

B-11 and New/Adjusted Funds Request (NAFR) Process

Scoping Paper for the Management
Audit Committee June 30, 2011

Management Audit Committee

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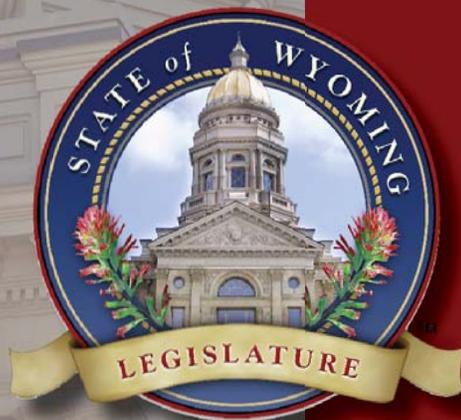
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B-11 and New/Adjusted Request (NAFR) Interim Appropriation Process
Scoping Paper for the Management Audit Committee
June 30, 2011

Background

In accordance with *W.S. 9-2-1005(b)* the Governor is granted authority to authorize revisions, changes, redistributions or increases to budgets and amounts authorized for expenditure by legislative appropriation acts. The Governor is also able to authorize the receipt and expenditure of federal revenues exceeding the amount authorized by legislative appropriation. These are restricted appropriation powers granted to the Governor by the Legislature, in order to authorize the expenditure of funds outside of a legislative session or in time of emergency.

Changes to legislative appropriations occur as a result of newly identified federal funds, expanded federal programs, endowments, or private donations. The Governor however, does not have the authority to increase amounts appropriated to agencies or programs from the General Fund as follows: **1)** authorizing an increase for any agency, excluding from the Governor's emergency fund (*W.S. 9-2-1005 (c) (i)*) and **2)** authorizing funds appropriated for one program to be used for another program (*W.S. 9-2-1005 (c) (ii)*).

B-11 Process

The Governor's overall authority to transfer funds outside of legislative sessions is manifested through a process most commonly called the B-11 process; named for the form document on which additional spending or budgetary transfer requests are approved.

The process to adjust or maintain budget flexibility pursuant to certain requirements and limitations established by the Legislature re: the B-11 process falls into three main categories depending on the type of action required.

- 1) Flex B-11:** The Governor is authorized to use the B-11 process to transfer funds between executive branch agencies (5%) and programs (10%) during the BFY 2011 biennium. The Flex B-11 is defined as the authority to modify existing budgets within the scope of spending authority previously granted by the Legislature; usually 5% to 10%. This authority will last through a specific biennium.

Funding can be transferred within the established agency budget from one budget unit to another or from one Executive Branch agency to another. For example, a cost variance may exist in favor of the State and the agency may wish to expend excess funds for a separate purpose. An interagency transaction may involve a service contract

such as the funding obtained by agencies for business cases approved and implemented by the Information Technology Division within the Department of Administration and Information.

In 2010, the Wyoming Session Laws, Chapter 39, Section 309 provides for this authority. More specifically, subsection (a) (i) provides authority to transfer funds *“between programs within any executive branch agency, excluding the University of Wyoming, ten percent (10%) of the total appropriation for the agency”* and subsection (a) (ii) provides authority to transfer funds *“between executive branch agencies, excluding the University of Wyoming, five percent (5%) of the total appropriation for the agency from which the funds are transferred.”*

- 2) **Non-Flex B-11 (with New/Adjusted Funds Request (NAFR)):** NAFR refers to the document used to request approval for new and un-appropriated spending. The NAFR process is primarily used to request expansion of funding for existing programs or changes in program scope supported by federal, private or public funds. A NAFR is required prior to applying for or accepting un-appropriated funds. Funds associated with NAFR, are appropriated using a Non-Flex B-11.
- 3) **Non-Flex B-11 (without NAFR):** It should be noted that the NAFR and B-11 process are not always supplemental. Rather, the B-11 may occur without a NAFR, if new funding is provided on the federal level or is derived from other public funds.

For example, a Non-Flex B-11 without a NAFR is primarily used for expenditure authorization of funding that will augment an agency’s budget. This process pertains to authorization of additional expenditure authority from existing sources such as an existing fund or carryover amounts from previous years.

