

ALASKA STATE LEGISLATURE

LEGISLATIVE BUDGET AND AUDIT COMMITTEE Division of Legislative Finance



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MEMORANDUM

DATE: October 14, 2016
TO: Legislative Budget and Audit Committee
FROM: David Teal, Director
SUBJECT: Preparation for the October 17, 2016 LB&A Meeting

OMB submitted the following FY17 RPLs for consideration at the October 17, 2016 Legislative Budget and Audit Committee meeting. These RPLs, along with Legislative Finance comments, are posted on our web site at <http://www.legfin.akleg.gov>.

RPL#	Agency	Subject	Amount	Fund Source
06-7-0283 Operating	Health and Social Services	Behavioral Health Substance Abuse Grants	\$3,000,000	Federal Receipts (1002)
10-7-5000 Operating	Natural Resources	Forest Inventory and Analysis	\$1,147,500	Federal Receipts (1002) Multi-Year (FY17-FY19) request modified to FY17 only.
12-7-3004 Operating	Public Safety	Council on Domestic Violence and Sexual Assault Grants	\$1,000,000	Federal Receipts (1002)

If you have any questions that you want an agency to address at the meeting, please call us so we can help ensure the agency has a response prepared.

**Department of Health and Social Services
Division of Behavioral Health
Behavioral Health Treatment and Recovery Grants**

Subject of RPL: Medication Assisted Treatment SAMHSA Grants	ADN/RPL #: 06-7-0283
Amount requested: \$ 3,000,000	Appropriation Authority: Sec1 Ch3 4SSLA 2016 pg19 ln31
Funding source: \$ 3,000,000 Federal Receipts(1002), Operating	Statutory Authority: AS 44.29.020(7), AS 47.30

PURPOSE

The Department of Health and Social Services, Division of Behavioral Health, requests \$3,000.0 in federal authorization. The additional authorization will be used to receive new funding from Substance Abuse and Mental Health Services Administration (SAMHSA) for the Prevention and Treatment of Opioid Addiction; SAMHSA Partnership for Success (PFS) grant; and increased awards for existing grants from the Substance Abuse Prevention and Treatment (SABG) and Community Mental Health Services (MHBG) block grant.

PREVIOUS LEGISLATIVE CONSIDERATION

This request is for an increase in the federal authorization for receipt of new funds being awarded by the Substance Abuse and Mental Health Services Administration (SAMHSA).

TIMING ISSUES

The division receives block grant funds for Substance Abuse Prevention and Treatment Block Grant (SABG) and Community Mental Health Services Block Grant (MHBG). Through additional initiatives the division applied for and was awarded additional funding for opioid initiatives. Application for the funding was submitted after the SFY2017 budget submission. The notification of award (NoA) was announced to states in April.

BUDGETARY ISSUES

The Division of Behavioral Health's goal is to protect and improve the quality of life for people who are impacted by mental disorders or illnesses. The increase of federal authority is necessary to ensure funding of these efforts.

Grantees are awarded not to exceed amounts for a fiscal year, unspent awards are subsequently returned to the state at the end of the fiscal year. These returned grant funds contribute to the history of lapsed federal authority in this division in prior fiscal years. However, in order to issue new grants for SAMHSA opioid initiatives the division requires sufficient federal authority to obligate the maximum possible award.

Currently the division has awarded grants totaling \$9,155.5 in federal authority. Existing federal authority in the division is insufficient to cover all active grants while maximizing the federal allocation of personal services and other operating costs.

Agency Contact: Sana Efird, Assistant Commissioner, 907-465-1630
LFD Contact: Amanda Ryder, 907-465-5411

The division is in receipt of two new awards for the opioid initiative totaling \$2,000.0, \$300.0 for SABG, \$150.0 for MHBG, and \$550.0 for the Partnership for Success Grant.

The additional awards will be used to fund grants in the Behavioral Health Treatment and Recovery Grants and Behavioral Health Prevention and Early Intervention Grants Components and for administrative costs in the Behavioral Health Administrative Component.

The division has a total federal authorization of \$12,658.2. This increase in federal authorization is needed for grant payments to process and for existing staff to begin working on the opioid initiatives through direct services and contracts. The department will be able to claim additional indirect costs for receipt of this funding. Additional general fund obligations are not associated with receipt of these funds.

The Division of Behavioral Health does not project to have excess federal receipt authority for FY2017. An increment for federal authorization is being considered in the FY2018 Governors Budget. Funds are awarded in two year grant cycle possibility for future funding is contingent upon ongoing national initiatives.

Legislative Fiscal Analyst Comment: There are no technical difficulties with this RPL.

During the 2016 session, the Department received a \$6 million UGF supplemental appropriation for FY16-FY19, to combat Substance Use Disorders (Sec 9, CH1, 4SSSLA 2016 (HB257)). The LB&A Committee may wish to ask if the expenditures of this federal funding will be similar to the expenditures of \$6 million UGF appropriation.

Department of Health and Human Services				
Substance Abuse and Mental Health Services Administration				
FY 2017 DISCRETIONARY STATE/FORMULA GRANTS				
Community Mental Health Services Block Grant Program				
CFDA #93.958				
State/Territory	FY 2015 Actual	FY 2016 Enacted	FY 2017 President's Budget	FY 2017 (+/-) FY 2016
Alabama	\$6,646,898	\$7,351,221	\$7,352,060	+\$839
Alaska	793,287	972,230	1,070,196	+97,966
Arizona	10,737,941	11,639,880	12,226,159	+586,279
Arkansas	4,227,658	4,483,965	4,557,692	+73,727
California	63,093,869	69,180,482	70,226,872	+1,046,390
Colorado	6,900,325	8,482,852	8,373,549	-109,303
Connecticut	4,785,704	5,237,154	5,299,684	+62,530
Delaware	1,042,835	1,417,398	1,524,264	+106,866
District of Columbia	927,814	1,057,109	1,158,138	+101,029
Florida	31,701,900	33,793,628	34,752,383	+958,755
Georgia	14,325,637	17,179,928	16,682,768	-497,160
Hawaii	2,368,691	2,636,917	2,823,874	+186,957
Idaho	2,561,105	2,378,674	2,436,321	+57,647
Illinois	17,158,047	19,839,321	19,434,267	-405,054
Indiana	8,381,873	9,110,702	9,024,235	-86,467
Iowa	3,686,277	4,067,863	4,051,196	-16,667
Kansas	3,454,659	3,771,945	3,811,757	+39,812
Kentucky	6,357,925	6,628,893	6,589,016	-39,877
Louisiana	5,513,361	6,183,159	6,182,022	-1,137
Maine	1,802,317	2,009,425	2,028,145	+18,720
Maryland	9,032,488	8,532,072	8,643,115	+111,043
Massachusetts	9,971,207	10,493,458	10,070,209	-423,249
Michigan	14,515,920	16,018,438	15,626,940	-391,498
Minnesota	7,089,713	7,862,764	7,551,467	-311,297
Mississippi	4,187,582	4,674,359	4,623,816	-50,543
Missouri	7,793,723	8,562,000	8,473,492	-88,508
Montana	1,359,717	1,497,654	1,545,887	+48,233
Nebraska	2,103,021	2,325,306	2,337,539	+12,233
Nevada	4,651,021	5,075,524	5,395,342	+319,818
New Hampshire	1,841,227	1,808,281	1,813,702	+5,421

Department of Health and Human Services				
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Department of Health and Human Services				
Substance Abuse and Mental Health Services Administration				
FY 2017 DISCRETIONARY STATE/FORMULA GRANTS				
Community Mental Health Services Block Grant Program				
CFDA #93.958				
State/Territory	FY 2015 Actual	FY 2016 Enacted	FY 2017 President's Budget	FY 2017 (+/-) FY 2016
New Jersey	\$12,975,405	\$14,331,474	\$13,992,766	-\$338,708
New Mexico	2,791,090	2,995,653	3,080,291	+84,638
New York	28,236,385	32,425,192	31,373,445	-1,051,747
North Carolina	12,834,233	14,308,507	14,347,012	+38,505
North Dakota	816,996	879,581	889,532	+9,951
Ohio	15,076,166	16,292,879	15,897,769	-395,110
Oklahoma	4,978,056	5,434,052	5,483,485	+49,433
Oregon	5,983,509	6,726,815	6,885,888	+159,073
Pennsylvania	16,252,021	17,997,348	17,761,900	-235,448
Rhode Island	1,749,226	1,862,535	1,856,552	-5,983
South Carolina	6,656,055	7,435,778	7,495,762	+59,984
South Dakota	947,022	1,051,067	1,083,411	+32,344
Tennessee	8,802,254	10,325,846	10,311,592	-14,254
Texas	36,712,474	40,925,451	41,153,437	+227,986
Utah	3,490,243	3,858,877	3,972,584	+113,707
Vermont	821,044	896,094	905,085	+8,991
Virginia	11,372,201	11,578,454	11,244,868	-333,586
Washington	10,443,964	11,606,420	11,908,638	+302,218
West Virginia	2,646,507	2,906,084	2,889,218	-16,866
Wisconsin	7,274,287	8,440,552	8,267,157	-173,395
Wyoming	535,764	543,194	607,956	+64,762
American Samoa	88,293	98,148	98,343	+195
Guam	256,962	287,665	290,429	+2,764
Marshall Islands	110,039	125,103	128,046	+2,943
Micronesia	171,112	190,316	190,638	+322
Northern Marianas	82,585	91,782	92,870	+1,088
Palau	50,000	50,000	50,000	0
Puerto Rico	5,930,860	6,539,088	6,531,728	-7,360
Virgin Islands	169,164	187,864	187,912	+48



MAT-PDOA
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Issue Date: 09/01/2016

Center for Substance Abuse Treatment

Grant Number: 1H79TI026740-01
FAIN: TI026740
Program Director: Stacy B Toner

Project Title: Expanding MAT Alternatives to Address Prescription and Opioid Addiction

Grantee Address	Business Address
ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS Deputy Director P.O. Box 110620 Juneau, AK 998110620	Alaska State Department of HLTH-SOC SVCS Administrative Operations Manager P.O. Box 110620 Juneau, AK 998110620

Budget Period: 09/01/2016 – 08/31/2017
Project Period: 09/01/2016 – 08/31/2019

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$1,000,000 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS in support of the above referenced project. This award is pursuant to the authority of Section 509 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on “Grants” then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the “Terms and Conditions” is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Eileen Bermudez
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 1H79TI026740-01

Award Calculation (U.S. Dollars)

Salaries and Wages	\$32,471
Fringe Benefits	\$10,292
Personnel Costs (Subtotal)	\$42,763
Supplies	\$1,775
Consortium/Contractual Cost	\$862,000
Travel Costs	\$23,458
Direct Cost	\$929,996
Indirect Cost	\$70,004
Approved Budget	\$1,000,000
Federal Share	\$1,000,000
Cumulative Prior Awards for this Budget Period	\$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$1,000,000

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$1,000,000
2	\$1,000,000
3	\$1,000,000

*Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

Fiscal Information:

CFDA Number: 93.243
EIN: 1926001185A7
Document Number: 16TI26740A
Fiscal Year: 2016

IC	CAN	Amount
TI	C96N062	\$1,000,000

IC	CAN	2016	2017	2018
TI	C96N062	\$1,000,000	\$1,000,000	\$1,000,000

TI Administrative Data:

PCC: PDOA / **OC:** 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 1H79TI026740-01

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW,

SECTION III – TERMS AND CONDITIONS – 1H79TI026740-01

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:**Additional Costs**

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

SECTION IV – TI Special Terms and Conditions – 1H79TI026740-01**REMARKS:**

As a reminder all SAMHSA official notifications will be electronically mailed to your organization's Business Official address as identified in the HHS Checklist, Part C.

This award reflects approval of the budget submitted on May 31, 2016 as part of the application.

\$70,004 Budgeted for "Indirect Costs" is restricted and may not be used for any other purpose until a current negotiated indirect cost rate agreement is finalized and submitted to the Division of Grants Management, SAMHSA.

SPECIAL TERM(s) OF AWARD:

All SAMHSA grantees receiving additional funds based on responses regarding Electronic Health Records (EHRs) during the application process must ensure compliance with FOA requirements on EHRs throughout each year of the grant. Failure to comply will result in loss of funds.

Disparity Impact Statement (DIS)

BY November 30, 2016 you must address the following:

Submit an electronic copy of a disparity impact statement to the Government Project Officer (GPO) and Grants Management Specialist (GMS) as identified under Contacts on this notice of award. The disparity impact statement should be consistent with information in your application regarding access, service use and outcomes for the program and include three components as described below. Questions about the disparity impact statement should be directed to your GPO.

Examples of disparity impact statements can be found on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/disparity-impact-statement>.

*Service use is inclusive of treatment services, prevention services as well as outreach, engagement, training, and/or technical assistance activities.

The disparity impact statement, in response to the Special Term of Award, consists of three components:

1. Proposed number of individuals to be served by subpopulations in the grant implementation area should be provided in a table that covers the entire grant period. The disparate population(s) should be identified in a narrative that includes a description of the population and rationale for how the determination was made. A quality improvement plan for how you will use your program (GPRA) data on access, use and outcomes to monitor and manage program outcomes by race, ethnicity and LGBT status, when possible. The quality improvement plan should include strategies for how processes and/or programmatic adjustments will support efforts to reduce disparities for the identified sub-populations.

