

1 Department of Health

2

3 Adopted Permanent Rules Relating to Grants for Maternal and

4 Child Health Services

5

6 Rules as Adopted

7 4700.2600 PURPOSE.

8 The purpose of parts 4700.2600 to 4700.4000 is to establish
9 a process for allocating federal maternal and child health funds
10 and state funds in the form of grants to assist in establishing
11 and maintaining maternal and child health services.

12 4700.2700 SCOPE.

13 Parts 4700.2600 to 4700.4000 apply generally to maternal
14 and child health project grants awarded by the commissioner
15 under Minnesota Statutes, sections 145.88 to 145.889. The money
16 available for the grant awards governed by parts 4700.2600 to
17 4700.4000 comes from federal sources, under United States Code,
18 title 42, sections 701 to 709, as amended through July 18, 1984,
19 and from state appropriations. Parts 4700.2600 to 4700.4000 do
20 not prescribe the exclusive requirements uniformly applicable to
21 federal and state grants, but are in addition to any
22 requirements specified in the federal and state enabling and
23 authorizing laws governing grant programs, as well as applicable
24 federal regulations and directives.

25 4700.2800 DEFINITIONS.

26 Subpart 1. **Scope.** For the purposes of parts 4700.2600 to
27 4700.4000, the following terms have the meanings given them.

28 Subp. 2. **Application.** "Application" means a written
29 request for funds submitted by the applicant on forms provided
30 by the commissioner.

31 Subp. 3. **Award.** "Award" means the authorization by the
32 commissioner for an applicant to receive and expend grant funds
33 for an activity.

34 Subp. 4. **Competitive grant projects.** "Competitive grant



1 projects" means those maternal and child health activities
2 selected by the commissioner on a competitive basis and funded
3 under Laws of Minnesota 1985, First Special Session chapter 14,
4 article 19, section 37, subdivision 4, paragraph (d).

5 Subp. 5. **Formula grant projects.** "Formula grant projects"
6 means those maternal and child health activities approved by the
7 commissioner and funded under Minnesota Statutes, section
8 145.882, subdivisions 3 and 4.

9 Subp. 6. **Local match.** "Local match" means the applicant's
10 share of the cost of maternal and child health activities for
11 which federal and state funds are awarded.

12 Subp. 7. **Notice of availability.** "Notice of availability"
13 means a written announcement by the commissioner noting the
14 availability of funds.

15 Subp. 8. **Notice of intent.** "Notice of intent" means a
16 written response to a notice of availability that must be
17 submitted to the commissioner by the applicant in accordance
18 with the timetable specified in the notice of availability.

19 Subp. 9. **Pre-block grant projects.** "Pre-block grant
20 projects" means those maternal and child health special projects
21 funded in state fiscal year 1983 and continued under Minnesota
22 Statutes, section 145.882, subdivision 1.

23 Subp. 10. **Technically completed applications.**
24 "Technically completed applications" means applications that
25 contain all the information specified in the notice of
26 availability and in part 4700.3200 as well as any additional
27 information that the commissioner considers necessary for the
28 proper review of applications and award of funds.

29 **AVAILABILITY OF FUNDS AND APPLICATION PROCESS**

30 **4700.2900 NOTICE OF AVAILABILITY.**

31 The commissioner shall mail a notice of availability of
32 grant funds to interested parties and local boards of health who
33 have requested the commissioner in writing to be notified. The
34 notice of availability must also be published in the State
35 Register and must include at least the following information:

1 A. the specific purposes for which funds are
2 available;

3 B. the eligibility requirements for applicants;

4 C. the format of the notice of intent to apply for
5 funds;

6 D. the final dates for submission of notice of intent
7 and for submission of applications;

8 E. the expected timetable for review of applications
9 by the commissioner; and

10 F. the regional review requirements.

11 4700.3000 NOTICE OF INTENT.

12 Interested parties shall notify the commissioner in writing
13 of intent to apply for funds in accordance with the timetables
14 and format specified in the commissioner's notice of
15 availability.

16 4700.3100 PROVISION OF APPLICATION FORMS.

17 Upon receipt of the notice of intent, the commissioner
18 shall send application forms and instructions to interested
19 parties who have submitted notices of intent.

20 4700.3200 SUBMISSION OF APPLICATION.

21 Applications shall be submitted to the commissioner by the
22 date specified in the notice of availability. Applicants for
23 pre-block grant projects, formula grant projects, and
24 competitive grant projects shall provide the information
25 specified in Minnesota Statutes, section 145.885, subdivision
26 1. Local boards of health applying for formula grant projects
27 shall also provide the information specified in Minnesota
28 Statutes, section 145.885, subdivision 2. Formula grant project
29 applications may include the local component of projects of
30 regional or statewide significance. The commissioner may
31 require additional information that is necessary for the proper
32 review of applications and award of funds consistent with the
33 purposes of Minnesota Statutes, sections 145.88 to 145.889. The
34 commissioner may refuse to award a grant for failure of an

1 application to provide such information.

2 4700.3300 ADDITIONAL REQUIREMENTS FOR FORMULA GRANT PROJECT
3 APPLICANTS.

