

Aquatic Habitat Grants Program Financial and Procedures Manual



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Minnesota Department of Natural Resources
Division of Fish and Wildlife

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PREFACE

The Minnesota Department of Natural Resources (under Minn. Stat. ' 97A.045) is empowered to do all things necessary to preserve, protect and propagate desirable species of animals and fish. One way to accomplish this was to establish an Aquatic Plant Restoration Program (under Minn. Stat. ' 84.975 subd. 4).

During the 1998 legislative session, the Minnesota Department of Natural Resources (MNDNR) Division of Fish and Wildlife received as part of their base budget, money for activities related to aquatic plant restoration. The Fish and Wildlife Division of the Minnesota Department of Natural Resources (DNR) is the lead agency for the Minnesota Aquatic Habitat (AH) Grants Program. As part of this program, the State will work with partners and cooperators to restore shoreline habitat in ways that demonstrate good shoreland stewardship.

This Financial Management and Procedures Manual has been prepared to assist grant recipients in administering Minnesota AH grant projects. Please carefully read all the information in this manual. This document is based on federal and state laws and regulations. It is also based on the policies and procedures of the Department of Natural Resources and the U.S. Fish & Wildlife Service Division of Federal Aid. These laws, regulations, policies and procedures control the award and administration of AH grants.

This manual does not address all issues and potential concerns that may arise during the completion of a AH project. Please do not hesitate to contact AH Program coordination staff (John Hiebert at 651-259-5212) in DNR's Fish and Wildlife Division for any technical assistance needed.

Payment Schedule

The State will promptly pay the Grantee after the Grantee completes the specified requirements for each deliverable listed in Attachment 1 of the signed and fully authorized grant contract and the State's Authorized Representative has reviewed and approved the request for payment. Each payment request must include invoices including copies of time sheets signed by employees or volunteers indicating the dates and times (hrs) spent working on this project, and copies of paid invoices for other expenses associated with this project for the deliverable being paid. Final payment request must be submitted, on or before June 15, of the year the grant ends.

A copy of the original grant application will be included in the grant agreement as Attachment 2. To obtain the total grant amount approved for a project, the grantee must document actual approved project expenditures totaling that amount. No federal funds are to be used as match in this program. A payment schedule will be developed for each grant upon approval.

PREAPPROVAL NEEDED FOR ALL CHANGES TO THE PROJECT

The payment for your project will be based on the grant agreement which is a formal contract with the MNDNR and contains the project description and cost breakdowns. Any changes to any component of the project description, approved project plan or to the cost breakdown must be submitted to and approved by AH program staff, prior to incurring any expenses related to the proposed change. Failure to notify DNR AH program staff prior to initiating a change in the project could jeopardize receipt of the funds approved for the project.

Plant Material Standards for Native Plant Community Restoration

The AH Program has adopted the Minnesota Department of Natural Resources (DNR) Operation Order 124 as its guidance document relative to the source of plant material standards for AH projects. These standards for native plant materials are needed to ensure long-term plant fitness as well as safeguard the germplasm found in existing, high quality native plant communities. They will also help ensure resilient and healthy native plant community restorations under current and future environmental conditions.

Framework For Selecting Native Species to Use in an AH Project

All plant species used in an AH project must be native to the county that the project is occurring in. Final decision on whether a species can be included in a project and on the final project plant list will be determined by the authorized representative of AH Coordinator prior to the project starting. No cultivars of native plants will be allowed in AH project.

For a list of native plants that could be used in your AH project please go to the Restore Your Shore Program Website and select the Native Plant Encyclopedia Tool and appropriate county on the link below:

<https://webapps8.dnr.state.mn.us/restoreyourshore>

Framework for Selecting Plant Material Sources

Plant materials will be obtained following the sequence below. This will protect the genetic fitness and resilience of native plant species while recognizing the practical aspects of plant material availability geographically. The guiding principle is that plant materials that naturally originated as close to the restoration/reconstruction site as possible and under similar site conditions, will be the most adapted to the local area. The Seed Collection and Deployment Zone map referenced below is found in the Appendix on page 33 at the end of this document.

Procurement Sequence

For each species to be used in the restoration/reconstruction project, follow the sequence below. If the species cannot be obtained within the areas identified in the first step, move to the second, then third, etc. until the species can be obtained or the last step is reached.

1. Purchase/collect plant materials whose origin is from areas with similar site conditions that are within or immediately adjacent to the restoration or reconstruction site.
2. Purchase/collect plant materials whose origin is from areas with similar site conditions and within the same Seed Zone.
3. Purchase/collect plant materials whose origin is from areas with similar site conditions in an adjacent Seed Zone.

4. Purchase/collect plant materials whose origin is from areas with similar site conditions in a Seed Zone that adjoins one of the adjacent Seed Zones.
5. Substitute another species with similar attributes when seed/plant material cannot be found.

NOTE: It is important to recognize that boundaries of the Seed Collection and Deployment Zones **are not walls which cannot be crossed**. If a restoration/reconstruction area is near one of these boundaries an appropriate choice for restoration materials may be just across the boundary in an adjacent seed zone. This source of materials may actually be more desirable than a more distant source of plant materials from within the same seed zone

The Minnesota DNR Seed Collection and Deployment Zones are derived from subsections delineated in Minnesota's Ecological Classification System (ECS), and then snapped to the nearest county boundary for operational use. The ECS subsections are based on a number of environmental variables, including climate, geology, topography, soils, and hydrology. These same variables are known to be the drivers of plant adaption. The existing Division of Forestry Seed Zones were also used as a basis for delineating seed zones, particularly in the northeast section of the state.