Legislative Review: The session law language provides for legislative oversight of the B-11 process. More specifically, subsection (b) states that *“all transfers authorized under this section shall be approved by the governor and reported to the joint appropriations interim committee through the B-11 process as authorized by W.S. 9-2-1005(b) (ii)”*. Subsection (d) includes a caveat that other legislation, which specifies that certain appropriations shall not be transferred, will prevail over the session law language.

Also, W.S. 9-2-1005 (o) requires the Governor to *“report monthly to the legislature on the use of the flex authority authorized under subsections (k) and (m) of this section during each biennium. The report shall specify appropriations and authorized positions transferred during*

the biennium, including transfers between expenditure series, programs and agencies with a detailed written description of the transfer.”

To ensure these requirements are carried out, the Legislative Service Office (LSO) developed and employs a tracking system used to create uniformity in collecting and aggregating B-11's authorized for a given time period. The tracking system is specifically designed for reporting purposes and allows for the following: **1)** efficient and effective assembly of tracking reports; **2)** assistance to the budget office re: review criteria to help build standard budgets; and **3)** assistance re: modification of budgets as they are loaded by the Wyoming State Auditor's Office. The end result is quarterly reports developed by LSO for the Joint Appropriations Committee, which details B-11 actions, including those approved via the Governor's flexible spending authority.

The most recent Legislative Service Office quarterly report (April 1, 2010 through June 30, 2010) to the Joint Appropriations Committee (JAC) shows a total of \$93,264,815 Non-Flex B-11s for Executive Branch agencies, boards, and commissions. It also illustrates a total of \$9,320,902 for Flex-B-11s (April 1, 2010 through June 30, 2010).

Other Review: It should be noted that the Legislature intended for additional assistance and oversight over the B-11 process. Pursuant to W.S. 9-2-1005 (d) other entities provide assistance to the Governor's Office. The statute states *“The state auditor, state treasurer and director of the state department of audit shall assist the governor and the department in carrying out legislative appropriation acts with respect to the audit, record keeping and control of budgets approved thereunder.”* **Note:** During our scoping paper process, we did not gather information related to the type of assistance provided to the Governor by the State Treasurer or the Department of Audit. Should the Management Audit Committee request an audit, we will follow-up with these entities.

Current Approval Process

The process to submit and receive approval through the B-11 or NAFR process involves three primary state agencies which include the Department of Administration and Information's Budget Division, the Governor's Office, and the State Auditor's Office. Through collaborative work, a request is processed and either approved or denied depending on availability of funding and adherence with gubernatorial criteria. Each entity is directly involved in the process as the B-11 moves through the various stages of approval.

The following table outlines the general process steps of each office throughout the B-11 process.

Table 1
B-11 Approval Process for the Budget Division, the Governor’s Office, and the State Auditor’s Office

Office	Process Steps
*Department of Administration and Information - Budget Division	<p>Date stamp, log into database, and assign a tracking number to agency B-11 requests.</p> <p>Review documents to insure compliance with Wyoming statutes, the Budget Bill, and federal regulations.</p> <p>Follow up with agencies if additional documentation is required after initial review.</p> <p>Prepare an official B-11 using an ACCESS database.</p> <p>Budget analyst or Budget Administrator signs the B-11.</p> <p>Forward B-11 to the Governor’s Office for approval.</p> <p>If approved, distribute documents to the agency, board, commission, and State Auditor’s Office.</p>
**Governor’s Office	<p>Date stamp, log into database tracking system, and routed to the Budget Advisor.</p> <p>Budget Advisor reviews the B-11 documents and verifies supporting documentation, amounts, and position request.</p> <p>Budget Advisor grants preliminary approval.</p> <p>Chief of Staff reviews and grants final approval.</p>
***State Auditor’s Office – Comprehensive Annual Financial Report (CAFR) Group	<p>Review the B-11 for appropriateness, determines whether revenues are likely to be received, checks fund balances, and identifies accounting or coding inconsistencies.</p> <p>Will follow up with agencies or the Budget Division if questions arise and additional information is needed.</p> <p>Process the B-11 to make adjustments to the Appropriations Table (BQ90)-Level 1 in WOLFS, by processing each BQE90A transaction.</p> <p>Note: Agencies are responsible for budgeting the increased budget authority through a BGE90E</p>

Office	Process Steps
	<p>document, which is ultimately approved by agency personnel and the Budget Division. Agencies then submit input information into WOLFS for BQ90 level 1 through 4 documents.</p> <p>Once the Budget Division is satisfied that WOLFS documents are verified against approved B-11 language, it will then grant approval in WOLFS, which will allow agencies to expend funds.</p>

Source: Legislative Service Office from information received from the Budget Division and the State Auditor’s Office.