1. The quality improvement plan should include methods for the development and implementation of policies and procedures to ensure adherence to the Enhanced Culturally and Linguistically Appropriate Services (CLAS) Standards and the provision of effective care and services that are responsive to:
 1. Diverse cultural health beliefs and practices ;
 2. Preferred languages; and
 3. Health literacy and other communication needs of all sub-populations within the proposed geographic region

DOMA:

On June 26, 2013, in United States v. Windsor, the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex spouses/marriages, was unconstitutional. As a result of that decision, SAMHSA is no longer prohibited from recognizing same sex marriages. Consistent with HHS policy and the purposes of SAMHSA programs, same-sex spouses/marriages are to be recognized in Targeted Capacity Expansion: Medication Assisted Treatment (MAT) – Prescription Drug and Opioid Addiction (Short Title: MAT – PDOA) - Funding Recommendation. This means that, as a recipient of SAMHSA funding Targeted Capacity Expansion: Medication Assisted Treatment (MAT) – Prescription Drug and Opioid Addiction (Short Title: MAT – PDOA) - Funding Recommendation, you are required to treat as valid the marriages of same-sex couples whose marriage was legal when entered into. This applies regardless of whether the couple now lives in a jurisdiction that recognizes same-sex marriage or a jurisdiction that does not recognize same-sex marriage. Any same-sex marriage legally entered into in one of the 50 states, the District of Columbia, a U.S. territory or a foreign country will be recognized. However, this does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage.

SPECIAL CONDITIONS OF AWARD:

Participant Protection By October 01, 2016,

Please provide a more detailed description of the risk and benefits of each proposed FDA-approved medications for inclusion in either the consent form or other program documents to the SAMHSA Government Project Officer who has been assigned to your grant, Dr. Sherry McManus, sherry.mcmanus@samhsa.hhs.gov and SAMHSA/CSAT's Participant Protection Officers, Dr. Kirk E. James; kirk.james@samhsa.hhs.gov and Danielle Tarino; Danielle.tarino@samhsa.hhs.gov with the following documentation via email for review and approval to support adherence to three outstanding requirements which were stipulated in the Funding Opportunity Announcement (FOA) for this grant opportunity: (1) Fully describe the process for obtaining IRB approval (2) Documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP) and (3) Documentation indicating IRB approval for your project has been received.

All grant funds are available for this project except for those funds directly related to Participant Protection issues as outlined in the FOA. Currently, only activities that do not directly involve Participant Protection issues (i.e., are clearly severable and independent from those activities that do involve Participant Protection issues) may be conducted under this award. This restriction of funds will only be lifted if the Participant Protection issue noted above is appropriately addressed by you as the grantee and resolved to the satisfaction of your designated Government Project Officer and a SAMHSA Participant Protection Officer.

Marginal - By October 01, 2016, grantee must submit the requested information to the GMS and GPO.

The application submitted received a marginal rating for Section B: Proposed Evidence-Based-Services/Practice.

Reviewers noted that the grantee:

- Does not provide measureable objectives for goal one and goal two. It states that an increase in individuals receiving care is expected but it does not provide a specific measurement for the increase or decrease in the objectives. Instead, it provides a method of data collection in the objectives for goal one and goal two.
- Does not explain how each EBP has been proven effective in the races, ethnicities, ages, or gender composition of the population of focus.
- Does not specifically link EBPs to the subpopulations with definitive information on how each EBP will benefit a specific at-risk group.
- Does not explain how a specific EBP or practice will address the disparities in service access.

To ensure the grantee meets acceptable standards for this section, you must submit the following information to the GMS and GPO:

- Provide measureable objectives for goal one and goal two.
 - Provide a specific measurement for the increase or decrease in the objectives.
 - Describe how each EBP has been proven effective in the races, ethnicities, ages, and gender composition of the population of focus.
 - Describe how EBPs are specifically linked to the subpopulations with definitive information on how each EBP will benefit a specific at-risk group.
 - Describe how a specific EBP or practice will address the disparities in service access.
- The application submitted received a marginal rating for Section C: Proposed Implementation Approach.**

Reviewers noted that the grantee:

- Does not provide realistic timeline milestones. For example, the application notes that within the first 30 days the following milestones will be met: an RFP will be developed for

sub-grantees; identify and prioritize treatment regimens; identify outreach strategies; develop assessment and POMP protocols; and implement peer support services. In addition, the RFP will require sub-grantees to develop protocols and assessments that are listed in the timeline within the first 30 days of its program, but sub-grantees will not be selected until 60 days after the beginning of the program.

- Does not describe how clients will be screened for co-occurring medical disorders.
- Does not address medical diagnoses in the Alaska Screening Tool.
- Does not specifically state who will provide the integrated care services.
- Does not state which of the 14 services, which would be provided as part of integrated care, will be provided to all clients and which are appropriate for specific clients and subsets of the eligible populations.
- Does not detail how it will accomplish its plan to identify, engage, or retain clients.
- Does not detail how it will include peer support and family member engagement as part of its retention strategy.
- Does not address how identified strategies will consider the language, beliefs, or cultural factors of the high risk communities.
- Does not explain how the number of duplicated individuals to be served was calculated.
- Does not provide sufficient information to justify the per-unit cost.

To ensure the grantee meets acceptable standards for this section, you must submit the following information to the GMS and GPO:

- Describe how clients will be screened for co-occurring medical disorders.
- Provide realistic timeline milestones.
- Describe how medical diagnoses will be addressed in the Alaska Screening Tool.
- Provide information on who will provide the integrated care services.
- Describe which of the 14 services will be provided to all clients and which are appropriate for specific clients and subsets of the eligible populations.
- Provide a plan on how to identify, engage, and retain clients.
- Describe how peer support and family member engagement will be part of the retention strategy.
- Describe how identified strategies will consider the language, beliefs, and cultural factors of the high risk communities.
- Describe how you calculated and identified the number of unduplicated clients.
- Provide information to justify the per-unit cost.

The application submitted received a marginal rating for Section D: Staff and Organizational Experience.

Reviewers noted that the grantee:

- Does not describe specific linkages with grassroots/community-based organizations or the specific population of focus for these projects.
- Does not provide the names of individuals within the list of key staff positions.
- Does not provide specific details to show that the key staff will have the credentials, education, or experience to serve the population of focus or describe three agencies, the Cook Inlet Tribal Council, Inc., Southeast Regional Health Consortium, and Narcotic Drug Treatment Center, Inc., which include letters of commitment in Attachment One. Does not include the level of effort for all of the positions in the list of staff positions.
- Does not provide a description of how services for this project will be implemented with input from clients.
- To ensure the grantee meets acceptable standards for this section, you must submit the following information to the GMS and GPO:

- Describe specific linkages with grassroots/community-based organizations or the specific population of focus for these projects.
- Describe how the following three agencies will partake in the projects: Cook Inlet Tribal Council, Inc., Southeast Regional Health Consortium, and Narcotic Drug Treatment Center, Inc.
- Describe the level of effort for all of the positions in the list of staff positions .Provide the names of individuals within the list of key staff positions.
- Provide information to explain how key staff will have the credentials, education , and experience to serve the population of focus.
- Provide an explanation of how services for this project will be implemented with input from clients.

The application submitted received a marginal rating for Section E: Data Collection and Performance Measurement.

Reviewers noted that the grantee:

- Does not provide details regarding all staff members responsible for data collection activities.
- Does not explain how the data collected will be utilized to improve services to underserved subpopulations .
- Does not provide details regarding the periodicity of measurement or the process used to modify services to reduce disparities.
- Does not collect information on sexual orientation or preferred language with the Automated Information Management System, which will collect information on race/ethnicity, gender, age, and special need s/disabilities of behavioral health service recipients.
- Does not provide detail on how assessments will be completed to ensure that they are achieving goals, objectives, and outcomes.
- Does not describe how barriers to success are assessed.
- Does not provide information on specific quality control measures in regards to this project or its performance measures .
- Does not discuss how the sub-awardees will fit into the quality improvement process.Does not list specific staff positions at the sub-awardee institutions that will be assigned to ensure compliance with quality improvement at these institutions.
- To ensure the grantee meets acceptable standards for this section, you must submit the following information to the GMS and GPO:
- Provide details regarding all staff members responsible for data collection activities.
- Describe how collected data will be utilized to improve services to underserved subpopulations.
- Provide details regarding the periodicity of measurement and the process that will be used to modify services to reduce disparities.
- Describe how information will be collected on sexual orientation and preferred language.
- Describe how you will assess whether goals, objectives, and outcomes are being met.
- Describe how barriers to success will be identified.
- Provide information describing specific quality control measures for this project and performance measures.
- Describe how the sub-awardees will fit into the quality improvement process.
- Describe specific staff positions at the sub-awardee institutions that will be assigned to ensure compliance with quality improvement at these institutions.

- **Revised Budget, By October 01, 2016** you must address the following:

The following amount is restricted:

1) Contractual @ \$862,000

This amount is **restricted and may not be used for any purpose** until a detailed budget justification and narrative has been submitted.

Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.

STANDARD TERMS OF AWARD:

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions> **(NEW)**

Key staff (or key staff positions, if staff has not been selected) are listed below:

Stacy Toner, Project Director @ 5% level of effort (In-Kind)

Lynn Eldridge, Project Coordinator @ 25% level of effort.

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

REPORTING REQUIREMENTS:

Submission of a Programmatic Bi-Annual Report is due no later than the dates as follows:

1st Report - April 01, 2017

2nd Report - October 01, 2017

Please submit your Programmatic Bi-Annual Report to DGMPProgressReports@samhsa.hhs and copy your Program Official.
(HARD COPIES SUBMISSION IS NOT REQUIRED)

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

It is essential that the Grant Number be included in the SUBJECT line of the email.

CONTACTS:

Sherrye McManus, Program Official

Phone: (240) 276-2576 **Email:** Sherrye.McManus@samhsa.hhs.gov

Andrew Payne, Grants Specialist

Phone: (240) 276-1238 **Email:** Andrew.Payne@samhsa.hhs.gov **Fax:** (240) 276-1430



SPF-PFS
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Issue Date: 07/28/2016

Center for Substance Abuse Prevention

Grant Number: 5U79SP020783-02
FAIN: SP020783
Program Director: Anthony Piper

Project Title: Alaska's Partnerships for Success Initiative

Grantee Address	Business Address
ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS Dept of Health & Social Srvc P.O. Box 110620 Juneau, AK 998110620	Director DHSS, Division of Behavioral Health P.O. Box 110620 Juneau, AK 998110620

Budget Period: 09/30/2016 – 09/29/2017
Project Period: 09/30/2015 – 09/29/2020

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$1,648,188 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS in support of the above referenced project. This award is pursuant to the authority of Section 516 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Roger George
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 5U79SP020783-02

Award Calculation (U.S. Dollars)

Salaries and Wages	\$64,467
Fringe Benefits	\$39,975
Personnel Costs (Subtotal)	\$104,442
Supplies	\$3,721
Consortium/Contractual Cost	\$1,513,311
Travel Costs	\$5,865
Direct Cost	\$1,627,339
Indirect Cost	\$20,849
Approved Budget	\$1,648,188
Federal Share	\$1,648,188
Cumulative Prior Awards for this Budget Period	\$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$1,648,188

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
2	\$1,648,188
3	\$1,648,188
4	\$1,648,188
5	\$1,648,188

*Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

Fiscal Information:

CFDA Number: 93.243
 EIN: 1926001185A7
 Document Number: 15SP20783A
 Fiscal Year: 2016

IC	CAN	Amount
SP	C96V014	\$1,648,188

IC	CAN	2016	2017	2018	2019
SP	C96V014	\$1,648,188	\$1,648,188	\$1,648,188	\$1,648,188

SP Administrative Data:

PCC: PFS 2015 / OC: 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 5U79SP020783-02

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General,

Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 5U79SP020783-02

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Additional Costs

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

SECTION IV – SP Special Terms and Conditions – 5U79SP020783-02

REMARKS:

All discretionary grant continuation applications must be submitted electronically through Grants.gov. If you are eligible for a continuation grant, an email of notification will be sent to your organization's business official as identified in the HHS Checklist, Part C.

This award restricts the use funds in the amount of \$1,648,188 pending receipt of response to Special Conditions of Award for Year 1.

SPECIAL CONDITIONS OF AWARD:

REVISED BUDGET:

By October 31, 2016, you must:

Respond to the Special Conditions of Award for Year 1, due October 30, 2015.

Budget Justification – Personnel – Please identify the Program Director in the 'Personnel' budget

Budget Justification – Fringe – Please provide the calculations/amounts for Fringe allocations

Budget Justification - Travel – Funds in the amount of \$5865 have been budgeted for 3 staff to travel, however there are only 2 staff included in 'Personnel'. If this is a 'Contractual' position, please include this travel in 'Contractual'.

Budget Justification – Supplies – Please remove the term ETC. as there is no way to determine if this is allowable.

Budget Justification – Contractual – In order to determine if costs included are allowable , reasonable and allocable please provide a detailed breakdown of costs. How were costs determined?

In order to determine whether costs are allowable, allocable and reasonable, please provide a copy of the Indirect Cost Rate Agreement that corresponds with the budgeted amount of \$20,849 otherwise these costs may be disallowed.

STANDARD TERMS OF AWARD:

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>
(Cooperative Agreement)

Updated Key Staff:

Key staff (or key staff positions, if staff has not been selected) are listed below:

Anthony Piper, Project Director @ unspecified level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

REPORTING REQUIREMENTS:

Submission of a Programmatic (quarterly) Report is due no later than the dates as follows:

- 1st Report - January 31, 2017
- 2nd Report - April 30, 2017
- 3rd Report - July 31, 2017
- 4th Report - October 31, 2017

Please submit your Programmatic (quarterly) Report to
DGMProgressReports@samhsa.hhs.gov and copy your Program Official.
(HARD COPIES SUBMISSION IS NOT

REQUIRED)

Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

It is essential that the Grant Number be included in the SUBJECT line of the email.