Insurance Requirements for Working on State Lands

For all projects grantees are required to carry insurance that meets or exceeds the requirements of the landowner whose land they will be working on. Grantees should discuss insurance with the landowner/land manager during their pre-project meeting and follow their requirements.

Insurance requirements for working on **State Lands** are listed below. Proof of insurance will be required prior to a grant being encumbered. The cost of insurance is eligible to be used as match but grant funds may not be used to pay for insurance. Applicants should investigate the cost of insurance before submitting an application. Insurance costs must be directly related to the project. For example, an organization carries insurance for a fishing tournament and needs to add a rider to cover grant-funded upland/aquatic enhancement work. Only the rider for the upland enhancement work may be used as match for the grant; the cost of insurance for the fishing tournament does not apply to the upland work.

1. General Insurance Requirements

- a) The grantee must submit a copy of the Certificate of Insurance to the Grant Program Staff before the grant agreement is executed. The industry standard Accord form is the typical Certificate of Insurance provided.
- b) All policies and certificates shall provide that the policies shall remain in force and effect throughout the term of the service being provided.
- c) Policy shall provide the state of Minnesota with thirty (30) days advance written notice of cancellation.
- d) The policy(ies) shall be primary insurance available to the state of Minnesota with respect to any claim arising out of providing service to the State.

- e) The state of Minnesota must be endorsed as an additional insured on the general liability coverage.
- f) It is strongly recommended that all contractors meet the same insurance requirements as the grantee. Contractors must file evidence of insurance with the grantee.
- g) If Grantee is self-insured, a Certificate of Self-Insurance must be attached.
- h) The Insurance Companies must have an “AM Best” rating of A- (minus), Financial Size Category (FSC) VII or better, and be authorized to do business in the state of Minnesota.
- i) The Grantee’s insurance company waives its right to assert the immunity of the State as a defense to any claims made under said insurance.

The grantee shall maintain insurance to cover claims, which may arise from operations under this contract, whether such operations are by grantee or contractor or by anyone directly or indirectly employed under the grant.

An Umbrella or Excess Liability insurance policy may be used to supplement the grantee’s policy limit to satisfy the full policy limits required by the contract.

2. Workers’ Compensation Insurance

- a) Statutory Compensation Coverage
 - a. Coverage B – Employer’s Liability with limits of not less than:
 - i. \$100,000 Bodily Injury by Disease per Employee
 - ii. \$500,000 Bodily Injury by Disease Aggregate
 - iii. \$100,000 Bodily Injury by Accident

The grantee and subcontractors, if any, must provide Workers’ Compensation insurance for all employees in accordance with the statutory requirements of the state of Minnesota, including Coverage B, Employer’s Liability.

If MN Statutes 176.041 exempts Grantee from Workers’ Compensation insurance or if the Grantee has no employees in the State of Minnesota, Grantee must provide a written statement, signed by the authorized signer of the contract, stating the qualifying exemption that excludes Grantee from MN Workers’ Compensation requirements.

The statement must also include the following clause: If during the course of the contract the Grantee becomes eligible for Workers’ Compensation, the Grantee will comply with the Workers’ Compensation Insurance requirements and provide the State of Minnesota with a certificate of insurance.

3. Automobile Liability Insurance - Minimum Limits of Liability:

- a) Passenger vehicle such as car, van or pickup truck: Minnesota State No-fault
- b) If vehicle is towing anything or is a commercial vehicle, the combined single limit shall be the same as required under the General Liability Insurance, below
- c) Coverage required:
 - a. Any Auto
 - b. All Owned Auto

- c. Scheduled Auto
 - d. Hired Auto
 - e. Non-owned Auto
- d) The grantee and any contractors shall maintain insurance to cover liability arising out of the operations, use, or maintenance of all owned, non-owned and hired automobiles. Evidence of contractor insurance shall be filed with the grantee.

4. Pollution Insurance

- a) Required Automobile Insurance when hauling hazardous substances, materials or pollutants:
- a. The following endorsement to the Vendor's/Contractor's Auto policy is required to cover liabilities, i.e., clean up monitoring, testing, stemming from pollutant discharge, release, spills, while being transported if an accident occurs:
 - i. CA 9948 – Pollution Liability – Broadened Coverage Endorsement (or equivalent), and
 - ii. MCS 90 Endorsement (based on commodity transported and the type of vehicle transporting it):
 - 1. For-hire (in Interstate or foreign commerce) with a gross vehicle weight rating of 10,000 or more pounds – Commodity Transported – Property (nonhazardous)
 - 2. For-hire and private (in Interstate, foreign, or intrastate commerce) with a gross vehicle weight rating of 10,000 or more pounds – Commodity Transported – Hazardous substances, as defined in 49 CFR 171.8, transported in cargo tanks, portable tanks or hopper-type vehicles with capacities in excess of 3,500 water gallons or in bulk.
 - 3. For-hire and private (in Interstate or foreign commerce, in any quantity; or in Intrastate commerce) with a gross vehicle weight rating of 10,000 or more pounds – Commodity Transported – Oil listed in 49 CFR 172.101; hazardous waste, hazardous materials and substances defined in 49 CFR 171.8 and listed in 49 CFR 172.101.
 - 4. For-hire and private (in Interstate or foreign commerce, in any quantity) with a gross vehicle weight rating of less than 10,000 pounds – Commodity Transported – Any quantity of Division 1.1, 1.2, or 1.3 material, any quantity of a Division 2.3, Hazard A, or Division 6.1, Packing Group 1, Hazard A material; or highway route controlled quantities of a Class 7 material as defined in 49 CFR 173.403.
- b) Full Pollution Insurance required for the following:
- a. Aerial applications of pesticides - if a vehicle is required to carry pesticides to the airplane, they will need additional automobile endorsement: CA 9948 Endorsement – Pollution Liability – Broadened coverage

