must be set forth in clear terms in NGB's regulations pertaining to FSAs.

DISPUTES RESOLUTION

27. Since an FSA is not a procurement contract, appeals of NGB decisions denying claims under FSAs are not subject to the Contract Disputes Act. In addition there is nothing in Armed Services Board of Contract Appeals (ASBCA) Charter nor any other agreement that provides for ASBCA to adjudicate disputes under FSAs. Thus, the ASBCA has no jurisdiction or claims relating to FSAs.

28. 32 CFR § 33.43(b) provides that an agency will provide a grantee the opportunity for hearing and appeal as may be provided by applicable statute and regulation. There is no such statute or regulation applicable to DOD. However, the recently enacted Administrative Dispute Resolution Act, 5 U.S.C. §§ 581-592, along with recent Executive Orders and other policy directives, provides authority to establish some dispute resolution mechanism for FSAs. The proposed provisions in NGB FSAs providing for an appeal and informal review or hearing through the Chief, NGB are consistent with the requirements of law. However, any DOD implementation of the Administrative Dispute Resolution Act or other directive will be adhered to. It should also be noted that, since cooperative agreements are express contracts with the United States, the United States Claims Court would have jurisdiction over any claim brought to formal litigation by a state.

CONCLUSION

29. FSAs are cooperative agreements subject to conforming to the requirements of 32 CFR Part 33. Consequently, it is necessary that FSA formats be revised to meet those requirements. Addi-

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23. However, NGB has traditionally excluded reimbursement for indirect costs in FSAs. Such costs are normally allowable under OMB Circular A-87. NGB's practice of not reimbursing indirect costs was called into question, after inquiry from several states, by OMB in 1979 and 1980. Consequently, NGB, in its FY 80 budget request, identified a specific line item for funds to reimburse the states' indirect costs. This line item was specifically deleted in the FY 80 appropriation for operation and maintenance by both the House and Senate Appropriations Committees and both committee reports specifically directed that appropriated funds were not to be used for reimbursement of direct costs under FSAs. See H.R. Rep. No 450, 96th Congress, 1st Sess. (1979) and S. Rep. No. 393, 96th Congress, 1st Sess. (1979). Because of this specific disapproval, NGB has no authority to expend appropriated funds for indirect costs under FSAs. The Assistant Judge Advocate General for Civil Law has also expressed the same opinion with regard to NGB's reimbursement of indirect costs.

24. It would be appropriate, as part of NGB's additions to 32 CFR. Part 33, to include a provision in § 33.22 that indirect costs are unallowable.

AUDIT ISSUES

25. As noted previously, DOD has exempted, by regulation (32 CFR, Part 266, DOD Directive 7600.10, 12 FEB 88), FSAs from the Single Audit Act by defining the term "Federal Financial Assistance" to exclude funds paid to states under NGB Facilities Operation and Maintenance agreements. As has been discussed, FSAs are grant instruments; consequently, funds provided thereunder, are, by definition, assistance. Thus, in our view, the regulation is incorrect as a matter of law. The Single Audit Act, 31 U.S.C., Chapter 75, defines the term "Federal Financial Assistance" to include funds provided to a state government under cooperative agreements. Since FSAs are cooperative agreements, the Act applies.

26. It appears to be unclear, within the DOD audit community as to which audit agency has primary audit responsibility for FSAs. In the past, audits of FSAs, usually on an ad hoc basis, have been performed by DCAA and AAA. Moreover, there has been historical confusion within NGB as to the states' record keeping and audit responsibilities under FSA. To a large degree, FSAs have been viewed as a Federal responsibility with the United States

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tions and exceptions to 32 CFR Part 33 need to be obtained in recognition of the unique nature and purpose of FSAs. Moreover, NGB regulations pertaining to both O&M and Construction FSAs must be revised to recognize the applicable statutory and requirements and to provide for their appropriate administration (including audit) in light of those statutes and regulations.

Brad Farber

BRAD FARBER

COL, JA

Bureau Judge Advocate

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Minnesota. Office of the
Governor.
Proposed biennial budget

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