CONTACTS:

Kim Nesbitt, Program Official

Phone: (240) 276-1742 **Email:** Kim.Nesbitt@samhsa.hhs.gov

Tomara Baker, Grants Specialist

Phone: (240) 276-1407 **Email:** Tomara.Baker@samhsa.hhs.gov



SABG
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Substance Abuse Treatment

Grant Number: 3B08TI010000-16S1

FAIN: TI010000-16

Contact Person: Albert Wall

Program: Substance Abuse Prevention and Treatment Block Grant

ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS

Stacy Toner

Division of Behavioral Health

350 Main Street, Suite 214

Anchorage, AK 99503

Award Period: 10/01/2015 – 09/30/2017

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards the next quarterly (or partial) installment in the amount of \$1,472,268 (see "Award Calculation" in Section I) to ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS in support of the above referenced project. This award is pursuant to the authority of Subparts II&III,B, Title XIX, PHS Act/45 CFR Part96 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Wendy Pang
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 3B08TI010000-16S1

FEDERAL FUNDS APPROVED: \$5,889,074
AMOUNT OF THIS ACTION (FEDERAL SHARE): \$1,472,268
CUMULATIVE AWARDS TO DATE: \$5,889,074
UNAWARDED BALANCE OF CURRENT YEAR’S FUNDS: \$0

Fiscal Information:

CFDA Number: 93.959
EIN: 1926001185A7
Document Number: 16B1AKSAPT
Fiscal Year: 2016

IC	CAN	16
TI	C96N470	\$1,472,268

PCC: SAPT / **OC:** 4115

SECTION II – PAYMENT/HOTLINE INFORMATION – 3B08TI010000-16S1

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 3B08TI010000-16S1

This award reflects the fourth quarter funding for the SABG. All previous terms and conditions remain in full force and effect.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

**Department of Natural Resources
Fire Suppression, Land & Water Resources
Forest Management & Development**

Subject of RPL: Forest Inventory and Analysis	ADN/RPL #: 10-7-5000
Amount requested: \$ 1,147,500	Appropriation Authority: Sec 1 Ch 3 SLA 2016 Pg 31 Ln 18
Funding source: \$ 1,147,500 Federal Receipts (1002) Multi-Year Operating (FY17-FY19)	Statutory Authority: AS 41.17.055

PURPOSE

The Department of Natural Resources, Division of Forestry requests an increase of \$1,147,500 in federal authority in the capital budget. The purpose of this project is to conduct Forest Inventory Analysis (FIA) in interior Alaska’s boreal forest ecosystems in collaboration with the United States Forest Service (USFS), and NASA scientists and personnel with expertise in implementing large-area forest inventories.

Legislative Fiscal Analyst Comment: The increase in authorization is an operating item, not capital as stated in the Department’s request. A multi-year operating RPL is not customary – the purpose of the RPL process is to address short-term deficits in receipt authority, not to address future budgets. Since this is the first part of a larger project, it would be more appropriate to approve the funding for FY17 only. DNR can bring the full project before the legislature in the FY18 budget process. The department expects to expend most of the requested amount in FY17.

Collaboration between the partners will produce improved methods for measuring boreal forests, including ground breaking work with NASA – Goddard Space Flight Center to deploy and demonstrate the use of a new remote sensing tool called GLite. The project’s methods will have application to all forested areas in Alaska and will provide the USFS research ability to more effectively achieve its mission to fully implement the FIA program in all 50 states.

Interior Alaska is the last geographic location in the nation that doesn’t have a fully implemented FIA program, essentially the nation’s forest census. The program can trace its origins to the McSweeney - McNary Forest Research Act of 1928 (P.L. 70-466). This law initiated the first inventories starting in 1930’s and we are finally adding the last major location.

Through this project we will collect and analyze FIA data in the Tanana Valley watershed (an area the size of Arkansas) in order to evaluate forested conditions. The Tanana Valley is the focal point of the Pacific Northwest FIA’s current field efforts in the interior. Previously this area was the focus of the 2014 Tanana Valley Pilot and will continue to be the main area of FIA interest from 2016-2018. The forests of the Tanana Valley are also an area of key interest to multiple stakeholders in Interior Alaska and is home to the Tanana Valley State Forest (1.8 million acres) which is actively managed to provide a sustainable timber supply to the forest products sector; producing both revenue and jobs for Alaska.

The benefits to the state will accrue over time as the initial forest inventory grid is established and then re-measured over a ten-year cycle. The information will help inform policy formulation, particularly related to wildland fire, as well as operational decisions concerning sustainable management and harvest of forest resources. The data will enable the assessment of ecological

change over time (changes in species distributions, carbon flux from fire, soil and forest health conditions, etc.) across this vast region.

The USFS and State have a mutual benefit and interest in this effort, as this project will further develop the techniques and methods needed to efficiently establish FIA filed plots in remote regions of Alaska. This ground-collected data will be used in combination with airborne and satellite remote sensing information to complete assessments of environmental conditions across the region.

As the State is not familiar with the multitude of complexities with implementing an inventory of this nature, the USFS will work together with the Department of Natural Resources, Division of Forestry (DOF) to implement this inventory, with a goal of handing off the majority of the work to DOF by 2018.

We anticipate a three year phased strategy, completing 100-150 plots in 2016, approximately 250 plots in 2017, and 350-400 plots in 2018. At the completion of this transition, we anticipate that DOF will be able to function independently and will continue to install the inventory grid over the rest of Interior Alaska. The USFS will still be a key partner and will participate in various ways, including providing funding, quality control of data and inventory process, and in other ways that both parties find mutually agreeable.

PREVIOUS LEGISLATIVE CONSIDERATION

This project was not established when the finance committees were in session, nor did was the grant in place while preparing the FY2017 budget request. There is a previous grant for Forest Inventory and Analysis for \$149,000 which was received from the USFS in FY2016.

There is currently no intent language in the appropriate bill for FY2017, and there have not been any previous RPLs for this project.

TIMING ISSUES

A Joint Venture Agreement (JVA) with the USFS, Pacific Northwest Research Station was signed on May 13, 2016 and is attached. The funding was dependent on an increase in the Federal FY2016 budget line item for FIA at the national level and then allocations to the various research stations, including the Pacific Northwest Research Station that is our partner for this project. The final allocations and green light for this project was not certain until this spring.

The funds are imminent, the May 13, 2016 signed agreement documents federal funds of \$1,147,505. The funds will lapse on December 31, 2018.

The work has been scheduled to start during calendar year 2016 and the federal authorization is needed for the State of Alaska to stay on schedule with field work that begins this season including joint training and work with the USFS.

The USFS desires to obligate funding before their wildland fire season begins in earnest, which could result in funds being taken for wildland fire suppression expenses, which has occurred across program areas in the USFS the past three fiscal years. This funding was recently secured with the aid of the Alaska congressional delegation and is an increase to the national base program, thus annual funding will be made available via the normal federal fiscal year cycle.

If the funding is delayed or disapproved, the work will not be initiated on time and the data will not be available for continued planning and scheduling with the USFS. In addition, funding may be diverted for other purposes (wildland fire costs) and be lost for this year.

BUDGETARY ISSUES

This funding fits into long-term plans, mission and measures for the DOF to sustainably manage Alaska's forest resources. This project will provide important baseline data across all land ownership and will provide key information on wildland fire cycles and impacts, soil and permafrost dynamics, and forest health and resiliency at a time of great environmental change, especially for the boreal forest.

The project also provides an opportunity to attract and hire new entry level forestry staff and will assist in rebuilding a recruitment pipeline for the DOF. This project is a bright spot in an otherwise difficult fiscal climate that has resulted in severe reductions to the forest management component of the DOF over the past three years (37% GF).

The line item distribution of the proposed expenditures:

Personal Services	\$298,610
Travel	\$618,000
Services	\$ 30,200
Commodities	\$149,961
<u>Indirect</u>	<u>\$ 50,734</u>
Total	\$1,147,500

This grant is eligible for use for two to three years through the USFS. Annual JVAs will be established each federal fiscal year., There is a 20 percent match requirement and we have been able to address this by in-kind contributions for use of our helibase and aviation staff time for helicopter procurement and flight following through our dispatch centers via our Fire Program. There is no hard dollar match anticipated for this program. We are negotiating with the USFS to lower the match requirement or modify line items in the budget that require a match for future JVA agreements.

This grant does not afford the possibility of replacing general fund dollars. The match requirement is being met by utilizing services the Fire Program already provide as a routine part of our wildland fire program and we have assigned a value to the portion they are providing the FIA project.

This grant will provide funding for four positions located in Fairbanks. One existing position PCN 10-9493 will be funded, as well as approximately 4 long-term and short term non-permanent positions.

We do not have any excess receipt authority for this federal grant. These funds will be used in FY2017 through approximately FY2019.

As the DOF phases into the full effort over the next three years, there will be a need for increased federal authority. The anticipated annual project need will be \$2.5 to 3 million.

Legislative Fiscal Analyst Recommendation: Approve the full amount of the RPL as a single-year item. The multi-year reference has been crossed out to reflect LFD concerns regarding multi-year operating RPLs.



FS Agreement No. 2016-JV-11261919-028

Cooperator Agreement No. _____

JOINT VENTURE AGREEMENT
Between The
STATE OF ALASKA, DIVISION OF FORESTRY
And The
USDA, FOREST SERVICE
PACIFIC NORTHWEST RESEARCH STATION

This JOINT VENTURE AGREEMENT is hereby made and entered into by and between the State of Alaska, Division of Forestry, hereinafter referred to as "Cooperator," and the USDA, Forest Service Pacific Northwest Research Station, hereinafter referred to as the "U.S. Forest Service," under the provisions of the National Agricultural Research, Extension and Teaching Policy Act of 1977 {7 U.S.C. 3318(b), Pub. L. 95-113}, as amended by the Food Security Act of 1985 (Title XIV, Pub. L. 99-198).

Background: Interior Alaska forests represent approximately 112 million acres or about 15% of all U.S. forestland. The vast majority of this acreage has not been comprehensively assessed for timber and woods products resources, vegetation structure, carbon and biomass accounting, disturbance and change over time, and climatic impacts (mean annual temperature across AK has increased 3 to 5 degrees since 1950). Forest Inventory and Analysis (FIA) clients have championed Farm Bill language that stresses the importance of fully implementing the FIA program in all 50 states, specifically including interior Alaska. As of 2016, after more than 15 years of national debate, funding for full implementation of FIA in interior has finally been realized. In order for the areas outside of southeast and southcentral coastal Alaska to be effectively inventoried a collaboration between the U.S. Forest Service (USFS) and the State of Alaska, Division of Forestry (DOF) is critical. Although the Pacific Northwest Research Station has been in discussion with the State for a few years, this collaboration began in earnest in 2015 while the USFS was still in the early stages of the inventory pilot. Now that FIA in interior Alaska has national support, it is even more critical to solidify our partnership with the State of Alaska. The Anchorage Forestry Sciences Lab does not have the internal capacity to take on this large inventory effort without the assistance of the State of Alaska, Division of Forestry.

Title: Interior Alaska FIA Implementation in Cooperation with the State of Alaska ↗

- I. **PURPOSE:** The purpose of this agreement is to document the cooperation between the parties to collect and analyze FIA data in the Tanana Valley watershed (an area the size of Arkansas) in order to evaluate forested conditions in the mainland region of Alaska. The Tanana Valley is the focal point of PNW FIA's current field efforts in interior. Previously this area was the focus of the 2014 Tanana Valley Pilot and will continue to be the main area of FIA interest from 2016-2018. The forests of the Tanana Valley are also an area of key interest to multiple stakeholders in interior Alaska. As the State is not



familiar with the multitude of complexities with implementing an inventory of this nature, the USFS will work together with DOF to implement this inventory. We anticipate a 3 year transition strategy, completing 100-150 plots in 2016, approximately 250 plots in 2017, and 350-400 plots in 2018. At the completion of this transition strategy we anticipate that the State will be able to function fairly independently with this inventory in other FIA units in mainland Alaska with the USFS continuing to provide support in project coordination; safety and aviation guidance, pre-field, quality assurance and control (QA/QC), post-field activities, and data processing and analysis.

II. STATEMENT OF MUTUAL BENEFIT AND INTERESTS:

The Forest Service's benefit and interest in this agreement are such that the USFS has an obligation through Congressional legislative direction to implement a cost-effective field protocol and sampling design to conduct an FIA inventory in interior Alaska. The USFS also has considerable interest in validating and further refining its modified field protocol that: a.) it can be used in very remote regions of Alaska, b.) will enable assessment of important ecological changes possibly due to a warming climate, and c.) can be efficiently combined with a variety of remote sensing data to increase the precision of inventory parameter estimates. The USFS is responsible for assisting with the field protocol development, logistical planning of the field work, technical support, and analysis of the data collected for this project. This research will provide scientists with information required to refine the plan to implement FIA across all 112 million acres of forestland in interior Alaska.

The Cooperator's benefit and interest in this agreement are such that the State of Alaska has an interest in increasing their development of efficient operational protocols to characterize the structure and composition of interior Alaska's boreal forests from which the Division of Forestry is very interested in gathering information and data that will enable the assessment of ecological change over time (changes in species distributions, carbon flux, etc.) across this vast region. In addition, the proposed collaborative research will benefit the State by allowing extensive interactions and joint research with USFS scientists and personnel with expertise in implementing large-area forest inventories.