- b. Old Riverboat at Itasca due to potential risk if vessel were to sink.
- c) Upon pre-approval from AH grant staff, \$500,000 Pollution Insurance may be acceptable for the following: Broadcast ground spraying of pesticides with the use of a:
 - a. Skidder
 - b. Tractor
 - c. Dozer
 - d. ATV
- d) Upon pre-approval from AH staff, Pollution Insurance may be waived for the following:
 - a. pesticide cut-stump applications
 - b. ground spot spraying
 - c. spraying individual plants
 - d. backpack spraying
 - e. spraying of animal browse repellents: Animal browse repellents are considered by MN Dept of Agriculture as a pesticide but most use non-chemical means of repelling with application on individual plants.

5. General Liability Insurance: Minimum Limits of Liability:

- a) \$1,500,000 - Per Occurrence
- b) \$1,500,000 - Annual Aggregate
- c) Coverages required:
 - a. Premises and Operations Bodily Injury and Property Damage
 - b. Personal & Advertising Injury
 - c. Blanket Contractual
 - d. Products and Completed Operations
 - e. State of Minnesota and its agencies, officers, and employees (State) endorsed as an Additional Insured
 - f. Other (Note: please list, i.e., pollution liability, water or aircraft, chemical liability)
 - g. Aircraft liability limits - \$1,500,000 single limit for each occurrence for bodily injury and property damage combined and \$100,000 single limit for each occurrence for aircraft passenger liability.
- d) Contractor's Pollution Liability (or equivalent) Pollution Liability coverage endorsed on another form of liability coverage, such as general liability or professional errors and omissions policy. Required for any project with herbicide application/chemical treatment
 - a. Pollution Insurance **minimum** amounts are as follows
 - i. \$2,000,000 per Claim
 - ii. \$2,000,000 Annual Aggregate
 - b. The following coverage shall be included:
 - i. Policy will include non-owned disposal site Pollution Liability.
 - ii. Policy will not include a lead exclusion.

It is a requirement of the State that coverage for the period of the Contract will be maintained for a period of no less than three (3) years for claims-made coverage or (1) year for occurrence coverage, after the expiration of the Contract.

Name the State, its officers and employees, and CPV members, their officers and employees, as additional insureds with respect to services provided, except with respect to an equivalent (to Contractor's pollution) pollution liability coverage **endorsed on a professional errors and omissions policy** as approved by the State.

6. Insurance May Be Modified Under the Following Conditions

- a) Government Agencies and Utility Companies: Insurance may be waived on all contractual services performed by government agencies and utility companies provided the following clause is included on all contracts over \$500. "Each party agrees that it will be responsible for its own acts and omissions and the results thereof to the extent authorized by law and will not be responsible for the acts of the other party and results thereof. The State's liability will be governed by the provisions of the Minnesota Tort Claims Act, Minnesota Statutes, Section 3.736, and other applicable law."
- b) Other Modifications
 - a. Work involving only hand or small power equipment
 - i. Insurance Required: Workers' Compensation and minimum state no-fault auto insurance
 - ii. This includes projects that are labor intensive with no equipment involved except transportation of crews or hand equipment
 - iii. Possible activities: Site cleanup, seed harvest, hand planting of trees, shrubs or other plants, hand timber stand work, bud capping, hand herbicide application
 - iv. Beaver trapping
 - b. Remote area work
 - i. Remote area defined: areas where public contact is unlikely, no generally traveled public roads are adjacent to the area, and no recreation area or area where members of the public would be is adjacent to the area; the State Land Manager must confirm that the project site and/or timing of the work qualify it as a remote area
 - ii. Insurance Required: Workers' Compensation and minimum state no-fault auto insurance
 - iii. Possible activities: farming operation work such as mowing, plowing, shearing, disking, and mechanical tree planting

GRANT ACCOUNTING AND RECORD RETENTION

INTRODUCTION

The purpose of this manual is to provide direction for the proper administration and accounting needed for a AH Program project. Administrative requirements for activities funded through the grant are guided by two basic principles:

- In kind or costs incurred prior to the formal approval date of the grant agreement are not grant eligible.
- The in-kind share of the project may consist of cash, labor, materials and equipment and/or volunteer labor, material donations or donated equipment use. Donated costs must be necessary for the completion of the project (i.e. would have been purchased if not donated), cannot be from a federal source or have been used to match other federal grants, must be applicable to the time period of the grant, must be an allowable cost and must be necessary and reasonable for the accomplishment of project objectives

This section of the manual includes the following sections:

- Introduction
- Overview
- Grant Payments
 - Eligible Costs
 - Non-Eligible Costs
- Purchased Materials and Services
- In-Kind Contributions
- Project Summary Sheet and Payment Request Form
- Project Cost Documentation Checklist

These items complete all the materials a grantee will need to properly document and request payment for their project.