*Process is the same for Non-Flex B-11s, Flex B-11s, and NAFR. However, with the NAFR process, the Budget Division prepares a formal letter of recommendation for the Governor to review.

**Process is the same for Non-Flex B-11s, Flex B-11s, and NAFR. For Non-Flex B-11s however, verification of compliance with the Appropriation’s Bill is also reviewed. NAFRs are reviewed by the Budget Advisor to verify forms and supporting documentation. The document is routed for final approval by the Chief of Staff.

***Process is the same for Non-Flex B-11s and Flex B-11s.

Databases

All three offices maintain databases of B-11s and NAFRs.

The Budget Division uses an ACCESS database to maintain a historical record of all B-11 requests. According to the Division, the data is never purged. It is also backed up by the Department of Administration and Information, Information Technology Division using a product named TIVOLLI. Related to NAFR documents, agencies send hard copies to the Division using a template on its website. NAFR letters to the Governor’s Office generated by the Division are drafted using WORD documents. Hard copies of B-11 requests and NAFR documents are maintained at the Budget Division for each biennium. Older documents are scanned and archived.

The Governor’s Office also uses an ACCESS database to maintain a historical record of B-11 requests. Hard copies are maintained at the Governor’s Office for two years, with prior year documents archived. It should be noted that the previous administration archived all documents. As a result, there are no hard copies maintained by the Governor’s Office for the previous administration.

The State Auditor’s Office maintains an Excel database of B-11 requests and approved B-11s using the WOLFS fund and agency numbers. The B-11 numbers are used for tracking purposes.

Oversight and Monitoring

Governor's Office

From our discussions with Budget Division officials and officials from the State Auditor's Office, we identified various processes that were explained as oversight and monitoring. For example, Budget Division officials stated that prior to granting approval of NAFR requests, the Governor's Office determines if the funding is appropriate and necessary. It does this by reviewing NAFR requests, which are completed via a template developed by the Budget Division.

The NAFR template requires agencies to provide the following information to assist the Governor's Office: 1) grant title; 2) grant application deadline; 3) name of federal agency; 4) Catalog of Federal Domestic Assistance (CFDA) number; 5) grant amount; 6) strategic goals or objectives related to the funds; 7) personnel impact; 8) long range General Fund impact; 9) matching funds required; and 10) cost allocation implications.

The Governor's Office can then use this information to determine if the proposed funding is appropriate and necessary. More specifically, to determine the following:

- Whether or not the request promotes the Agency's mission.
- Whether or not the request builds constituency; creates a new reliance on governance; becomes an integral supplement to administrative costs; and if it does the supporting analysis and compelling need.
- Whether or not the grant is necessary or appropriate based on the role of the Agency and the expectations of the public.
- Whether or not the Agency articulated compelling and justifiable need with thoughtful analysis of the benefits and costs of the grant.

From what we understand, the Governor's Office is in the process of "*tightening up*" the NAFR process to ensure agencies are doing what is required with respect to completing the NAFR forms. Outlined in a letter to agency directors on 5/18/11, the Governor's Office stressed the importance of completing NAFR forms prior to applying for or accepting un-appropriated funds.

This action is consistent with W.S. 9-1-208, which states "*No state department, board, commission or agency whose director, board or commission members are appointed by the governor shall, without prior approval of the governor: apply for federal funds or private*

endowment funds; contract with the federal government or any private association, and effectuate or put into force any plan.”

In the letter to agency directors, the Governor’s Office identifies several problem areas where oversight is lacking:

- Adherence to requirements have been sporadic;
- Requests have exhibited incomplete or inaccurate information;
- Requests have been made after a grant application has been made or funds have been received;
- Requests have come in after letters of support from the Governor have been requested; and
- Requests have come in with less than 48 hours for review and approval.

To date, the Governor’s Office has approved five (5) B-11s during the new administration. The following table provides additional information.