The Forest Service and State have a mutual benefit and interest such that this project will benefit the USFS and the DOF by further developing the techniques and methods needed to efficiently establish FIA field plots in remote regions of Alaska and acquire information that, when used in combination with both airborne and satellite remote sensing information, will enable the assessment of ecological changes across the region. The DOF has experience conducting forest inventories in interior Alaska's boreal forest ecosystems. Collaboration between the USFS and DOF will combine technical expertise to produce improved methods for measuring boreal forests using a combination of field measurements and remote sensing data. The project's methods will have application to all forested areas in Alaska and will improve U.S. Forest Service research ability to achieve its mission to fully implement the FIA program in all 50 states.



In consideration of the above premises, the parties agree as follow:

III. COOPERATOR SHALL:

- A. LEGAL AUTHORITY: Cooperator shall have the legal authority to enter into this agreement, and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project, which includes funds sufficient to pay the nonfederal share of project costs, when applicable.
- B. PROGRAM PERFORMANCE REPORTS: Cooperator shall monitor the performance of the agreement activities to ensure that performance goals are being achieved.

Performance reports shall contain information on the following:

- A comparison of actual accomplishments to the goals established for the period. Where the output of the project can be readily expressed in numbers, a computation of the cost per unit of output may be required if that information is useful.
- Reason(s) for delay if established goals were not met.
- Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Cooperator shall submit quarterly performance reports to the U.S. Forest Service Program Manager. These reports are due 60 days after the reporting period. The final performance report must be submitted either with Cooperator's final payment request, or separately, but not later than 60 days from the expiration date of the agreement.

- C. ENVIRONMENTAL STANDARDS. Cooperator shall comply with environmental standards pursuant to the notification of violating facilities in E.O. 11738.
- D. COOPERATOR TASKS. See attached Exhibit A, Section titled "Tasks".

IV. THE U.S. FOREST SERVICE SHALL:

- A. PAYMENT/REIMBURSEMENT. The U.S. Forest Service shall reimburse Cooperator for the U.S. Forest Service's share of actual expenses incurred, not to exceed \$1,147,505 as shown in the Financial Plan. In order to approve a Request for Reimbursement, the U.S. Forest Service shall review such requests to ensure payments for reimbursement are in compliance and otherwise consistent with the terms of the agreement. The U.S. Forest Service shall make payment upon receipt of cooperator's quarterly invoice. Each invoice from cooperator must display the total project costs for the billing period, separated by U.S. Forest Service and cooperator's



share. In-kind contributions must be displayed as a separate line item and shall not be included in the total project costs available for reimbursement. The final invoice must display cooperator's full match towards the project, as shown in the financial plan, and be submitted no later than 90 days from the expiration date.

Each invoice must include, at a minimum:

1. Cooperator's name, address, and telephone number
2. U.S. Forest Service agreement number
3. Invoice date
4. Performance dates of the work completed (start & end)
5. Total invoice amount for the billing period, separated by U.S. Forest Service and cooperator's share with in-kind contributions displayed as a separate line item.
6. Display all costs, both cumulative and for the billing period, by separate cost element as shown on the financial plan.
7. Cumulative amount of U.S. Forest Service payments to date.
8. Statement that the invoice is a request for payment by 'reimbursement'
9. If using SF-270, a signature is required.
10. Invoice Number, if applicable

The invoice shall be forwarded to:

EMAIL: asc_ga@fs.fed.us

FAX: 877-687-4894

POSTAL: USDA Forest Service
Albuquerque Service Center
Payments – Grants & Agreements
101B Sun Ave NE
Albuquerque, NM 87109

B. FOREST SERVICE TASKS. See attached Exhibit A, Section titled "Tasks".

V. **IT IS MUTUALLY AGREED AND UNDERSTOOD BY AND BETWEEN THE PARTIES THAT:**

A. PRINCIPAL CONTACTS. Individuals listed below are authorized to act in their respective areas for matters related to this agreement.



Principal Cooperator Contacts:

Cooperator Program Contact	Cooperator Administrative Contact
Douglas Hanson Alaska Division of Forestry 3700 Airport Way Fairbanks, AK 99709-4699 (P) 907-374-3755 Email: douglas.hanson@alaska.gov	Karlyn Herrera Alaska Division of Forestry 550 W. 7 th Ave, Suite 1450 Anchorage, AK 99501-3566 (P) 907-269-8477 Email: karlyn.herrera@alaska.gov

Principal U.S. Forest Service Contacts:

U.S. Forest Service Program Manager Contact	U.S. Forest Service Administrative Contact
Brendt Mueller Anchorage Forestry Sciences Lab 161 E 1st Ave., Door 8 Anchorage, AK 99501 (P) 907-743-9408 (F) 907-743-9482 Email: bmueller@fs.fed.us	Daniel Beshears Portland Forestry Sciences Lab 620 SW Main Street Portland, OR 97205 (P) 503-808-3228 (F) 503-808-2020 Email: dbeshears@fs.fed.us

- B. **NOTICES.** Any communications affecting the operations covered by this agreement given by the U.S. Forest Service or Cooperator is/are sufficient only if in writing and delivered in person, mailed, or transmitted electronically by e-mail or fax, as follows:

To the U.S. Forest Service Program Manager, at the address specified in the agreement.

To Cooperator, at Cooperator's address shown in the agreement or such other address designated within the agreement.

Notices are effective when delivered in accordance with this provision, or on the effective date of the notice, whichever is later.

- C. **PARTICIPATION IN SIMILAR ACTIVITIES.** This agreement in no way restricts the U.S. Forest Service or Cooperator from participating in similar activities with other public or private agencies, organizations, and individuals.
- D. **ENDORSEMENT.** Any of Cooperator's contributions made under this agreement do not by direct reference or implication convey U.S. Forest Service endorsement of Cooperator's products or activities.
- E. **USE OF U.S. FOREST SERVICE INSIGNIA.** In order for Cooperator to use the U.S. Forest Service insignia on any published media, such as a Web page, printed



publication, or audiovisual production, permission must be granted from the U.S. Forest Service's Office of Communications (Washington Office). A written request must be submitted by PACIFIC NORTHWEST RESEARCH STATION to the Office of Communications Assistant Director, Visual Information and Publishing Services prior to use of the insignia. The U.S. Forest Service PACIFIC NORTHWEST RESEARCH STATION will notify the cooperators when permission is granted.

- F. MEMBERS OF U.S. CONGRESS. Pursuant to 41 U.S.C. 22, no United States member of, or United States delegate to, Congress shall be admitted to any share or part of this agreement, or benefits that may arise therefrom, either directly or indirectly.
- G. NONDISCRIMINATION. The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, genetic information, political beliefs, reprisal, or because all or a part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, and so forth.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination write to USDA, Director, Office of Civil Rights, 1400 Independence Avenue, S.W., Washington, D.C. 20250-9410 or call (800) 795-3272 (voice) or (202) 720-6382 (TDD). USDA is an equal opportunity provider and employer.
- H. ELIGIBLE WORKERS. Cooperator shall ensure that all employees complete the I-9 form to certify that they are eligible for lawful employment under the Immigration and Nationality Act (8 USC 1324a). Cooperator shall comply with regulations regarding certification and retention of the completed forms. These requirements also apply to any contract awarded under this agreement.
- I. SYSTEM FOR AWARD MANAGEMENT REGISTRATION REQUIREMENT (SAM). Cooperator shall maintain current information in the System for Award Management (SAM) until receipt of final payment. This requires review and update to the information at least annually after the initial registration, and more frequently if required by changes in information or agreement term(s). For purposes of this agreement, System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a Cooperative. Additional information about registration procedures may be found at the SAM Internet site at www.sam.gov.
- J. STANDARDS FOR FINANCIAL MANAGEMENT.

1. Financial Reporting



Cooperator shall provide complete, accurate, and current financial disclosures of the project or program in accordance with any financial reporting requirements, as set forth in the financial provisions.

2. Accounting Records

Cooperator shall continuously maintain and update records identifying the source and use of funds. The records shall contain information pertaining to the agreement, authorizations, obligations, unobligated balances, assets, outlays, and income.

3. Internal Control

Cooperator shall maintain effective control over and accountability for all U.S. Forest Service funds, real property, and personal property assets. Cooperator shall keep effective internal controls to ensure that all United States Federal funds received are separately and properly allocated to the activities described in the agreement. Cooperator shall adequately safeguard all such property and shall ensure that it is used solely for authorized purposes.

4. Source Documentation

Cooperator shall support all accounting records with source documentation. These documentations include, but are not limited to, cancelled checks, paid bills, payrolls, contract and subgrant/contract documents. These documents must be made available to the U.S. Forest Service upon request.

- K. LIMITATION OF FUNDS. U.S. Forest Service funds in the amount of \$ 1,147,505 are currently available for performance of this agreement through 12/31/2018. The U.S. Forest Service's obligation for performance of this agreement beyond this date is contingent upon the availability of appropriated funds from which payment can be made. There is no legal liability on the part of the U.S. Forest Service for any payment above this amount until Cooperator receives notice of availability confirmed in a written modification by the U.S. Forest Service.

L. INDIRECT COST RATES- PARTNERSHIP

Indirect costs are approved for reimbursement or as a cost-share requirement and have an effective period applicable to the term of this agreement.

1. If the Cooperator has never received or does not currently have a negotiated indirect cost rate, they are eligible for a *de minimis* indirect cost rate up to 10 percent of modified total direct costs (MTDC). MTDC is defined as all salaries and wages, fringe benefits, materials and supplies, services, travel, and contracts up to the first \$25,000 of each contract.



2. For rates greater than 10 percent and less than 25 percent, the Cooperator shall maintain documentation to support the rate. Documentation may include, but is not limited to, accounting records, audit results, cost allocation plan, letter of indirect cost rate approval from an independent accounting firm, or other Federal agency approved rate notice applicable to agreements.

3. For a rate greater than 25 percent, the Forest Service may require that the Cooperator request a federally approved rate from the Cooperator's cognizant audit agency no later than 3 months after the effective date of the agreement. The Cooperator will be reimbursed for indirect costs or allowed to cost-share at the rate reflected in the agreement until the rate is formalized in the negotiated indirect cost rate (NICRA) at which time, reimbursements for prior indirect costs or cost-sharing may be subject to adjustment.

4. Failure to provide adequate documentation supporting the indirect cost rate, if requested, could result in disallowed costs and repayment to the Forest Service.

M. OVERPAYMENT. Any funds paid to cooperator in excess of the amount entitled under the terms and conditions of this agreement constitute a debt to the Federal Government. The following must also be considered as a debt or debts owed by Cooperator to the U.S. Forest Service:

- Any interest or other investment income earned on advances of agreement funds; or
- Any royalties or other special classes of program income which, under the provisions of the agreement, are required to be returned;

If this debt is not paid according to the terms of the bill for collection issued for the overpayment, the U.S. Forest Service may reduce the debt by:

1. Making an administrative offset against other requests for reimbursement.
2. Withholding advance payments otherwise due to Cooperator.
3. Taking other action permitted by statute (31 U.S.C. 3716 and 7 CFR, Part 3, Subpart B).

Except as otherwise provided by law, the U.S. Forest Service may charge interest on an overdue debt.

N. AGREEMENT CLOSEOUT. Cooperator shall close out the agreement within 90 days after expiration or notice of termination.

Any unobligated balance of cash advanced to Cooperator must be immediately refunded to the U.S. Forest Service, including any interest earned in accordance with 7 CFR 3016.21, 7 CFR 3019.22.



Within a maximum of 90 days following the date of expiration or termination of this agreement, all financial performance and related reports required by the terms of the agreement must be submitted to the U.S. Forest Service by Cooperator.

If this agreement is closed out without audit, the U.S. Forest Service reserves the right to disallow and recover an appropriate amount after fully considering any recommended disallowances resulting from an audit which may be conducted later.

- O. RETENTION AND ACCESS REQUIREMENTS FOR RECORDS. Cooperator shall retain all records pertinent to this agreement for a period of no less than 3 years from the expiration or termination date. As used in this provision, "records" includes books, documents, accounting procedures and practice, and other data, regardless of the type or format. Cooperator shall provide access and the right to examine all records related to this agreement to the U.S. Forest Service Inspector General, or Comptroller General or their authorized representative. The rights of access in this section must not be limited to the required retention period but must last as long as the records are kept.

If any litigation, claim, negotiation, audit, or other action involving the records has been started before the end of the 3-year period, the records must be kept until all issues are resolved, or until the end of the regular 3-year period, whichever is later.

Records for nonexpendable property acquired in whole or in part, with Federal funds must be retained for 3 years after its final disposition.

Cooperator shall provide access to any project site(s) to the U.S. Forest Service or any of their authorized representatives. The rights of access in this section shall not be limited to the required retention period but shall last as long as the records are kept.

- P. FREEDOM OF INFORMATION ACT (FOIA). Public access to agreement records must not be limited, except when such records must be kept confidential and would have been exempted from disclosure pursuant to Freedom of Information regulations (5 U.S.C. 552). Requests for research data are subject to 2 CFR 215.36.

Public access to culturally sensitive data and information of Federally-recognized tribes may also be explicitly limited by P.L. 110-234, Title VIII Subtitles B §8106 (2008 Farm Bill).