OVERVIEW

The grantee is responsible for maintaining fiscal controls and fund accounting procedures that are based on generally accepted accounting standards and principles.

The following minimum requirements must be met:

- 1) Establishment of accounts and supporting documents for their project.
- 2) Itemization of all supporting records of project expenditures in sufficient detail to show the exact nature of the expenditures.
- 3) Cross-referencing of the expenditures with the supporting purchase order, contract voucher, invoice, receipt etc. These supporting documents should contain the signature of the individuals authorized to approve such expenditures (DNR authorized representative and the Grantee).
- 4) When volunteers donate labor, the dates and hours worked must be recorded individually as well as a description of what was done and how the volunteer labor fits into the project description. DNR AH program administrators must approve the “hourly rate” used to

value volunteer labor, but typically it is based on what the cost would be to hire someone to complete the volunteer labor referenced in the in-kind document.

- 5) Records for grantee-owned equipment used on a project should include the time actually used for the project and the computation used to arrive at the charged use rate.
- 6) When payment of project expenditures are by warrant checks, the warrant check should be properly identified with the project item and number written on the check.
- 7) Establishment of adequate internal systems of financial control following generally accepted accounting and auditing principles.
- 8) All records related to your grant must be retained for a minimum of 3 years following the final payment on or your project.

Grant Payments

1. ELIGIBLE COSTS

- a. ***Compensation.*** The Grantee will be paid according to the breakdown of costs contained in the appropriate attachments of the grant contract. Only costs specified in this attachment as being eligible for payment can be funded. The grantees will contribute cash well as in-kind costs, to fulfill the 25% match requirement.
- b. ***Total Obligation.*** The total obligation of the State for all compensation to the Grantee under this grant contract will not exceed the total listed on the grant contract unless amended and approved by all signatories on the grant agreement.
- c. ***Items Eligible for Reimbursement.*** The AH PROGRAM will reimburse items listed in Attachment 1 of the grant agreement. Typical eligible expenses include: the cost of native Minnesota plants and seeds, temporary biodegradable wave breaks, erosion control and installation materials, aquatic formulations of herbicides to control exotic or noxious weed species, natural mulch, temporary fences or structures for control of nuisance animals, tools and equipment specific to the completion of this project, temporary labor to assist in installing project, approved educational signs for the site and limited excavation of existing materials in the project site. Any items not listed above must be pre-approved and specifically stated within the budget section (Attachments 1 and 2) of the grant agreement.

2. NON-ELIGIBLE COSTS

Non-eligible costs for payment mean all costs not defined as eligible costs, including but not limited to the following:

- a) Any costs incurred before the grant is fully implemented and signed;
- b) Fund raising;
- c) Taxes, except sales tax on goods and services;
- d) Insurance, except title insurance;
- e) Attorney fees;
- f) Loans, grants, or subsidies to persons or entities for development;

- g) Bad debts, late payments fees, finance charges or contingency funds;
- h) Interest
- i) Lobbyists;
- j) Political contributions;
- k) Investment management fees;
- l) Memberships – (including subscriptions and dues);
- m) Indirect costs – (such as office maintenance, office utility costs, refreshments for staff, decorations);
- n) Directors or officers salary unless expressly approved in the grant agreement, together with a plan of activities and actual work products;
- o) Office rental fees – (including storage space rental);
- p) Food and refreshments, unless expressly approved in the grant agreement together with a plan of activities.
- q) Publications and periodicals;
- r) Merit awards and bonuses;
- s) Employee worksite parking;
- t) Entertainment;
- u) Gifts and prizes;
- v) Any items not specifically listed in Attachment 1 or 2 of the grant document.

PURCHASED MATERIALS AND SERVICES

Materials and services purchased by the grantee must be included in the Budget Section of the grant agreement to be eligible for payment as project expenditures. Invoices and copies of credit cards receipts, personal or warrant checks must be included with the cost documentation to provide evidence of eligible expenditures.

1. **Invoices**: When the grantee purchases materials/services, an invoice must be obtained from the vendor to provide evidence of the sale. The invoice must be legible and include the following items:
 - Name and address of the vendor;
 - Quantity of item(s) purchased;
 - Description of item(s) purchased;
 - Unit price;
 - Total amount of each line item.

Please note that there are two instances that will require special attention. First, if the grantee has an invoice that contains some materials/services that are to be included for reimbursement and some materials services that will not be included for reimbursement. In this case, highlight on the invoice(s) only those items that are being charged against the project. Second, vendor statements are acceptable as cost documentation only in those instances when an invoice cannot be obtained from the vendor. Some vendors, as a matter of practice, do not use invoices. In such an instance, simply identify on the vendor's statement the actual items that are related to the project. Enter the total amount of the project related purchases from each invoice (or statement) on the Project Summary Sheet.

2. Warrant or Personal Checks and Credit Card Receipts

A photocopy of your credit card receipt, warrant or personal check must be attached to each vendor invoice to provide evidence that the purchase(s) were actually paid for by the grantee. In cases where a credit card or a single warrant or personal check was used to pay several invoices, simply attach all of the associated invoices to the check or receipt.

In Kind Contributions and Forms

In-Kind Contributions

In-kind expenses are necessary to provide the required 25% match component of the AH program grant. There are four basic types of in-kind expenses:

- Cash payment of an approved expenditure for the project
- Grantee and volunteer labor
- Grantee equipment usage
- Grantee purchases of equipment, materials and supplies for project.