Table 2
Approved B-11s (New Administration)

Type	Total Amount	# Approved	# Denied
Non-Flex B-11	\$60,174	1	0
Flex B-11	\$347,380	2	0
NAFR	\$42,746	2	0
Total	\$450,300	5	0

Source: Legislative Service Office information received from the Office of the Governor

Budget Division

Through the Budget Division’s review of NAFR and B-11 requests, it may identify problems, which will cause denial of the requests. For example, according to Division officials, from BFY 2005 through BFY 2011(as of 5/20/11) six (6) B-11 and six (6) NAFR requests were denied. All were denied *“because they requested new employees which would require a long term commitment by the State of Wyoming to provide general fund support to the new employees once the grant funding expired.”*

Division officials also stated that it regularly monitors revenue and expenditures of all department, boards, agencies and commissions. In addition it has its own *“grow your own”* database, which links to WOLFS. This is used to monitor expenditures and revenues by departments, boards, agencies, and commissions.

Finally, Division officials noted that it worked with the State Auditor’s Office to develop a process that requires all required documentation is received prior to B-11 approval. This occurred because of one instance where a B-11 was approved and the Division discovered later that the federal grant award had not been received. Documentation now required includes federal grant award notices, letter of credit verification, actual checks, etc.

Wyoming State Auditor’s Office

The Wyoming State Auditor’s Office, prior to processing approved B-11s reviews for appropriateness, determines whether revenues are likely to be received, checks fund balances, and identifies accounting or coding inconsistencies. The Office uses a ten (10) step review and approval process to ensure the existence of proposed revenue. The process is primarily related to reviewing and proving the availability of funds. This insures expenditure authority is not granted without first satisfy the funding conditions. The following table provides a summary of the process.

Table 3
Wyoming State Auditor’s Office
B-11 Processing Steps

Step	Description
1	Hard copy of approved B-11 sent to SAO from Governor’s Office.
2	Approved B-11 reviewed for accuracy and enters BGE90A into WOLFS.
3	If revenue source is from a previous General Fund appropriation, it is noted in the BGE90A.
4	Any revenue source (such as authorization from other established funds or carryover), the source is entered as “new revenue.”
5	Checks existing fund balances before approving the BGE90A transaction in WOLFS and makes sure revenue is due in during the current biennium.
6	Interaction with Budget Division and the Governor’s Office if questions arise.
7	If the B-11 decreases a budget, a BGE90E is entered into WOLFS before increasing the authorization in another budget.
8	For dollars appropriated from fund to fund, an IET (IP5 event type) is processed to transfer the cash balance from one fund to another.
9	Once the B-11 is processed, tracking spreadsheets and compilation of B-11 signature pages are updated. Note: Before and after screenshots of B-11 approval pages are kept in the budget folders.
10	Spreadsheets maintained for the year-end audit and budget statements.

Source: Legislative Service Office from information provided by the Wyoming State Auditor’s Office.

Although the CAFR group within the State Auditor’s Office is primarily responsible for providing final funding verification for B-11s, it may interact with agency or Budget Division officials if other questions arise. It should be noted however, that the questioning process is

largely informal and may involve a CAFR group employee communicating with the budget analyst assigned the B-11 request, the CAFR group manager and/or staff for the Governor's Office. In addition, it does not appear that documentation or a tracking log of questions is not maintained.

Current Issues

Although we identified processes within the Budget Division, Governor's Office, and the State Auditor's Office related to reviewing, approving, and processing B-11s, there appear to be areas that could be improved. For example, as noted in the Governor's 5/18/11 letter to agency officials, some problems appear to exist related to following the requirements of W.S. 9-1-208 with respect to receiving prior approval before seeking or accepting federal or private funds.

Re: the Non-Flex B-11 process (without a NAFR form) there also appear to be areas that could be improved. Questioning the appropriateness, in addition to fund availability may be a key construct to produce an efficient and effective Non-Flex B-11 process.

For example, in 2009, the Legislative Service Office in its Phase I report of the Division of Victim's Services (DVS) identified incorrect B-11 processes. It identified that DVS had exhausted biennial appropriations within one fiscal year.