- Q. TEXT MESSAGING WHILE DRIVING. In accordance with Executive Order (EO) 13513, "Federal Leadership on Reducing Text Messaging While Driving," any and all text messaging by Federal employees is banned: a) while driving a Government owned vehicle (GOV) or driving a privately owned vehicle (POV) while on official Government business; or b) using any electronic equipment supplied by the Government when driving any vehicle at any time. All Cooperatives, their Employees, Volunteers, and Contractors are encouraged to adopt and enforce policies that ban text messaging when driving company owned, leased or rented vehicles,



POVs or GOVs when driving while on official Government business or when performing any work for or on behalf of the Government.

- R. PURCHASE OF EQUIPMENT. U.S. Forest Service funds may be used by Cooperator to purchase equipment necessary to accomplish activities described in this agreement. The available funding is displayed in the financial plan. Title to the equipment rests with the U.S. Forest Service, but may be transferred to Cooperator on completion of the project, if appropriate.
- S. CONTRACT REQUIREMENTS. Any contract under this agreement must be awarded following Cooperator's established procurement procedures, to ensure free and open competition, and avoid any conflict of interest (or appearance of a conflict). Cooperator must maintain cost and price analysis documentation for potential U.S. Forest Service review. Cooperator is/are encouraged to utilize small businesses, minority-owned firms, and women's business enterprises.
- T. GOVERNMENT-FURNISHED PROPERTY. Cooperator may only use U.S. Forest Service property furnished under this agreement for performing tasks assigned in this agreement. Cooperator shall not modify, cannibalize, or make alterations to U.S. Forest Service property. A separate document, Form AD-107, must be completed to document the loan of U.S. Forest Service property. The U.S. Forest Service shall retain title to all U.S. Forest Service-furnished property. Title to U.S. Forest Service property must not be affected by its incorporation into or attachment to any property not owned by the U.S. Forest Service, nor must the property become a fixture or lose its identity as personal property by being attached to any real property.
Cooperator Liability for Government Property.
1. Unless otherwise provided for in the agreement, Cooperator shall not be liable for loss, damage, destruction, or theft to the Government property furnished or acquired under this contract, except when any one of the following applies:
 - a. The risk is covered by insurance or Cooperator is/are otherwise reimbursed (to the extent of such insurance or reimbursement).
 - b. The loss, damage, destruction, or theft is the result of willful misconduct or lack of good faith on the part of Cooperator's managerial personnel. Cooperator's managerial personnel, in this clause, means Cooperator's directors, officers, managers, superintendents, or equivalent representatives who have supervision or direction of all or substantially all of Cooperator's business; all or substantially all of Cooperator's operation at any one plant or separate location; or a separate and complete major industrial operation.
 2. Cooperator shall take all reasonable actions necessary to protect the Government property from further loss, damage, destruction, or theft. Cooperator shall separate the damaged and undamaged Government property,



place all the affected Government property in the best possible order, and take such other action as the Property Administrator directs.

3. Cooperator shall do nothing to prejudice the Government's rights to recover against third parties for any loss, damage, destruction, or theft of Government property.
4. Upon the request of the Grants & Agreements Specialist, Cooperator shall, at the Government's expense, furnish to the Government all reasonable assistance and cooperation, including the prosecution of suit and the execution of agreements of assignment in favor of the Government in obtaining recovery.

U. U.S. FOREST SERVICE ACKNOWLEDGED IN PUBLICATIONS, AUDIOVISUALS, AND ELECTRONIC MEDIA. Cooperator shall acknowledge U.S. Forest Service support in any publications, audiovisuals, and electronic media developed as a result of this agreement.

V. NONDISCRIMINATION STATEMENT – PRINTED, ELECTRONIC, OR AUDIOVISUAL MATERIAL. Cooperator shall include the following statement, in full, in any printed, audiovisual material, or electronic media for public distribution developed or printed with any Federal funding.

In accordance with Federal law and U.S. Department of Agriculture policy, this institution is prohibited from discriminating on the basis of race, color, national origin, sex, age, or disability. (Not all prohibited bases apply to all programs.)

To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, Room 326-W, Whitten Building, 1400 Independence Avenue, SW, Washington, DC 20250-9410 or call toll free voice (866) 632-9992, TDD (800)877-8339, or voice relay (866) 377-8642. USDA is an equal opportunity provider and employer.

If the material is too small to permit the full statement to be included, the material must, at minimum, include the following statement, in print size no smaller than the text:

"This institution is an equal opportunity provider."

W. REMEDIES FOR COMPLIANCE RELATED ISSUES. If Cooperator materially fail(s) to comply with any term of the agreement, whether stated in a Federal statute or regulation, an assurance, or the agreement, the U.S. Forest Service may take one or more of the following actions:

1. Temporarily withhold cash payments pending correction of the deficiency by Cooperator or more severe enforcement action by the U.S. Forest Service;



2. Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance;
 3. Wholly or partly suspend or terminate the current agreement for Cooperator's program;
 4. Withhold further awards for the program, or
 5. Take other remedies that may be legally available, including debarment procedures under 7 CFR part 417.
- X. TERMINATION BY MUTUAL AGREEMENT. This agreement may be terminated, in whole or part, as follows:
1. When the U.S. Forest Service and Cooperator agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated.
 2. By 30 days written notification by Cooperator to the U.S. Forest Service setting forth the reasons for termination, effective date, and in the case of partial termination, the portion to be terminated. If, in the case of a partial termination, the U.S. Forest Service determines that the remaining portion of the agreement will not accomplish the purposes for which the agreement was made, the U.S. Forest Service may terminate the agreement in its entirety.
- Upon termination of an agreement, Cooperator shall not incur any new obligations for the terminated portion of the agreement after the effective date, and shall cancel as many outstanding obligations as possible. The U.S. Forest Service shall allow full credit to Cooperator for the United States Federal share of the non-cancelable obligations properly incurred by Cooperator up to the effective date of the termination. Excess funds shall be refunded within 60 days after the effective date of termination.
- Y. ALTERNATE DISPUTE RESOLUTION – PARTNERSHIP AGREEMENT. In the event of any issue of controversy under this agreement, the parties may pursue Alternate Dispute Resolution procedures to voluntarily resolve those issues. These procedures may include, but are not limited to conciliation, facilitation, mediation, and fact finding.
- Z. DEBARMENT AND SUSPENSION. Cooperator shall immediately inform the U.S. Forest Service if they or any of their principals are presently excluded, debarred, or suspended from entering into covered transactions with the federal government according to the terms of 2 CFR Part 180. Additionally, should Cooperator or any of their principals receive a transmittal letter or other official Federal notice of debarment or suspension, then they shall notify the U.S. Forest Service without undue



delay. This applies whether the exclusion, debarment, or suspension is voluntary or involuntary.

- AA. COPYRIGHTING. Cooperator is/are granted sole and exclusive right to copyright any publications developed as a result of this agreement. This includes the right to publish and vend throughout the world in any language and in all media and forms, in whole or in part, for the full term of copyright and all renewals thereof in accordance with this agreement.

No original text or graphics produced and submitted by the U.S. Forest Service shall be copyrighted. The U.S. Forest Service reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Federal Government purposes. This right must be transferred to any sub-agreements or subcontracts.

This provision includes:

1. The copyright in any work developed by Cooperator under this agreement.
2. Any right of copyright to which Cooperator purchase(s) ownership with any Federal contributions.

- BB. U.S. FOREST SERVICE CODE OF SCIENTIFIC ETHICS. All persons performing under this agreement shall be aware of and perform according to the U.S. Forest Service Code of Scientific Ethics found at:

[http://www.fs.fed.us/research/publications/fs_code_of%20 scientific ethics.pdf](http://www.fs.fed.us/research/publications/fs_code_of%20scientific_ethics.pdf)

- CC. USDA GUIDELINES FOR QUALITY OF INFORMATION. This agreement is subject to the "Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies; Republication" and the "USDA Guidelines for Quality of Information" which can be found at <http://www.fs.fed.us/qoi/>.

- DD. MODIFICATIONS. Modifications within the scope of this agreement must be made by mutual consent of the parties, by the issuance of a written modification signed and dated by all properly authorized, signatory officials, prior to any changes being performed. Requests for modification should be made, in writing, at least 30 days prior to implementation of the requested change. The U.S. Forest Service is not obligated to fund any changes not properly approved in advance.

- EE. COMMENCEMENT/EXPIRATION DATE. This agreement is executed as of the date of the last signature and is effective through 12/31/2018 at which time it will expire. The expiration date is the final date for completion of all work activities under this agreement.

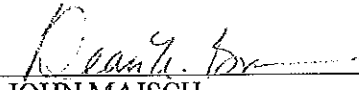
- FF. AUTHORIZED REPRESENTATIVES. By signature below, each party certifies that the individuals listed in this document as representatives of the individual parties are authorized to act in their respective areas for matters related to this agreement. In



wrongful act or omission of a U.S. Forest Service employee, while acting within the scope of their employment is limited to provisions of the Federal Tort Claims Act, 28 USC §§ 2671-80.

GG. INSURANCE. The U.S. Forest Service is a Federal agency and is self insured for personal injury and property damage and its liability is controlled by provisions of the Federal Tort Claims Act, 28 USC §§2671-80. Employees are covered for work related injuries under provisions of the Federal Employees Compensation Act, 5 USC 81.

HH. AUTHORIZED REPRESENTATIVES. By signature below, each party certifies that the individuals listed in this document as representatives of the individual parties are authorized to act in their respective areas for matters related to this agreement. In witness whereof, the parties hereto have executed this agreement as of the last date written below.


JOHN MAISCH
State Forester & Director
Alaska Division of Natural Resources

5.15.2016
Date

ROBERT MANGOLD
Station Director, Pacific Northwest Research Station

Date

The authority and format of this agreement have been reviewed and approved for signature.

VITA
U.S. Forest Service Grants Management Specialist

Date

Burden Statement

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0596-0217. The time required to complete this information collection is estimated to average 4 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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

To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, 1400 Independence Avenue, SW, Washington, DC 20250-9410 or call toll free (866) 632-9992 (voice). TDD users can contact USDA through local relay or the Federal relay at (800) 877-8339 (TDD) or (866) 377-8642 (relay voice). USDA is an equal opportunity provider and employer.



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JOHN MAISCH

Date

State Forester & Director
Alaska Division of Natural Resources

Robert Mangold

5/13/16

Date

ROBERT MANGOLD
Station Director, Pacific Northwest Research Station

The authority and format of this agreement have been reviewed and approved for signature.

Vi Ta

5/11/16

VI TA
U.S. Forest Service Grants Management Specialist

Date

Burden Statement

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Attachment: USFS Agreement No.: 16-JV-11261919-028 Mod. No.:
 Cooperator Agreement No.:

Note: This Financial Plan may be used when:
 (1) No program income is expected and
 (2) The Cooperator is not giving cash to the FS and
 (3) There is no other Federal funding

Financial Plan Matrix: Agreements Financial Plan (Short Form)
 Note: All columns may not be used. Use depends on source and type of contribution(s).

COST ELEMENTS	FOREST SERVICE CONTRIBUTIONS			COOPERATOR CONTRIBUTIONS		(e) Total
	(a) Noncash	(b) Cash to Cooperator	(c) Noncash	(d) In-Kind	(e) Total	
Direct Costs						
Salaries/Labor	\$13,820.00	\$298,610.00	\$31,353.00	\$0.00	\$0.00	\$343,783.00
Travel	\$0.00	\$618,000.00	\$0.00	\$0.00	\$0.00	\$618,000.00
Equipment	\$0.00	\$12,000.00	\$0.00	\$0.00	\$0.00	\$12,000.00
Supplies/Materials	\$0.00	\$137,961	\$6,000.00	\$0.00	\$0.00	\$143,961.42
Printing	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Other	\$0.00	\$30,200.00	\$212,071.00	\$0.00	\$0.00	\$242,271.00
Other						\$0.00
Subtotal	\$13,820.00	\$1,096,771	\$249,424.00	\$0.00	\$0.00	\$1,360,015.42
Coop Indirect Costs		\$50,734	\$42,377.14			\$93,110.98
FS Overhead Costs	\$2,073.00					\$2,073.00
Total	\$15,893.00	\$1,147,505	\$291,801.14	\$0.00	\$0.00	\$1,455,199.40
Total Project Value:						\$1,455,199.40

Matching Costs Determination	
Total Forest Service Share = (a+b) ÷ (e) = (f)	(f) 79.95%
Total Cooperator Share (c+d) ÷ (e) = (g)	(g) 20.05%
Total (f+g) = (h)	(h) 100.00%

WORKSHEET FOR

FS Non-Cash Contribution Cost Analysis, Column (a)

Use this worksheet to perform the cost analysis that supports the lump sum figures provided in the matrix. NOTE: This worksheet auto populates the relevant and applicable matrix cells.

Salaries/Labor				
Standard Calculation				
Job Description	Cost/Day	# of Days		Total
Data Collection Team Leader	\$531.00	5.00		\$2,655.00
Interior Coordinator	\$389.00	20.00		\$7,780.00
Forester	\$302.00	20.00		\$6,040.00
Total Salaries/Labor				\$13,820.00

Subtotal Direct Costs

\$13,820.00

Forest Service Overhead Costs

Current Overhead Rate	Subtotal Direct Costs		Total
15.00%	\$13,820.00		\$2,073.00
Total FS Overhead Costs			\$2,073.00

TOTAL COST

\$15,893.00

WORKSHEET FOR

FS Cash to the Cooperator Cost Analysis, Column (b)

Use this worksheet to perform the cost analysis that supports the lump sum figures provided in the matrix. NOTE: This worksheet auto populates the relevant and applicable matrix cells.