All in-kind labor, equipment and materials expenditures must be thoroughly documented and directly related to the completion of the project. Any additional in-kind expenditure that is not referenced in this financial manual must be pre-approved by all parties and amended to the grant agreement prior to the expenditure occurring.

Cash payments - Donated costs must be necessary for the completion of the project (i.e. would have been purchased if not donated), cannot be from a federal source or have been used to match other federal grants, must be applicable to the time period of the grant, must be an allowable cost and must be necessary and reasonable for the accomplishment of project objectives.

The following forms are provided, as part of this manual, for use in properly documenting in-kind labor, equipment and materials. These forms should be submitted with the final payment request.

1. Volunteer Labor Worksheet - The Volunteer Labor Worksheet is used to document the volunteer hours of each person. One sheet must be completed for each volunteer. The DNR AH program administrators must approve the "hourly rate" used to value volunteer labor. Typically this rate is based on what it would cost to hire someone to do the given task. The project grantee must retain copies of these volunteer time sheets that adequately record the type of work performed on the project.
2. Volunteer Labor Summary - The Volunteer Labor is used to summarize the individual volunteer labor worksheets to documents the total hours of all volunteers on the project and the total amount of labor to be claimed to help meet the 25% in-kind portion of the grant agreement.

3. Grantee Equipment Usage form - The Grantee Equipment Usage form should list all personal and rental equipment used for your project that will be used as in-kind. It must identify the date used, hourly rate of the equipment, total hours/miles, total amount and description of the work performed. Please show the total at the bottom of each form. For Grantee owned equipment, the hourly use rate must be comparable to the cost for renting a similar piece of equipment. DNR AH program administrators must approve the “hourly rate” used to value personal equipment usage and should be similar to what it would cost to rent this equipment.
4. Grantee Purchased Materials and Supplies form - The Purchased Materials and Supplies form allows you to document materials purchased or donated for your project to be used as in-kind. Please note that the cost of the materials taken from existing grantee stock should be equivalent to the prevailing cost of similar goods purchased from local vendors in your community.

Payment Request Form and Project Summary Sheet

1. Grant Expenditure Labor Worksheet - Must be submitted with payment request form along with copies of associated timesheets.
2. Grant Expenditure Final Labor Summary – Must be submitted with the final payment request form.
3. Payment Request Form - Must be submitted with each payment request.
4. Final Project Summary Sheet for Grant Expenditures – This form must be submitted with the final payment request form. This form documents all of the payable expenses incurred for your project. Please list all of the invoices with the required information on the form. The summary sheet, when completed, should total all of the expenses related to your project that you are requesting payment for under the terms of the grant agreement.

Project Cost Documentation Checklist

The checklist contains all of the items that must be included with each payment request. Please use the checklist to ensure that your payment request is complete.

For on-going payment requests

- _____ 1 copy of the Payment Request Form
- _____ 1 copy of each invoice for all labor/materials/services purchased for this request
- _____ 1 copy of each check or credit card receipt showing payment of invoice

For final payment request include the following forms: In addition, all necessary in-kind forms must also be submitted (see following two sections).

- _____ 1 copy of each invoice for all materials/services for this request
- _____ 1 copy of each check or credit card receipt
- _____ 1 copy of the Payment Request Form
- _____ 1 copy of the Final Project Summary Sheet for Grant Expenditures

For all materials/services purchased to be used as a cash portion of the in-kind match, the grantee must submit the following:

- _____ 1 copy of each invoice for all materials/services purchased
- _____ 1 copy of each check or credit card receipt for all materials/services provided

If donated/volunteer labor or materials/services were used to complete a project, the grantee must submit the following:

- _____ 1 copy of the Donated Labor Summary Form
- _____ 1 copy of each of the Volunteer Labor worksheet(s)
- _____ 1 copy of Project Summary Sheet of In-kind Expenses
- _____ 1 copy of Grantee Equipment Usage Form for In-kind consideration
- _____ 1 copy of Grantee Material Usage Form for In-kind consideration

In-Kind Forms and Worksheets

Volunteer Labor Worksheet for In-Kind Consideration

Worker's Name _____ Project Name _____

Grantee _____

Date	Description of Work Performed	Hours	Rate	Total
	Total Value			\$

I certify that the services covered by this claim have been preformed and that this claim is just and correct.

Signature of Volunteer

Signature of Grantee

Volunteer Labor Summary for In-Kind Submission

Grantee: _____ Project Name: _____

Name	Hours	Rate	Benefits	Total
Total Value				\$

I certify that the services covered by this claim have been preformed and that this claim is just and correct.

Grantee Signature: _____ Date: _____

Grantee Equipment Usage Form for In Kind Consideration

Grantee: _____ Project Name: _____

Date	Equipment Used	Cash or In-Kind contribution	Type of Work Performed	Rate	Total Hrs/Miles	Total Amount
					Total	\$

I certify that the services covered by this claim have been preformed and that this claim is just and correct.

Grantee Signature: _____ Date: _____

Grantee Materials Used for In-Kind Submission

Grantee: _____ Project Name: _____

Date	Material Used	Description of Use	Cash or In-kind Contribution	Quantity	Price	Amount
					Total	\$

I certify that the services covered by this claim have been preformed and that this claim is just and correct.