More specifically, DVS expended \$643,992 in provider grants, as well as miscalculated the amount needed to compensate victims of crime. As a result, the agency had to request authority to expend an additional \$950,000 from the Crime Victims Compensation Fund (Fund 22). Also, the wording on the B-11s was not consistent with the reason the B-11s were actually requested. It should be noted that DVS has taken steps to ensure such an occurrence does not happen again.

In addition, it does not appear that any one agency is primarily responsible for ensuring that B-11 appropriations are expended as approved in the B-11 documents. Although the State Auditor's Office adjusts the appropriations tables, the establishment of the BQ90 tables for actual expenditures is carried out by the agencies, with approval of the Budget Division.

As discussed previously, the Budget Division regularly monitors all departments, boards, agencies or commissions revenue/expenditures via WOLFS and special reports provided by the State Auditor's Office. This function appears to be primarily related to monitoring expenditures as they relate to receipted revenue. However, this procedure does not include

conducting variance analysis of the B-11 within the budget to determine if the actual expenditures conform to the expenditures proposed in the original approved B-11 request.

Finally, while the authority granted in W.S. 9-2-1005(b) is clearly stated, there are not equally clear processes for agencies to follow. For example, promulgated rules or regulations with which to administer the B-11/NAFR process have never been promulgated. Rather, the process appears to be annotated in the NAFR form and process descriptions on the Budget Division's webpage. More formal criteria may be warranted.

Potential Audit Questions

1. Determine whether the processes discussed in this scoping paper are adequate to ensure transparency, accountability, effectiveness, and efficiency.
2. Determine whether more formal criteria are needed through the promulgation of rules, to ensure public and other feedback with respect to the B-11 processes in the following areas: request process; approval process, and oversight.
3. Determine whether additional oversight is needed related to the development of pre-audit procedures of B-11 requests prior to approval and post-audit procedures of B-11 appropriations to ensure dollars are being expended as appropriated.
4. Determine whether it is appropriate to require a tracking system to record questions and resolutions of dialog between the SAO, the Budget Division, and the Governor's Office.
5. Survey demographically similar states to identify interim appropriations processes and related oversight.

APPENDIX A

Selected Statutes – B-11 Process

ARTICLE 2. GOVERNOR

9-1-208. Prior approval of governor required.

(a) No state department, board, commission or agency whose director, board or commission members are appointed by the governor shall, without prior approval of the governor:

- (i) Apply for federal funds or private endowment funds;
- (ii) Contract with the federal government or any private association;
- (iii) Effectuate and put into force any plan.

ARTICLE 10. DEPARTMENT OF ADMINISTRATION AND INFORMATION

9-2-1005. Payment of warrants; budget powers of governor; agency budgets; federal funds; new employees.

(a) No warrant shall be drawn by the auditor or paid by the treasurer:

- (i) Unless funds have been previously appropriated or otherwise authorized by law for that purpose;
- (ii) When it has been certified by the department that a state agency is in nonconformance with its approved budget;
- (iii) If the amount sought to be expended would exceed the appropriation or other funds authorized for its use by law;
- (iv) If the expenditure is in nonconformance with the amounts, programs and approved budget authorized by legislative appropriation acts except upon approval of the governor as provided by subsection (b) of this section;

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- (v) If the agency for which the expenditure was authorized is in noncompliance with a provision of a legislative appropriation act relating to the expenditure;
- (vi) If the expenditure relates to a capital improvement project for which total appropriations and authorizations for the project are insufficient except as otherwise authorized by law;
- (vii) If the expenditure is for salaries for employees exceeding the maximum number of employees for the agency authorized by a legislative appropriation act except upon approval of the governor as provided by subsection (b) of this section;
- (viii) If the expenditure of general fund monies is requested for a program other than the program for which the expenditure was authorized by the legislature;
- (ix) If the expenditure of nonfederal monies appropriated for the personal services budget by a legislative appropriation act is requested for any other purpose;
- (x) If the expenditure was authorized for capital improvements but sought to be expended for any other purpose;
- (xi) If the expenditure is requested from federal revenues exceeding the amount authorized by a legislative appropriation act except upon approval of the governor as provided by subsection (b) of this section;
- (xii) If the expenditure is for data processing hardware, software, consultants or training, unless specifically approved by one (1) of the following:
- (A) President of the University of Wyoming for the University of Wyoming;
 - (B) The state chief information officer, the director of the department making the expenditure or, if the agency is a separate operating agency, the administrative head of the agency for the executive branch. A purchase shall not be approved pursuant to this subparagraph if it fails to conform with the criteria developed pursuant to W.S. 9-1-222(a)(iii);
 - (C) Chief justice of the supreme court for the judicial branch;
 - (D) Director of the legislative service office for the legislative branch; or

(E) President of each community college for his respective community college.