Salaries/Labor				
Standard Calculation				
Job Description		Cost/Day	# of Days	Total
				\$0.00

Non-Standard Calculation			
	monthly salary	# of Months	Total
Forester III	\$10,123.00	2.00	\$20,246.00
Forester II	\$7,227.00	10.00	\$72,270.00
Forester I	6473	10	\$64,730.00
NR Tech II	5863	7	\$41,041.00
NR Tech II	5863	4	\$23,452.00
NR Tech II	5863	4	\$23,452.00
NR Tech II	5863	4	\$23,452.00

	OT hourly cost	# Hours OT	Total
Forester II OT	42.23	150	\$6,334.50
Forester I OT	36.71	150	\$5,506.50
NR Tech II OT	30.21	150	\$4,531.50
NR Tech II OT	30.21	150	\$4,531.50
NR Tech II OT	30.21	150	\$4,531.50
NR Tech II OT	30.21	150	\$4,531.50

Total Salaries/Labor \$298,610.00

Travel				
Standard Calculation				
Travel Expense	Employees	Cost/Trip	# of Trips	Total
Remote camp provisioning		\$30,000.00	4.00	\$120,000.00
				\$0.00
				\$0.00

Non-Standard Calculation		
Helicopter transport (est.)	\$498,000.00	\$498,000.00

Total Travel \$618,000.00

Equipment				
Standard Calculation				
Piece of Equipment	# of Units	Cost/Day	# of Days	Total
Map Grade GPS: Trimble GEO XH	2.00	\$6,000.00		\$12,000.00

Total Equipment \$12,000.00

Supplies/Materials

Standard Calculation				
Supplies/Materials		# of Items	Cost/Item	Total
				\$0.00
				\$0.00

Non-Standard Calculation				
Various supplies		See Attached Supply List	See Attached Supply List	Total
				\$137,961
Total Supplies/Materials				\$137,961

Other Expenses				
Standard Calculation				
Item		# of Units	Cost/Unit	Total
				\$0.00
				\$0.00

Non-Standard Calculation				
Aviation training		8.00	\$1,300.00	\$10,400.00
First Aid/Safety		12.00	\$750.00	\$9,000.00
COR/Agreements		2.00	\$1,500.00	\$3,000.00
FIA protocol training		6.00	\$1,300.00	\$7,800.00
Total Other				\$30,200.00

Subtotal Direct Costs	\$1,096,771.42
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Cooperator Indirect Costs				
Current Overhead Rate	Subtotal Direct Costs			Total
16.99%	\$298,610.00			\$50,733.84
Total Coop. Indirect Costs	Indirect on personnel only			\$50,734

TOTAL COST	\$1,147,505
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WORKSHEET FOR

Cooperator Non-Cash Contribution Cost Analysis, Column (c)

Use this worksheet to perform the cost analysis that supports the lump sum figures provided in the matrix.
 NOTE: This worksheet auto populates the relevant and applicable matrix cells.

Salaries/Labor				
Standard Calculation				
Job Description	Cost/Day	# of Days		Total
Procurement Purchase Spc.	\$369.00	25.00		\$9,225.00
Aviation Support Spc.	\$423.00	21.00		\$8,883.00
Procurement Contract Spc.	\$421.00	15.00		\$6,315.00
Accounting Tech II	\$330.00	21.00		\$6,930.00
Total Salaries/Labor				\$31,353.00

Supplies/Materials				
Standard Calculation				
Supplies/Materials	# of Items	Cost/Item		Total
Vehicle Fuel	\$500/mo.	12.00	\$500.00	\$6,000.00
				\$0.00
Total Supplies/Materials				\$6,000.00

Other Expenses					
Standard Calculation					
Item	# of Units	Cost/Unit			Total
Office Facilities & Rent	\$ 3500/mo.	2.00	\$42,000.00		\$84,000.00
Equipment Storage; Shop	\$ 1000/mo.	1.00	\$12,000.00		\$12,000.00
Flight Following/Tracking		1.00	\$48,000.00		\$48,000.00
					\$0.00
Non-Standard Calculation					
Piece of Equipment	# of Units	Cost/Day	# of Days		Total
Helicopter Support Trailer	1	500.00	\$68.00		\$34,000.00
4x4 SUV 5 passenger	1	75.00	\$365.00		\$27,375.00
Pickup Crew Cab	1	62.00	\$108.00		\$6,696.00
Total Other					\$212,071.00

Subtotal Direct Costs	\$249,424.00
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Cooperator Indirect Costs				
Current Overhead Rate	Subtotal Direct Costs			Total
16.99%	\$249,424.00			\$42,377.14
Total Coop. Indirect Costs				\$42,377.14

TOTAL COST	\$291,801.14
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Interior Alaska FIA Implementation with State of Alaska (16-JV-11261919-028) – Justifications

Cash to Cooperator:

- **Overtime hours:** FIA field operations in Alaska are logistically challenging, require using helicopters/remote camps for plot access, and are constrained by seasonal limitations. Due to these logistical/seasonal constraints and additional costs associated with helicopters/remote camp provisioning it is imperative to be efficient and maximize the work we are able to complete each day which requires field crew to work overtime (OT) during field operations. The field work with aviation operations is planned from June 20-August 25th, which covers approximately 6 pay periods. Field crew average 10-12 hour days, working approximately 10 days per pay period. This averages to be, $11\text{hrs/day} \times 10\text{ days} = 110\text{ hrs/pp}$, with 30 hours of Overtime (OT) per pay period (base 80 + 30 hours of OT = 110 hours/pp). The first and last scheduled work hitch covers a partial pay period and would estimate 15 hours of OT for each of those pay periods. This would be 15 hours of OT during the two partial pay periods, and 30 hours for each full pay period. $30 \times 4 = 120$, plus the two partial pay periods ($15 \times 2 = 30$). $120 + 30 = 150$ hours of estimated OT per person from June 20-August 25 2016 covering two partial pay periods and four full pay periods.
- **Remote Camp Provisioning:** Due to the lack of accommodation (hotels/lodging/restaurants, etc.) working in remote parts of Alaska, it is necessary to procure/provide these amenities for field crew and support staff during field operations. Remote camp provisions (camp assembly/disassembly, lodging, all meals, water/hygiene/sanitation, camp security, and final camp clean up upon completion of the field work) will be needed from July 5th-August 25 2016 which includes four, 10 day periods (July 5-14 (Period 1), July 19-28 (Period 2), August 2-11 (Period 3), and August 16-25 (Period 4)). The camp cost estimate of \$30,000 per 10 day field period for 2016 is based on market research and actual camp costs incurred during the 2014 Interior Pilot conducted in Northway, AK for the same type of field work and remote camp provisioning. $4\text{ work periods} \times \text{an estimated } \$30,000/\text{period} = \underline{\$120,000}$ estimated for remote camp provisions from July 5-August 25, 2016.
- **Helicopter Transport:** Due to the lack of roads in Alaska and the remote locations of the inventory plots where the field data is collected it is necessary to access the majority of work sites via helicopter. During the 2016 field season it is planned to fly from June 20th-August 24th, a total of 66 days the helicopter will need to be available (Mandatory Availability Period, MAP). During this timeframe it is estimated to use 190 hours of flight time for a type three helicopter (the size needed for the project) at \$1,150/hr based on national averages. This is an estimated total of \$218,500 for flight time. Additional costs associated with the helicopter are mechanic costs, pilot costs, etc and

EXHIBIT A

**Proposal for Joint Venture Agreement between
State of Alaska, Division of Forestry
And
USDA Forest Service, Pacific Northwest Research Station**

Project title: Interior Alaska FIA Implementation in Cooperation with the State of Alaska

**Principal investigator from Division of Forestry:
Douglas Hanson**

**Principal investigator from the Forest Service:
Brendt Mueller**

Background:

Interior Alaska forests represent approximately 112 million acres or about 15% of all U.S. forestland. The vast majority of this acreage has not been comprehensively assessed for timber and woods products resources, vegetation structure, carbon and biomass accounting, disturbance and change over time, and climatic impacts (mean annual temperature across AK has increased 3 to 5 degrees F since 1950). Forest Inventory and Analysis (FIA) clients have championed Farm Bill language that stresses the importance of fully implementing the FIA program in all 50 states, specifically including interior Alaska. As of 2016, after more than 15 years of national debate, funding for full implementation of FIA in interior has finally been realized. In order for the areas outside of southeast and southcentral coastal Alaska to be effectively inventoried a collaboration between the U.S. Forest Service (USFS) and the State of Alaska, Division of Forestry (DOF) is critical. Although the Pacific Northwest Research Station has been in discussion with the State for a few years, this collaboration began in earnest in 2015 while the USFS was still in the early stages of the inventory pilot. Now that FIA in interior Alaska has national support, it is even more critical to solidify our partnership with the State of Alaska. The Anchorage Forestry Sciences Lab does not have the internal capacity to take on this large inventory effort without the assistance of the State of Alaska, Division of Forestry.

Purpose:

The purpose of this agreement is to document the cooperation between parties to collect and analyze FIA data in the Tanana Valley watershed (an area the size of Arkansas) in order to evaluate forested conditions in the mainland region of Alaska. The Tanana Valley is the focal point of PNW FIA's current field efforts in interior. Previously this area was the focus of the 2014 Tanana Valley Pilot and will continue to be the main area of FIA interest from 2016-2018. The forests of the Tanana Valley are also an area of key interest to multiple stakeholders in interior Alaska. As the State is not familiar with the multitude of complexities with implementing an inventory of this nature, the USFS will work together with DOF to implement this inventory. We anticipate a 3 year transition strategy, completing 100-150 plots in 2016, approximately 250 plots in 2017, and 350-400 plots in 2018. At the completion of this transition strategy we anticipate that the State will be able to function fairly independently with this inventory in other FIA units in mainland Alaska with the USFS continuing to provide support in

project coordination, safety and aviation guidance, pre-field, quality assurance and control (QA/QC), post-field activities, and data processing and analysis.

Tasks:

Alaska Division of Forestry shall:

1. Collaborate with the USFS Anchorage Forestry Sciences Lab in the preparation and execution of a mutually acceptable plan for implementing the field component of the nationwide Forest Inventory and Analysis (FIA) program in the Tanana Valley Unit of interior Alaska.
2. Collaborate with the USFS to determine the specific location and number of plots to be visited each year based on available funding and logistical constraints, including ownership determination and permitting.
3. Collaborate with the USFS and assist with contract and MOU development for the project including but not limited to: assisting with budget estimates and tracking, payment, and reporting processes as necessary; camp procurement, helicopter and aviation fuel procurement, as well as permitting and access for other field sites, bases of operations, and camp locales.
4. Provide itemized cost expenditures and invoices as requested by USFS (in addition to minimum requirement stated in the agreement) in an agreed upon, timely manner.
5. Identify ownership of plot locations and access routes and make contact with landowners in order to obtain permission to access said lands. No field crew will cross or enter lands for which they do not have permission. Ownership records and information shall be maintained in accordance with standard PNW-FIA ownership collection procedures and pursuant to Section 6 below and submitted to the USFS.
6. DOF employees and other cooperators and participants engaged in activities covered by this agreement shall follow all USFS FIA regulations, guidelines, data security plans and standard operating procedures governing plot location and confidentiality including but not limited to those found in provisions of the Food Security Act of 1985 (PL 99-198, 7 U.S.C. 2276) as amended, regarding FIA. Furthermore: any person/s with the State of Alaska Division of Forestry, its contractor/s or sub-contractor/s who work/s in any way with plot coordinates or ownership data shall be required to sign a non-disclosure agreement (NDA) prior to receiving and working with said data.
7. In addition, care shall be taken to respect plot integrity as outlined in the FIA-Alaska Field Manual as well as respecting landowner rights at all times. Field crews will exercise due diligence and make every attempt to minimize the transmission of invasive species across the inventory region.

8. The DOF shall hire and supervise sufficient numbers of field-going employees with forest inventory experience (and strive to hire individuals with aviation experience (see 19 and 20 below)) to support data collection efforts for the annual installation and measurement of up to 400 FIA plots each field season. Employees may need to be brought on early and retained later than the actual field season dates (typically June – August) in order to receive all necessary pre-season trainings and certifications and to complete all pre-season prep work; as well as retained later, to complete all post-season data clean-up, final edits, uploads, and QA activities.
9. Conduct the activities associated with FIA in accordance with published field methods, manuals, and other documentation (e.g., quality assurance plan/s, reporting guidelines, change proposal timelines, etc.). Data collected will include National FIA core data and any additional interior specific, regional add-ons. Requests for future additional data items collected or significant changes to protocols will require review and approval of the FIA program management. Submission of additional protocol requests shall be in accordance with current PNW-FIA Change Request procedures and generally take 1 year (or more) from the time of request to be implemented. No Change Request is guaranteed.
10. Initiate and complete the work within the applicable time frame from start through the end date of this agreement. Make every reasonable and safe effort to accomplish the work as directed by this agreement. If there are anticipated delays or uncontrollable natural circumstances (ex. large fire events) that cause delay in the process, DOF will notify the USFS in writing within 10 business days.
11. Collect data in a timely manner and provide/upload said data to the USFS within 2 weeks of collection for Quality Control (QA/QC) inspections (including raw data files, plot write ups, data print-outs, error sheets and reports, and completed plot folders). It is recognized by the USFS that in certain remote settings this 2-week requirement may need to be adjusted; however at no time will completed data be turned in for inspection any later than mutually agreed to by all parties. This requirement exists to ensure timely feedback for field crews and to identify potential repeat errors and areas that may require additional training.
12. Unacceptable plot work shall be corrected at no additional cost to the USFS (refer to Clause W of the agreement). Possible remedies include but not limited to: DOF crews to re-do plot write ups and photo work, re-run plot edits, re-upload data, and re-inventory field plots if necessary. If repeated or recurring discrepancies or trends are found, the DOF crews in collaboration with the USFS, will be required to attend additional training. In Alaska, generally acceptable passing QA/QC scores are considered at or above 90%. When practicable DOF personnel will assist and be part of USFS QA/QC crews in the checking of field plots for compliance.
13. Assure that the necessary field crew attend all required training sessions and become certified in data collection protocols prior to conducting field work. No data will be accepted from uncertified crews.