Grantee Signature: _____ Date: _____

Project Summary Sheet for In-Kind Expenses

Grantee: _____ Project Number: _____ Project Name: _____ Total Grant Amount: _____ Final Amount Reimbursed: _____ Required Amount of in-kind (25% of Final Reimbursement Total) : _____	
Total Volunteer Labor \$	
Total Donated Materials \$	
Total Donated Equipment \$	
Total In-Kind \$	
Required Match \$	
Total In-Kind less Required Match (must be positive) \$	

**Payment Request Forms and Summary
Sheets**

Grant Expenditure Labor Worksheet

Worker's Name _____ Project Name _____

Grantee _____

Date	Description of Work Performed	Hours	Rate	Total
	Total Value			\$

I certify that the services covered by this claim have been preformed and that this claim is just and correct.

Signature of Volunteer

Signature of Grantee

Grant Expenditure Final Labor Summary

Grantee: _____ Project Name: _____

Name	Hours	Rate	Benefits	Total
Total Value				\$

I certify that the services covered by this claim have been preformed and that this claim is just and correct.

Grantee Signature: _____ Date: _____

Aquatic Habitat Grants Program
Payment Request Form

Project Number:	Grantee:	Project Name:
Deliverable Number _____ Amount of Request \$ _____		Address for Payment: I certify that I am the individual authorized to request funds and that all costs reported are in accordance with the grant agreement. <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Signature Date <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Name Title Phone Number: _____
Remarks:		

For Department Use Only

I certify that the goods and/or materials covered by this claim have been inspected and received or the services have been preformed and are in accordance with the grant agreement, and payment therefore is recommended. Payment approved in the amount of \$ _____ By _____ DNR Authorized Representative Date _____	I approve the reimbursement of this request in the amount of \$ _____ By _____ MNDNR Aquatic Habitat Program Consultant Date _____
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Final Project Summary for Grant Expenditures

Grantee: _____ Project Number: _____

Project Name: _____

Contractor/ Vendor	Description of Work	Invoice #	Amount	Check #	Date	State Use Only
Total			\$			\$

Appendix

Attachment: Grantees Responsibilities and Schedule of Payment

(xx/xx/xxxx-xx/xx/xxxx):

Work to be conducted by _____ (Grantee) or its authorized representative. The State's Authorized (DNR) Representative for this project is _____ or his/her appointed successor.

Maximum amount of grant to be awarded: \$ _____

A total of up to X projects and X workshops will be completed with the grant dollars specified. Dispersal of funds will be based on the information contained in Payment Schedule of this grant document.

Projects on private properties require that at least 75% of the frontage restored with an adjacent native plant buffer zone that is at least 25 ft deep/wide. The focus of these restoration projects must be on reestablishing native vegetation. Funds cannot be used for rock riprap stabilization or permanent wave breaks.

Funds can be used for materials needed to reestablish native vegetation along shorelines. This may include: native trees, shrubs, plants and seeds; temporary biodegradable toe protection and erosion control fabric, mulch; herbicide to treat invasive species; controlled burns to prep or maintain the restoration site, labor to design, install and maintain the restoration project, temporary biodegradable wave breaks and fencing to keep out foot traffic or herbivores (geese/muskrats) from the site.

Projects should not destroy existing, desirable habitat or native vegetation. Only local, native species may be included within the project area. No exotic species or nursery-derived cultivars of natives may be used. Plants included in the project should be native to the county and grow in natural, reference sites along the lake or similar nearby ecosystems.

Preference will be given to projects that include restoring woody vegetation (native shrubs and trees) and aquatic plants in the project vision, but these plants should be known to have grown (or currently grow) within the project area or along undeveloped reference shorelines. There should also be a strong likelihood of aquatic plants surviving without major modifications to the shoreline, to have them included in the plan.

If projects are implemented in a manner different from the approved plan, without prior approval for the changes by the DNR Authorized Representative AH program Consultant or their appointed successors, the entire grant may be terminated and no future payments made.

Payment Schedule:

Deliverable One: The grantee or his/her authorized representative will provide on-site inspection and site specific technical expertise for up to X site plans and their associated budget to restore native vegetation on _____ Lake(s)/River(s), _____ County. The site plan consists of a map, photographs, and a written description outlining the details for a specific site, which includes the following information:

- a) Project owners name, contact information and directions to site
- b) A map showing the project size in relation to the lot size and the location of the project on the lake.
- c) A list of the species and number of plants and/or amount of seed to be planted and the source for all plants and seed.
- d) Where mulch, cover crops, and erosion control materials will be placed and what will be used.
- e) If temporary biodegradable toe protection or wave breaks are needed, where and how much will be installed and when it will be removed.
- f) A list of the amount of labor and who will provide the labor to design, install and maintain the project.
- g) A timeline for the project.
- h) Photographs of the project area.

They will also supply a signed landowner maintenance agreement form with the grantee listed as project cooperater and all necessary permits required to complete the project. The project budget will include all expenses anticipated for the project. There is an example budget spreadsheet available for review on the AH website:

http://files.dnr.state.mn.us/assistance/grants/habitat/shoreland/block_grant_budget_spreadsheet.pdf

Once the site plan, landowner agreement and budget has been reviewed and approved by _____ the authorized DNR Representative, up to a total of **\$ X** for each plan for a total of no more than **\$ X**, will be authorized for payment. John Hiebert or other authorized DNR Representative must approve any changes to this approved plan otherwise future payments will not be allowed.