(xiii) If the expenditure is otherwise in violation of law.

(b) Subject to subsection (c) of this section, the governor may:

(i) Authorize revisions, changes or redistributions to approved budgets;

(ii) Authorize revisions, changes, redistributions or increases to amounts authorized for expenditure by legislative appropriation acts from non-general fund sources after notifying the legislature that in his opinion an emergency financial situation exists, general fund appropriations can be conserved, agency program requirements have significantly changed or unanticipated non-general fund revenues become available and qualify pursuant to W.S. 9-2-1006(a);

(iii) Authorize the receipt and expenditure of federal revenues exceeding the amount authorized by a legislative appropriation act as provided by W.S. 9-4-206(b);

(iv) Authorize the implementation of the personnel classification and compensation plan consistent with W.S. 9-2-1022(b).

(c) The governor shall not:

(i) Authorize an increase in the amount appropriated to any agency from the general fund by any legislative appropriation act excluding allocations from the governor's emergency appropriation, if any;

(ii) Authorize funds appropriated from the general fund for one (1) program as represented by line appropriations within any legislative appropriation act to be used for another program.

(d) The state auditor, state treasurer and director of the state department of audit shall assist the governor and the department in carrying out legislative appropriation acts with respect to the audit, record keeping and control of budgets approved thereunder.

(e) As used in this section:

(i) "Approved budget" means:

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- (A) An agency's request for an appropriation for a program and for which an appropriation is made in whole or in part;
- (B) The governor's recommended appropriation for an agency program developed pursuant to W.S. 9-2-1010 through 9-2-1013 and for which an appropriation is made in whole or in part;
- (C) A budget for a program as developed by the budget division and approved by the governor for appropriations for which no budgeted request was submitted.
- (ii) "Program" means a line appropriation within a general appropriation act of the legislature as so designated.
- (f) The joint appropriations interim committee of the legislature shall compile the approved budget for each agency's appropriation and transmit the budget to the governor and the agency.
- (g) No federal funds in excess of amounts approved by any legislative appropriations act may be accepted or expended until approved by the governor in writing with a copy to the joint appropriations interim committee. If the governor disapproves the acceptance or expenditure of federal funds under this subsection and the federal funds are accepted or expended, the state auditor shall not draw any warrant nor shall the state treasurer pay any warrant which would result in the disbursement of funds, directly or indirectly through contracts for services, to the public or private entity involved.
- (h) Repealed by Laws 1985, Ch. 232, § 202.
- (j) Repealed By Laws 2000, Ch. 48, § 3.
- (k) Repealed By Laws 2003, Ch. 120, § 3.
- (m) Repealed By Laws 2003, Ch. 120, § 3.
- (n) Repealed By Laws 2003, Ch. 120, § 3.
- (o) The governor shall report monthly to the legislature on the use of the flex authority authorized under subsections (k) and (m) of this section during each biennium. The report shall specify appropriations and authorized positions transferred during the biennium, including transfers between expenditure series, programs and agencies with a detailed written description of the transfer.

Session Laws of Wyoming, 2010. Chapter 39. Section 309 (a-d)

- (a) Notwithstanding W.S. 9-2-1005(a) and (c), the governor is authorized to transfer:
- (i) Between programs within any executive branch agency, excluding the University of Wyoming, ten percent (10%) of the total appropriation for the agency.
 - (ii) Between executive branch agencies, excluding the University of Wyoming, five percent (5%) of the total appropriation for the agency from which the funds are transferred.
- (b) All transfers authorized under this section shall be approved by the governor and reported to the joint appropriations interim committee through the B-11 process as authorized by W.S. 9-2-1005(b) (ii).
- (c) The authority granted under this section is effective for the period beginning July 1, 2010 and ending June 30, 2012.
- (d) Any provision of this act or any other legislation enacted which specifies that an appropriation shall not be transferred or expended for any other purpose, or containing language of like effect, shall prevail over this section and no such funds so appropriated shall be subject to subsection (a) of this section.