14. Participate in the development of reports summarizing the results from the plots. This includes collaborating with the USFS to provide a final annual report presenting a summary of calendar year accomplishments. This comprises the upload/submission of all final and error-free field data (including downloaded GPS data) and a summary of accomplishments for the field season. This information will be incorporated by the USFS into annual data summaries for the Pacific Northwest Research Station.
15. Procure and provide an exclusive use helicopter/s, aircraft pilot/mechanic, and fueling support for field work that meets appropriate aviation contract and NASF cooperator standards as well as obtaining a signed approval letter from the USFS Regional Aviation Officer attesting to this affect. This is necessary in order to have joint USFS/DOF field crews flying together while conducting FIA field work and QA/QC inspections.
16. Collaborate with the USFS to procure and provide local field/spike camp accommodations and provisions (if necessary) for all participants (including USFS employees and other cooperators, contractors, and participants as needed) while working out of remote locations (defined as areas outside of Fairbanks).
17. Collaborate with the USFS to provide physical work environments and support services while in Fairbanks for employees including but not limited to: training areas, assistance with training site selection, office space for employees, as well as classroom instruction space for field training presentations, and assisting the USFS-FIA staff to complete check plot certifications prior to actual field data collection.
18. Adhere to USFS field safety protocols as outlined in the Forest Service Health and Safety Manual, and relevant Alaska-FIA Job Hazard Analyses (JHA's). JHA's will be presented during pre-season training sessions and serve as a way to initiate safety discussions with the crews.
19. Collaborate with the USFS to train DOF employees in aviation safety and operations. At a minimum this should include all employees taking basic Aviation Training courses equivalent to those offered to USFS crews working for the Anchorage Forestry Sciences Lab. Such courses may include those required to meet the Air Crew Member certification on the Interagency Aviation Training website: <http://www.iat.gov>.
20. Identify appropriate DOF employees to send for further aviation training and development. Such classes should be at a minimum the S-271 (Interagency Helicopter Air Crewmember). Prospective Heli-managers should additionally attend the S-372 (Helicopter Manager) and subsequent refreshers. Note: to function at the full independence level of this agreement heli-managers will need to be hired and/or trained. It is generally recognized that for development purposes, a new employee without prior aviation experience and coursework usually serves 1 year as an air crewmember (after completion of S-271 and as a prerequisite for S-372) and then serves 1-year as a manager trainee (after completion of S-372) under a fully certified manager before being considered qualified. All task books assigned must be completed and signed before progressing to the next level.

21. Collaborate with USFS staff to develop appropriate project specific plans including but not limited to: Project Aviation Safety Plans (PASPs), Flight Following Plans, Safety/Emergency Action Plans (EAPs), etc., for field and support staff.
22. State will provide support and staffing to conduct flight following.
23. Provide proper generalized and specific safety equipment and training for field crew and support staff and all general and specific supplies and equipment necessary for the successful completion of this agreement, including but not limited to: procuring and providing DOF employee field gear such as laptop computers, communication devices (radios, cell/sat phones, etc.), data recorders, GPS receivers; and all appropriate measurement tools and associated equipment such as compass, clinometers, work packs, camping gear (if necessary), hardhats, eye protection, ear protection, etc.
24. Supplies purchased by the State of Alaska with funding provided under this JVA for FIA work will be inventoried and reported to the USFS before and after each field season (generally May 15 – October 1 of each year) and will be used for tracking field gear, expenses, and anticipated replacement costs. Collaborate with the USFS to identify what specific field gear shall be considered accountable. In general, gear such as but not limited to, all electronics, flight helmets, flight suits, cruiser vests, increment borers, clinometers, compasses, hardhats, etc. will be considered accountable. Quantities ordered/initially received, their purchase cost, and working condition post season shall be reported. Any gear in need of replacement will be reported along with anticipated quantities and their estimated cost for replacement.
25. Any purchased computer, computer related product, or specialized electronic equipment (such as data recorders, GPS units or radios) shall comply with FIA's specific software and hardware requirements for digital and computer systems, data processing procedures, software updates, and electronic data submission protocols.
26. Collaborate with the USFS to identify appropriate employees who require USFS computer access. It is advantageous and desirable for key participants such as coordinators and quality assurance staff (and the like) to have computer access. Annual USFS security awareness training shall be required for these employees.
27. The State will provide a trailer to function as a mobile office and storage location for USFS and DOF employees while conducting field work in remote road-based locations.
28. Procure and provide approved PPE for DOF employees while working in and around helicopters, boats, ATV's, etc., including but not limited to: helmets/ flight helmets, flight vests, flight suits, gloves, eye and ear protection, personal flotation devices (PFD's), etc.
29. Some plots, training areas, and base of operations may be inaccessible with a helicopter and more appropriately accessed via fixed-wing aircraft, boats, ATV's, pack animals, etc., or via road. Procure and provide for DOF employees and other participants the appropriate means

of transportation (including training to operate and ride in/on said transportation), to access these locations.

30. When working with USFS crews, allow USFS employees to use, including operate, State owned, rented, or leased vehicles and certify that before any USFS employees use said vehicles, USFS employees have completed all State trainings and requirements to do so.
31. Replace any and all lost or damaged gear due to negligence that may be loaned or provided to the DOF by the USFS covered under this agreement. This does not include damage associated with normal wear and tear.
32. Unless specifically or otherwise exempted; the above stipulations shall apply to all State employees, cooperators, and associated participants who are engaged in activities covered under this agreement.

Forest Service Shall:

1. Collaborate with the State of Alaska, Division of Forestry (DOF) in the preparation and execution of a mutually acceptable plan for implementing the field component of the nationwide Forest Inventory and Analysis (FIA) program in the Tanana Valley Unit of interior Alaska.
2. Collaborate with DOF to determine the specific location and number of plots to be visited each year based on available funding and logistical constraints, including ownership determination and permitting.
3. Collaborate and provide support, as necessary, for safety training and development, aviation needs, coordination, pre-field, quality assurance and control (QA/QC), post season review and data processing, reports, and analysis.
4. Collaborate with DOF to determine the appropriate level of training and quality assurance oversight necessary to collect high quality error free data, including but not limited to: assisting with yearly field training and DOF field crew plot certification of data collection protocols, providing the necessary QA staff to complete identified QA objectives, and QA review of all submitted field data.
5. Provide timely feedback through QA/QC review of field data submitted and through in-person field based hot, cold, and blind checks as established in PNW FIA quality assurance plans. If repeated discrepancies and poor performance trends are found, the USFS will provide follow-up training as necessary.
6. Collaborate with DOF to determine the appropriate level of aviation support needed to safely and efficiently carry out its data collection missions including but not limited to: assisting with flight following, planning, scheduling, coordinating, and aircraft and pilot carding according to NASF cooperator standards.

7. Collaborate with DOF to develop appropriate aviation plans, job safety plans, and training plans necessary to meet agency/interagency requirements including but not limited to: Project Aviation Safety Plans (PASPs), Flight Following Plans, and Safety/Emergency Action Plans (EAPs) for field work and support staff involved, and providing, when appropriate, the necessary safety training to field crews and support staff to achieve these requirements.

8. If necessary, provide housing for USFS employees during field training and while conducting support work out of the immediate Fairbanks area.

9. If necessary, provide road based transportation for USFS employees to use during training and field work when based out of the immediate Fairbanks area. When working with DOF crews, allow State employees to use, including operate, USFS owned, rented, or leased vehicles.

10. Certify that before any DOF employee uses or operates any USFS vehicle, employees and participants have completed all training and requirements. An operator must: have completed a defensive driving course in the last 3 years, hold a current and valid State driver's license, and received and read a copy of the USFS Driver's Operator Guide (EM-7130-2). A course such as the "Safety Six 3" from <http://www.trans360.com> will satisfy the defensive driving requirement. Furthermore, submission of a completion certificate, copy of valid state issued license, and a signed acknowledgement of the receipt of the EM-7130-2 must be on file with the USFS Anchorage Forestry Sciences Lab before any State employee or affiliated participant in this agreement can operate or ride in said vehicles.

11. If transportation means other than approved aviation resources or passenger vehicle transport are required to reach training and work sites the USFS will collaborate with the DOF to ensure all USFS employees receive the appropriate training necessary to operate or ride in said transportation. Examples include but are not limited to: fixed-wing aircraft, boats, ATV's, pack animals, etc.

12. Unless specifically or otherwise exempted; the above stipulations shall apply to all USFS employees, cooperators, and associated participants who are engaged in activities covered under this agreement.

Statement of Mutual Interests

1. The Forest Service's benefit and interest in this agreement are such that the USFS has an obligation through Congressional legislative direction to implement a cost-effective field protocol and sampling design to conduct an FIA inventory in interior Alaska. The USFS also has considerable interest in validating and further refining its modified field protocol that: a.) it can be used in very remote regions of Alaska, b.) will enable assessment of important ecological changes possibly due to a warming climate, and c.) can be efficiently combined with a variety of remote sensing data to increase the precision of inventory parameter estimates. The USFS is responsible for assisting with the field protocol development, logistical planning of the field work, technical support, and analysis of the data collected for this project. This research will

provide scientists with information required to refine the plan to implement FIA inventory across all 112 million acres of forestland in interior Alaska.

2. The Cooperator's benefit and interest in this agreement are such that the State of Alaska has an interest in increasing their development of efficient operational protocols to characterize the structure and composition of interior Alaska's boreal forests from which the Division of Forestry is very interested in gathering information and data that will enable the assessment of ecological change over time (changes in species distributions, carbon flux, etc.) across this vast region. In addition, the proposed collaborative research will benefit the State by allowing extensive interactions and joint research with USFS scientists and personnel with expertise in implementing large-area forest inventories.

3. The Forest Service and State have a mutual benefit and interest such that this project will benefit the USFS and the DOF by further developing the techniques and methods needed to efficiently establish FIA field plots in remote regions of Alaska and acquire information that, when used in combination with both airborne and satellite remote sensing information, will enable the assessment of ecological changes across the region. The DOF has experience conducting forest inventories in interior Alaska's boreal forest ecosystems. Collaboration between the USFS and DOF will combine technical expertise to produce improved methods for measuring boreal forests using a combination of field measurements and remote sensing data. The project's methods will have application to all forested areas in Alaska and will improve U.S. Forest Service research ability to achieve its mission to fully implement the FIA program in all 50 states.

Budget

See attached spreadsheet for planned project expenditures.

are included in the vendor's Daily Availability Cost, average daily availability costs are \$3500/day. 66 days x \$3500 for availability = \$231,000. There are also remote fuel accommodation/delivery charges associated with renting a fuel truck, drop off/pick up, etc. It is estimated we will need this type of service for 51 days of the project at an average cost of \$950/day, \$950/day x 51 days = \$48,500. This would add up to \$218,500 for flight time + \$231,000 for availability + 48,500 for fuel services = \$498,000 estimated for total for helicopter transport costs.

- **Supplies:** See attached spreadsheet

- **Training:** Added to financial plan under training

Interior Alaska FIA Implementation with State of Alaska (16-JV-11261919-028) – Justifications

Cooperator Non-Cash Contributions:

- **Equipment:** Due to lack of established communication facilities in remote areas of Alaska a Helicopter Support Trailer with radio facilities, antenna, etc. is needed to track aircraft, communicate with field crews and serve as a remote office to download data, conduct load calculations, print maps and schedule field assignments. The daily costs are based on the State of Alaska's emergency equipment rental agreements for wildfire operations. This rate is used for the trailer costs because this type of outfitted trailer is unable to be rented in normal recreational vehicle rental agencies and because of its use on unimproved gravel roads. **68 days of use from June 20-August 25, 2016.**

Vehicle costs are based on monthly rates for gravel road usage. **SUV to be used year round, Pickup crew cab to be used when field employees are on duty 108 days of use June 1-September 16, 2016**

- **Other Expenses:** Office facilities are required for the two permanent employees assigned to this project as well as the seasonal technician positions. The facilities are based on the total cost to the Division of Forestry for building expenses divided by the number of offices (two) to be provided in the non-cash contribution. In addition to rent, this cost includes utilities, phone, and computer use. **Rate is \$3,500 per month for a year round period.**

Equipment storage and shop use are required to house and maintain the purchased equipment for this project. Maintenance is required each season to repair items damaged during field use and thus require a shop. Costs are based on total cost to the Division of Forestry for storage facilities and shop expenses divided by the square footage and time used for this project. In addition to rent, this cost includes utilities and phone and shop materials. **Rate is \$250 per month for storage and \$750 per month for heated shop expense.**

Flight Following/Tracking is required in this remote helicopter assisted field project. During the field season helicopter operations must be tracked on maps and positions communicated during take offs and landing and when on route. Field radios need to be programed to maintain compatible frequencies between state and Forest Service radios. This requires communication devices that include various radios, GPS, computers, software and staffing. The Division of Forestry Statewide Logistics Center maintains operations throughout the fire season tracking its own operations, but does not have dedicated staffing for this project. It is expected that this function will be shared with existing staff that will be available during the work hours of this project. **Rate is \$48,000 from June 20-August 25, 2016.**

**Department of Public Safety
Council on Domestic Violence and Sexual Assault**

Subject of RPL: Council on Domestic Violence and Sexual Assault	ADN/RPL #: 12-7-3004
Amount requested: \$ 1,000,000	Appropriation Authority: Sec1 Ch3 4SSLA 2016 Pg 34 Ln 21
Funding source: \$1,000,000 Federal Receipts (1002) Operating	Statutory Authority: AS 18.66.010-.060

PURPOSE

The Department of Public Safety, Council on Domestic Violence and Sexual Assault (CDVSA), requests additional federal receipt authority to coordinate, administer, and monitor funds to programs that provide safety and services for Alaskans affected by domestic violence, sexual assault, and other violent crimes.