Deliverable Two: The grantee or their authorized representative will successfully install up to **X** shoreland projects according to each of the site plans developed and approved for each specific site in deliverable one. Any variation from this approved plan without prior approval by _____ the Authorized DNR Representative will void payment for deliverable two. Once the request forms and necessary documentation has been received for each project and all the projects which are requesting reimbursement have been inspected and approved by _____ the Authorized DNR Representative, approved expenditures up to a total of **\$ X** for each project for a total of no more

than **\$ X**, will be authorized for payment. The authorized DNR Representative must approve any changes to this approved plan otherwise future payments will not be allowed.

Deliverable Three: The grantee will conduct up to **X** workshops related to restoring native vegetation on shorelines. Once the materials for the workshop have been reviewed and approved by _____ the authorized DNR Representative prior to conducting the workshop, approved expenditures up to **\$ X** per each workshop for a total of no more than **\$X** will be authorized for payment. The authorized DNR Representative must approve any changes to the approved workshop materials and content prior to conducting the workshop, otherwise future payments will not be allowed.

At least one month prior to the end of the grant period (xx/xx/xxxxx), the grantee will provide a project summary and completed Maintenance Review Plan to the DNR Authorized Representative. The project summary will include a list of all expenses incurred, including where grant dollars were spent and what expenditures were used for in-kind. All bookkeeping requirements for this grant program will be documented using the procedures and be based on the forms located in the *Aquatic Habitat Program Financial Manual*:

http://files.dnr.state.mn.us/assistance/grants/habitat/shoreland/block_financial_manual.pdf

After the necessary forms have been received, a visit to each project site will occur to assess if the project has been properly maintained. Once each site visit is completed and the project summary and maintenance plan are approved by John Hiebert or other authorized DNR Representative, the final reimbursement of authorized project expenditures from deliverable 3 will be authorized.

Available Funds Fiscal Year xx (7/1/xx - 6/30/xx) - **\$ X**
Available Funds Fiscal Year xx (7/1/xx – 6/30/xx) - **\$ X**
Maximum Funds to be allocated to project: **\$ X**

Aquatic Habitat Program Maintenance Plan

All Aquatic Habitat Projects require some maintenance after they are completed. Because every project is unique, they may require slightly different maintenance needs. This sheet will help determine what specific maintenance activities will be needed on a project. This sheet is also an agreement between the DNR and the grantee that those needs will be carried out. Project success cannot be expected without ongoing maintenance activities being completed. The Aquatic Habitat Program can offer support and technical guidance in these ongoing maintenance activities but it is the primary responsibility of the grantee and landowner to see that these activities are carried out.

Please check (✓) the activities that will be required on your project.

First Year Activities:

_____ **Watering** - New plantings need 1 inch of water per week so if there is a lack of rain, watering your project site will be necessary.

_____ **Weeding** - Check for weeds at least once every 2 weeks. Remove weeds by hand pulling or spot treat them with herbicide if necessary. Watch for weeds especially along the edge of projects or paths.

_____ **Mowing** - On sites where seeding was the primary planting method, the site will need mowing to control weeds. Mowing should occur when weed growth reaches 10 inches and most importantly before the weeds begin to set seed. The cutting height should be set at 4 to 5 inches.

_____ **Plant Identification** - Become familiar with all new native plants on your project site. Also become familiar with weeds by obtaining a good weed identification handbook.

_____ **Mulch** - Mulch your plants as necessary throughout the season to prevent soil erosion and weed growth and to hold moisture in the soil.

_____ **Wave Breaks** - If an aquatic planting has been done in conjunction with your project make sure you maintain your wave break and fence to keep out predators to help your new aquatic plants become established.

Second Year Activities:

_____ **Dead Vegetation** – In the spring if desired, the dead vegetation may be cut back or raked. This is only necessary if the appearance of the project is a concern. Leave dead vegetation standing in the fall to act as a buffer to keep leaves from blowing in the lake. The standing dried vegetation also provides winter interest, food and cover for birds and other wildlife.

_____ **Weeding** - Conduct a thorough weeding of the site after green-up and check for weed growth at least once every three weeks. Hand pull or spot treat any weeds with herbicide if necessary.

_____ **Mowing** - If mowing is your primary weed control option raise the cutting height to 6 to 12 inches during the second year and again mow prior to any weeds setting seed.

_____ **Water** - as needed during periods of drought, making sure to provide the plants 1 inch of water per week.

_____ **Supplemental planting** can be conducted in areas with low native plant survival.

Third Year & Beyond Activities:

_____ **Spring Weeding and Standing Vegetation** - Again and every spring following, conduct a thorough weeding and cut back or rake the vegetation as desired.

_____ **Weeding** - Once a month check for weed growth and hand pull or spot treat weeds.

_____ **Supplemental planting** as necessary, continuous vegetation cover is the goal.

_____ **Project Expansion** - Consider expanding the project into new areas of the shoreline.

_____ **Dead Vegetation** - Leave dead vegetation standing in the fall.

_____ **Prescribed Burn** - After approximately 3 years or when the vegetation becomes thick enough to carry a fire you may consider burning the project. Prescribed burning is a tool that can be used for weed control, it will also help to increase flowering, seed production and germination of native plants and can reduce invasion by potentially unwanted woody vegetation. Prescribed burns may be conducted on a 3 or 4-year rotation. Please obtain the necessary permits before conducting a prescribed burn.