APPENDIX B

NAFR and B-11 Forms



STATE OF WYOMING
NEW/ADJUSTED FUNDS REQUEST

No application for new federal or other privately/publicly supported programs and or grants, or for material changes to existing programs or grants, can be submitted without the expressed consent of the Governor or his designee.

FROM: _____ TO: A & I-BUDGET DIVISION

Agency Number and Name

1. AGENCY CONTACT: Name _____ Phone: _____

2. GRANT APPLICATION DEADLINE: _____

3. NAME OF FEDERAL/GRANTING AGENCY: _____

4. GRANT TITLE: _____

5. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: _____

If applicable, Attach completed Standard Form 424, "Application For Federal Assistance" for Federal Grant Funds with a Catalog of Federal Domestic Assistance Number.

6. GRANT AMOUNT: \$ _____ IS THIS CURRENTLY APPROPRIATED BY LEGISLATURE OR GUBERNATORIAL ACTION (B-11): YES () or NO ().
If YES, is the request related to a change in SCOPE () and/or AMOUNT ()?

7. Indicate agency's Strategic Plan Goal and Objective addressed by this funding change: GOAL _____
OBJECTIVE _____

8. What program listed in Appendix D of the final report of the Joint Legislative- Executive Revenue and Expenditure Study dated 9/30/1999 (on file with the Secretary of State's Office) will these funds support. _____

9. Is there PERSONNEL IMPACT? YES () or NO (). If YES, list the number of full-time (FT) & part-time (PT) positions: FT _____ AND PT _____

10. Is there a LONG RANGE GENERAL FUND IMPACT? YES () or NO ()?
If YES, explain in comments section and/or attach documentation.

11. List the cash or in-kind match ratio, and/or maintenance of effort requirements:
CASH MATCH RATIO: GF _____% FF _____% OF _____% IN-KIND MATCH: GF _____% FF _____% OF _____%
MAINTENANCE OF EFFORT \$ _____

12. Is COST ALLOCATION (Indirect Cost) included? YES () or NO ()?
If NO, provide reference to a written document specifically excluding the grant from the Cost Allocation process.

13. GOVERNOR CERTIFICATION OR ASSURANCES REQUIRED: YES () or NO ()? If YES, please attach documentation.

14. COMMENTS: (attach extra page if required)

_____/_____/_____
CABINET OFFICIAL or AGENCY DIRECTOR Signature Date

In my opinion, this request for federal resources meets the criteria established in the Governor's policy statement for accepting federal program funding and is consistent with the agency strategic plan.

APPROVED () OR NOT APPROVED () _____/_____/_____
Governor/Designee Date

A&LB-11 # _____

STATE OF WYOMING
REQUEST TO REVISE APPROVED BUDGETS / AUTHORIZED EMPLOYEES

FY	DEPARTMENT	DIVISION	WOLFS FUND	WOLFS APPROP UNIT	REVENUE SOURCE	BARS FUND	AMOUNT	PFT	PPT	POSITIONS		
										TFT	TPT	AWEC
								0	0	0	0	0
TOTALS								0	0	0	0	0

The Budget Division recommends Approval Approval, as amended Disapproval of the Agency's request.

Budget Analyst

Date

Budget Administrator

Date

***** GOVERNOR'S ACTION *****

The Governor Approves Approves, as amended Disapproves the Agency's request.

Governor's/Designee's Signature

Date

[] - Budget [] - BD Master [] - Agency [] - Auditor [] - Governor Control #

ORIGINAL ON FILE IN THE BUDGET DIVISION

***** REVENUE DETAIL *****

FY DEPARTMENT UNIT	WOLFS FUND	WOLFS APPROP UNIT	REVENUE SOURCE	BARS FUND	AMOUNT	PFT	PPT	POSITIONS		
								TFT	TPT	AWEC
						0	0	0	0	0
TOTALS						0	0	0	0	0

***** EXPENDITURE DETAIL *****

FY DEPARTMENT UNIT	WOLFS FUND	WOLFS APPROP UNIT	OBJECT CODE	AMOUNT
TOTALS:				