4 Local boards of health intending to apply for formula grant
5 projects shall:

6 A. Notify local public and private providers of the
7 availability of funding through the local board of health for
8 maternal and child health services. The notification process
9 shall include direct mailings to providers and publication of
10 pertinent information in newspapers of general circulation in
11 the community health services area.

12 B. Develop a written statement of the criteria to be
13 applied to public and private agency requests for funding and
14 make it available to providers and other interested parties.

15 C. Explain how priorities were established for
16 selecting the requests to be included in the formula grant
17 application and make information available to providers and
18 other interested parties.

19 REVIEW AND DISPOSITION OF APPLICATIONS

20 4700.3400 REGIONAL REVIEW.

21 The applicant shall submit one copy of the completed
22 application form to the commissioner by the date specified in
23 the notice of availability and shall concurrently submit one
24 copy of the completed application form to each of the following
25 entities for the area in which the proposed activity will take
26 place: regional development commission, ~~health-systems-agency,~~
27 and local board of health. Any comments of the regional
28 development commission, ~~health-systems-agency,~~ or local board of
29 health shall be submitted to the commissioner within 45 days
30 after receipt of the application.

31 4700.3500 COMMISSIONER REVIEW.

32 The commissioner shall review all applications in
33 accordance with the time schedule specified in the notice of
34 availability. Consideration shall be given by the commissioner

1 to the following criteria in determining which activities shall
2 receive funds:

3 A. a determination that all legal conditions of
4 eligibility are established under Minnesota Statutes, sections
5 145.882, subdivisions 1, 3, 5, and 7 and 145.883, subdivision 3;

6 B. a determination that the application is
7 technically completed;

8 C. in the case of formula grant project applicants,
9 evidence of compliance with part 4700.3300 and Minnesota
10 Statutes, section 145.885, subdivision 2;

11 D. evidence of the availability of local match
12 consistent with Minnesota Statutes, section 145.888; and

13 E. the findings submitted by the regional review
14 agencies and the advisory task force established under Minnesota
15 Statutes, section 145.881.

16 4700.3600 DISPOSITION.

17 The commissioner shall inform each applicant in writing
18 that one of the actions in items A to D has been taken with
19 respect to its application.

20 A. Approval of application as submitted.

21 B. Approval of application with modifications.

22 C. Conditional disapproval due to inadequate funds.

23 In this case, the applications shall be retained by the
24 commissioner pending availability of additional funds.

25 D. Disapproval of application with justification.

26 The commissioner's notice of award shall specify the amount
27 of the award, source of funds, duration of the funding period,
28 and other conditions necessary for assuring the appropriate use
29 of public funds.

30 ADMINISTRATION

31 4700.3700 MONITORING.

32 A staff member of the Department of Health shall be
33 designated to act as monitor for each grant awarded. The person
34 designated shall, in consultation with the award recipient,
35 provide or arrange for administrative and technical support and

1 shall monitor progress toward the goals and objectives of the
2 activity.

3 4700.3800 RESPONSIBILITIES OF AWARD RECIPIENTS.

4 In addition to fulfilling the goals and objectives of the
5 activity, the award recipients shall:

6 A. comply with the terms and conditions of the
7 commissioner's award notice and with the requirements of parts
8 4700.2600 to 4700.4000 and other applicable laws and rules;

9 B. maintain such records, including program and
10 accounting records, as are necessary to make the required
11 reports and to permit assessment of the activity by the
12 commissioner;

13 C. provide the commissioner with access to records
14 relating to the funded activity;

15 D. provide progress reports in accordance with a
16 schedule specified in the commissioner's award notification;

17 E. assure that:

18 (1) the recipient's treasurer or an official
19 exercising similar functions shall receive and provide for the
20 custody of all funds paid by the commissioner;

21 (2) all local funds expended by the recipient in
22 order to match a directly-awarded federal grant are reported on
23 the budget and expenditure form;

24 (3) the local funds identified as local match are
25 used solely to match the specific grant awarded by the
26 commissioner;

27 (4) funds are used solely for the purpose
28 authorized in the award;

29 (5) accounting records are supported by source
30 documents;

31 (6) audits are conducted to determine the fiscal
32 integrity of financial transactions and reports;

33 (7) fiscal and programmatic accountability is
34 maintained for all subcontracts;

35 (8) services will be provided in accordance with

1 program standards of the commissioner and standards of accepted
2 professional organizations such as the American Academy of
3 Pediatrics; and

4 (9) funds will not be used for inpatient services
5 except for high risk pregnant women and infants.

6 4700.3900 DISQUALIFICATION.

7 The commissioner shall withhold or terminate funding for
8 failure to comply with the terms of the award or with the
9 requirements of the applicable rules or statutes. The
10 commissioner shall require reimbursement of unauthorized
11 expenditures identified by fiscal audit.

12 4700.4000 UNIFORM REPORTS.

13 Award recipients shall furnish uniform reports to the
14 commissioner. Reports of expenditure, filed on forms provided
15 by the commissioner, and annual reports of evaluations of
16 activities shall be submitted no later than 90 days following
17 the close of the fiscal year.

18 REPEALER. Minnesota Rules, part 4615.0200 is repealed.