Monitoring

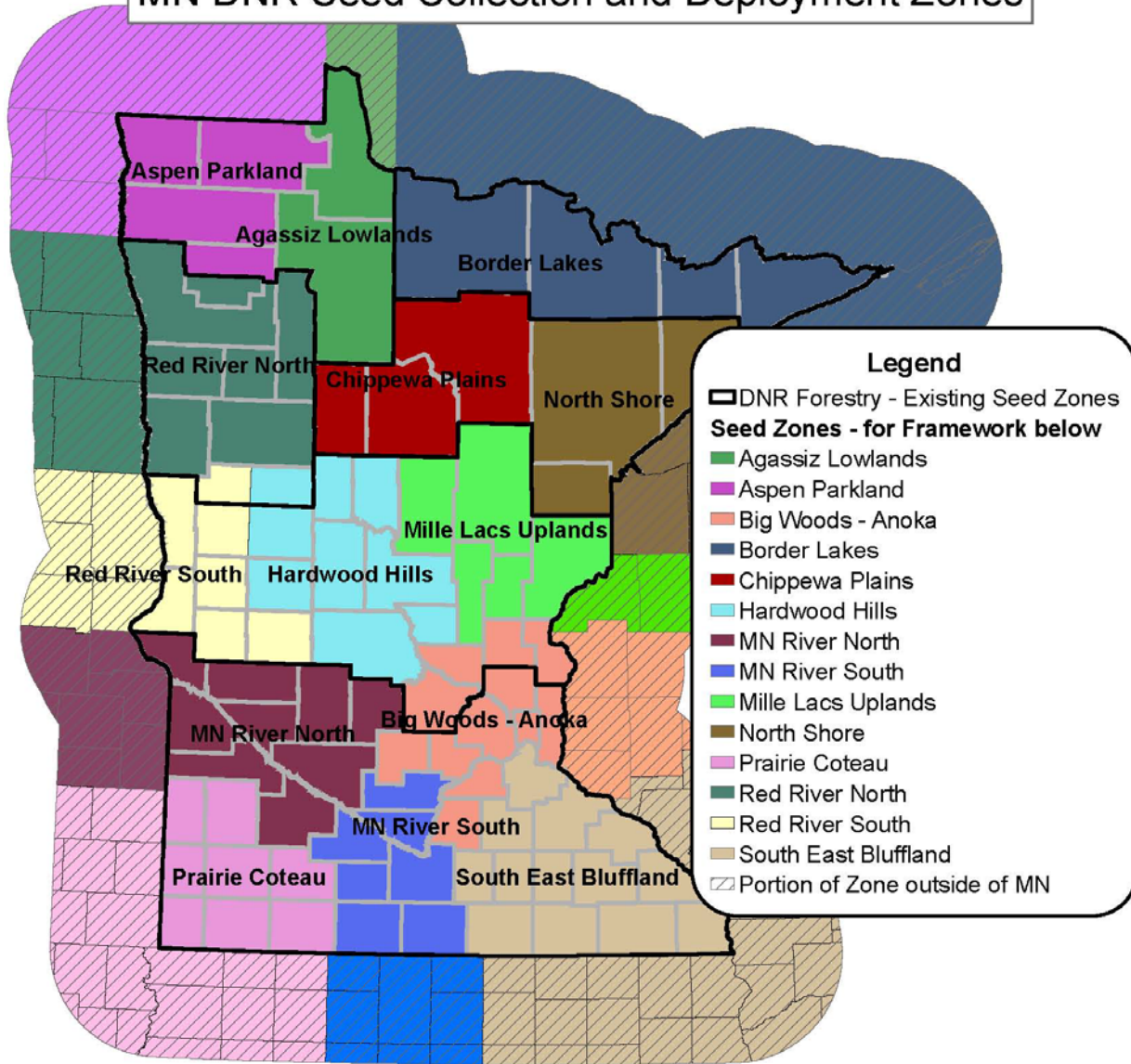
_____ The project site should be monitored every year after planting. Monitoring is recommended one hour per month through the growing season. Site monitoring should include noting successful species, weed problems, animal and human disturbances or issues and management needs. Site monitoring would ideally include written notes and photos of the site.

I have read and understand that maintenance and monitoring activities need to occur on the Aquatic Habitat Project I am responsible for and I will ensure these activities are carried out to the best of my abilities.

(Designated Grantee, landowner or cooperator) Date

Aquatic Habitat Specialist Date

MN DNR Seed Collection and Deployment Zones



Framework for Selecting Plant Material Sources

1. Collect plant materials from areas with similar site conditions that are within or immediately adjacent to the restoration or reconstruction site or nearby (Nearby is defined by the division and generally is considered to be within the same zone).
2. Obtain plant materials from areas with similar site conditions and within the same Seed Zone.
3. Obtain plant materials from areas with similar site conditions in an adjacent Seed Zone.
4. Obtain plant materials from areas with similar site conditions in a Seed Zone that adjoins one of the adjacent Seed Zones.
5. If seed/plant material can't be found, substitute another species with similar attributes.

Note: It is important to recognize that boundaries of the Seed Collection and Deployment Zones are not walls which cannot be crossed. If a restoration/reconstruction area is near one of these boundaries an appropriate choice for restoration materials may be just across the boundary in an adjacent seed zone. This source of materials may actually be more desirable than a more distant source of plant materials from within the same seed zone. This framework recognizes that seed zones are not static; they may be adjusted over time to reflect new information based on research results from climate change and other analyses.