To ensure continued funding for this statewide priority of stopping the cycle of domestic violence and funding prevention and adequate victim services, CDVSA requires additional federal receipt authority in FY2017 budget.

Following is a list of federal grants that have increased from previous years, and total approximately \$1,000,000:

1. The U.S. Department of Justice, Office on Violence Against Women, Services-Training- Officers-Prosecutors grant award is approximately \$800,000-\$850,000. This is an increase of approximately \$100,000 over the amount received in previous years.
2. The U.S. Department of Justice, Office of Justice Programs, Victims of Crime Act grant award is approximately \$4.9 million to be spent over a period of four years. This increase applies to FFY 15 and 16 awards. CDVSA anticipates recognizing between \$1.5 and \$2 million each year, which is an increase of \$600,000.
3. CDVSA has also received a new training and technical assistance grant from the U.S. Department of Justice, Office of Justice Programs, Office of Victims of Crime. The amount will be between \$100-150,000 annually.
4. The U.S. Department of Health & Human Services, Family Violence Prevention Services Act grant increased to approximately \$800,000 from \$650-700,000 annually, for an increase of \$150,000.
5. The remaining estimated receipts of \$910,900 from other federal grant awards are not anticipated to change substantially.

	Current Budget	Anticipated Receipts	This Request
Services Training Officers Prosecutors Grant	\$750.0	\$850.0	\$100.0
Victims of Crime Act Grant – Victim Assistance	\$1,400.0	\$2,000.0	\$600.0
Office of Victims of Crime Grant – Training & Technical Assistance	\$0.0	\$150.0	\$150.0
Family Violence Prevention Services Act	\$650.0	\$800.0	\$150.0
Other Federal Grants	\$910.9	\$910.9	\$0.0
Total	3,710.9	4,710.9	1,000.0

PREVIOUS LEGISLATIVE CONSIDERATION

The Department of Public Safety, Council on Domestic Violence and Sexual Assault, has not previously requested additional federal receipt authority to be utilized to administer federal funds to programs that provide services to Alaskans impacted by domestic violence and sexual assault in Alaska.

TIMING ISSUES

There has been an increase in federal grant award funding received by CDVSA and they currently lack federal receipt authority to receive the entire increase in federal grants awarded. The increased federal receipt authority will allow CDVSA to accomplish coordinating, administering and monitoring funds to programs that would not otherwise be possible.

CDVSA received their annual Victims of Crime formula grant which unexpectedly increased from \$1.4 million to \$4.9 million to be spent over a period of four years. The department was not aware of this increase in time to include it in the FY2017 budget request. If this request is not approved, CDVSA will have insufficient federal receipt authority to utilize all available federal funds.

BUDGETARY ISSUES

The increased federal receipt authority will allow for additional grant funds to be provided to programs that fit into CDVSA's mission of providing a system of statewide crisis intervention, perpetrator accountability, and prevention services to Alaskans victimized or impacted by domestic violence and sexual assault.

The FY2017 budget for CDVSA is \$16,607.2, of which \$3,710.9 is funded with federal receipts. With the projected increases and new awards of approximately \$1,000.0, CDVSA anticipates total collections of up to \$4,710.9. The \$1,000.0 increase is being requested now to ensure all potential available federal funds can be received.

No general funds will be used and no additional match is required for this work. Continuing federal receipt authority will be requested in the next budget and will be utilized during each state fiscal year.

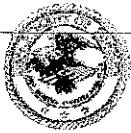
No new positions are required to fulfill the grant objectives.

Legislative Fiscal Analyst Comment: There are no technical difficulties with this RPL.

During the 2016 session, CDVSA received \$1 million DGF (Recidivism Reduction Funding, SB91, Ch. 36, SLA 2016); \$800.0 for statewide prevention services and \$200.0 for research evaluation and materials for rural areas. The grants included in this RPL are for different purposes than SB91 funding, specifically for training and services to victims of violent crimes. According to CDVSA, there will not be funding overlap if this request is approved. A corresponding request for \$1 million in federal authority is anticipated for FY18.

Agency Contact: Kelly Howell, (907) 269-5591

LFD Contact: Kelly Cunningham, 465-3821



Department of Justice
Office on Violence Against Women

Grant

PAGE 1 OF 9

1. RECIPIENT NAME AND ADDRESS (including Zip Code) Alaska Department of Public Safety Council On Domestic Violence And Sexual Assault P.O. Box 111200 450 Whittier St., Room 105 Juneau, AK 99811-1200		4. AWARD NUMBER: 2015-WF-AX-0007	
		5. PROJECT PERIOD: FROM 07/01/2015 TO 06/30/2017 BUDGET PERIOD: FROM 07/01/2015 TO 06/30/2017	
2a. GRANTEE IRS/VENDOR NO. 926005185		6. AWARD DATE 09/23/2015	7. ACTION Initial
2b. GRANTEE DUNS NO. 809387392		8. SUPPLEMENT NUMBER 00	
3. PROJECT TITLE FY 2015 STOP Formula Grant		9. PREVIOUS AWARD AMOUNT \$ 0	
		10. AMOUNT OF THIS AWARD \$ 800,075	
		11. TOTAL AWARD \$ 800,075	

12. SPECIAL CONDITIONS:
THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).

13. STATUTORY AUTHORITY FOR GRANT
This project is supported under 42 U.S.C. 3796gg to 3796gg-5, 3796gg-8

14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number)
16.588 - Violence Against Women Formula Grants

15. METHOD OF PAYMENT
GPRS

AGENCY APPROVAL		GRANTEE ACCEPTANCE	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Dea Hanson Principal Deputy Director		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Kelly Howell Director of Administrative Services	
17. SIGNATURE OF APPROVING OFFICIAL 		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL 	19A. DATE 9-24-15

AGENCY USE ONLY	
20. ACCOUNTING CLASSIFICATION CODES	21. W215D00002
FISCAL FUND BUD. DIV.	
YEAR CODE ACT. OPC. REG. SUB. POMS AMOUNT	
X A W2 29 00 00 00 3512	
X A W2 29 00 00 796563	



Department of Justice
Office of Justice Programs
Office for Victims of Crime

Grant

PAGE 1 OF 6

1. RECIPIENT NAME AND ADDRESS (Including Zip Code) Alaska Department of Public Safety Council On Domestic Violence And Sexual Assault P.O. Box 111200 Juneau, AK 99811-1200		4. AWARD NUMBER: 2015-VA-GX-0060	
		5. PROJECT PERIOD: FROM 10/01/2014 TO 09/30/2018 BUDGET PERIOD: FROM 10/01/2014 TO 09/30/2018	
		6. AWARD DATE 09/15/2015	7. ACTION Initial
2a. GRANTEE IRS/VENDOR NO. 926005185	8. SUPPLEMENT NUMBER 00		
2b. GRANTEE DUNS NO. 809387292	9. PREVIOUS AWARD AMOUNT		\$ 0
3. PROJECT TITLE OVC IS VOCA Victim Assistance Formula		10. AMOUNT OF THIS AWARD	\$ 4,909,151
		11. TOTAL AWARD	\$ 4,909,151
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).			
13. STATUTORY AUTHORITY FOR GRANT This project is supported under 42 U.S.C. § 10603 (a)			
14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number) 16.575 - Crime Victim Assistance			
15. METHOD OF PAYMENT GPRS			
AGENCY APPROVAL		GRANTEE ACCEPTANCE	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Joye E. Frust Director		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Kelly Howell Admin Services Director	
17. SIGNATURE OF APPROVING OFFICIAL <i>Joye E. Frust</i>		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL <i>Kelley Howell</i>	19A. DATE 9-24-15
AGENCY USE ONLY			
20. ACCOUNTING CLASSIFICATION CODES FISCAL FUND BUD. DIV. YEAR CODE ACT. OFC. REG. SUB. POMS AMOUNT X G V2 40 00 00 4909151		21. PV2PGT0109	

OJP FORM 4000/2 (REV. 5-87) PREVIOUS EDITIONS ARE OBSOLETE.

OJP FORM 4000/2 (REV. 4-88)



Department of Justice
Office of Justice Programs
Office for Victims of Crime

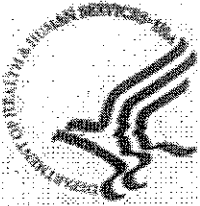
Grant

PAGE 1 OF 7

1. RECIPIENT NAME AND ADDRESS (Including Zip Code) Alaska Department of Public Safety Council On Domestic Violence And Sexual Assault P.O. Box 111200 Juneau, AK 99811-1200		4. AWARD NUMBER: 2015-VT-GX-0057	
2a. GRANTEE IRS/VENDOR NO. 926005185		5. PROJECT PERIOD: FROM 10/01/2014 TO 09/30/2018 BUDGET PERIOD: FROM 10/01/2014 TO 09/30/2018	
2b. GRANTEE DUNS NO. 809387392		6. AWARD DATE 09/15/2015	7. ACTION Initial
3. PROJECT TITLE FY 2015 Victim Assistance Discretionary Grant Training Program Formula Grant		8. SUPPLEMENT NUMBER 00	9. PREVIOUS AWARD AMOUNT \$ 0
		10. AMOUNT OF THIS AWARD \$ 101.183	11. TOTAL AWARD \$ 101.183
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).			
13. STATUTORY AUTHORITY FOR GRANT This project is supported under 42 U.S.C. 10603 (c)(1)(A)			
14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number) 16.582 - Crime Victim Assistance/Discretionary Grants			
15. METHOD OF PAYMENT GPRS			
AGENCY APPROVAL		GRANTEE ACCEPTANCE	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Kareel Virginia Mason Assistant Attorney General		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Kelly Howell Administrative Services Director	
17. SIGNATURE OF APPROVING OFFICIAL <i>Kareel V. Mason</i>		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL <i>Kelly Howell</i>	19A. DATE 9-24-15
AGENCY USE ONLY			
20. ACCOUNTING CLASSIFICATION CODES FISCAL FUND BUD. DIV. YEAR CODE ACT. OFC. REG. SUB. POMS AMOUNT X G V3 40 00 00 101183		21. PV3PGT0089	

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ADMINISTRATION FOR
CHILDREN & FAMILIES

370 L'enfant Promenade, S.W., Washington DC 20447 www.acf.hhs.gov

April 03, 2015

AK Department of Public Safety
Council on Domestic Violence and Sexual Assault
P. O. Box 111200
Juneau, AK 99811-1200

RECEIVED
CDVSA
APR 13 2015

Re: Notice of Grant Award - FY 2015

Dear Grantee:

The Family Violence Prevention & Services State Grants grant award is available for expenditures made in accordance with your approved application under the Family Violence Prevention and Services Act (42 USC 10401) for the period beginning 10/01/2014 and ending 09/30/2016.

Appropriation	CAN	Allotment	This Action	Cumulative
75-5-1536	2015G991538	744,293	744,293	744,293
EIN:	1-926001185-F1	Fiscal Year:	2015	
Document Number:	G-1501AKFVPS	CFDA #:	93.671	


With the acceptance of this award, you agree to administer this grant in compliance with conditions set forth in the applicable Program Instructions, terms and conditions, Departmental regulations, and OMB Circulars. Further, in accordance with Department of Treasury regulations 31 CFR Part 205, implementing the Cash Management Improvement Act, you agree to limit your request to draw Federal funds to the minimum amount needed and to time the request in accordance with the actual, immediate requirements in carrying out programs funded through this award. Failure to adhere to these requirements may cause the suspension of grant funds.

Funds included in this award will be made available through the DHHS Payment Management System (PMS). Questions pertaining to payments should be directed to DHHS Division of Payment Management, Post Office Box 6021, Rockville, MD 20852; telephone 1-877-614-5533.

Fiscal reporting questions regarding this grant should be directed to Manolo Salgueiro, Administration for Children and Families, (202) 690-5811. The electronic Terms and Conditions to support this program can be found on the website at <https://www.acf.hhs.gov/grants/terms-and-conditions>.

Please transmit a copy of this letter to the office authorized to request funds covered by this award.

Sincerely,


Patrick A. Wells
Director, Division of Mandatory Grants

***IMPORTANT NOTE:** Expenditures made using funds from this and all subsequent awards for this program will be governed by guidelines found in the new Omni Circular published by the Office of Management and Budget. These guidelines incorporate and update existing OMB Circulars and are being codified for HHS programs in Federal regulations at 45 CFR Part 75. (See the Federal Register Notice, dated Dec. 19, 2014 at 79 FR 75871-76106.) The Terms and Conditions for this program will be revised accordingly.