



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: Joint Fiscal Committee Members  
From: Daniel Dickerson, Fiscal Analyst  
Date: December 11, 2014  
Subject: Grant Request #2725, #2726

Enclosed please find two (2) items that the Joint Fiscal Office has received from the administration. Five (5) limited service positions are associated with these requests.

**JFO #2725** – \$1,049,112 grant from the U.S. Department of Health and Human Services, CDC, to the Vermont Department of Health. These funds will be used to increase childhood lead poisoning prevention and improve the health and safety of all Vermont home environments over 3 years. The funding will primarily be used to cover some of the costs of current staff within the Healthy Homes/Lead Poisoning Prevention Program as well as some supply and travel costs associated with these positions.

*[JFO received 12/01/14]*

**JFO #2726** – \$1,000,000 grant from the U.S. Department of Justice to the Vermont Department of Corrections. These funds will be used to implement a comprehensive plan based on the principles of evidence-based corrections practices and focused on recidivism reduction. **Five (5) limited service positions**, one Project Director, two Policy and Implementation Analysts and two Organizational Development Coordinators, are associated with this request.

*[JFO received 12/03/14]*

Please review the enclosed materials and notify the Joint Fiscal Office (Daniel Dickerson at (802) 828-2472; [ddickerson@leg.state.vt.us](mailto:ddickerson@leg.state.vt.us)) if you have questions or would like an item held for legislative review. Unless we hear from you to the contrary by December 25 we will assume that you agree to consider as final the Governor's acceptance of these requests.

State of Vermont  
 Department of Finance & Management  
 109 State Street, Pavilion Building  
 Montpelier, VT 05620-0401

[phone] 802-828-2376  
 [fax] 802-828-2428

Agency of Administration

JFO 2726

**STATE OF VERMONT  
 FINANCE & MANAGEMENT GRANT REVIEW FORM**

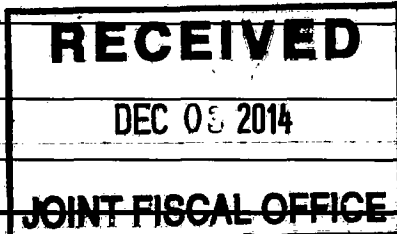
|                                      |  |              |               |              |                 |
|--------------------------------------|--|--------------|---------------|--------------|-----------------|
| <b>Grant Summary:</b>                | Enhance and strengthen the existing prescription drug monitoring system                  |              |               |              |                 |
| <b>Date:</b>                         | 11/18/2014   |              |               |              |                 |
| <b>Department:</b>                   | Department of Corrections  |              |               |              |                 |
| <b>Legal Title of Grant:</b>         | FY 14 Second Chance Act Adult Recidivism Reduction Implementation Program                |              |               |              |                 |
| <b>Federal Catalog #:</b>            | 16.812   |              |               |              |                 |
| <b>Grant/Donor Name and Address:</b> | US Dept. of Justice, Office of Justice Program; 810 7th Street, NW; Washington, DC 20531 |              |               |              |                 |
| <b>Grant Period:</b>                 | From: 10/1/2014  |              | To: 9/30/2015 |              |                 |
| <b>Grant/Donation</b>                | \$1,000,000  |              |               |              |                 |
|                                      | <b>SFY 1</b>   | <b>SFY 2</b> | <b>SFY 3</b>  | <b>Total</b> | <b>Comments</b> |
| <b>Grant Amount:</b>                 | \$571,666  | \$428,334    | \$            | \$1,000,000  |                 |

|                              |                    |  |
|------------------------------|--------------------|--|
| <b>Position Information:</b> | <b># Positions</b> | <b>Explanation/Comments</b>  |
|                              | 5                  | Positions will implement Task Force work plan identified in application. |

**Additional Comments:** The original application is based on a 3 year grant. DOJ awarded the first year (\$1 million) of the grant funds. No state match funds are required.

**Has Vantage budget detail been reviewed and reconciled?**     Yes     No    (Analyst Initial)

|  |                    |           |
|--|--------------------|-----------|
| <b>Department of Finance &amp; Management:</b> | <i>[Signature]</i> | (Initial) |
| <b>Secretary of Administration</b>             | <i>[Signature]</i> | (Initial) |
| <b>Sent To Joint Fiscal Office</b>             | <i>[Signature]</i> | Date      |
|  |                    | 11/25/14  |



**STATE OF VERMONT REQUEST FOR GRANT (\*) ACCEPTANCE (Form AA-1)**

| <b>BASIC GRANT INFORMATION</b>  |  |                  |              |                 |
|---|--|------------------|--------------|-----------------|
| <b>1. Agency:</b>   | Human Services   |                  |              |                 |
| <b>2. Department:</b>   | Corrections  |                  |              |                 |
| <b>3. Program:</b>  | Recidivism Reduction   |                  |              |                 |
| <b>4. Legal Title of Grant:</b>   | FY14 Second Chance Act Statewide Recidivism Reduction Implementation Program |                  |              |                 |
| <b>5. Federal Catalog #:</b>  | 16.812 (Award #2014-CZ-BX-0022)  |                  |              |                 |
| <b>6. Grant/Donor Name and Address:</b>   |  |                  |              |                 |
| US Department of Justice, Bureau of Justice Assistance  |  |                  |              |                 |
| <b>7. Grant Period:</b>   | <b>From:</b>   | 10/1/2014        | <b>To:</b>   | 9/30/2015       |
| <b>8. Purpose of Grant:</b>   |  |                  |              |                 |
| The grantee will use the grant to implement a comprehensive plan based on the fundamental principles of evidenced-based corrections based practices. The implementation plan has six major strategies covering the areas of policy development, staff training, integrating case management amongst community partners, increasing quality assurance, using validated risk and needs assessments, and establishing an evidenced-based domestic violence program. The goals of the project are to: 1) Enhance information sharing across departments and with key reentry partners; 2) Increase quality assurance practices; 3) Increase staff development through training, performance expectations, and oversight and accountability; 4) Invest in programs that address criminogenic needs; 5) Create and institutionalize policies and procedures that support reentry; and 6) reduce recidivism. |  |                  |              |                 |
| <b>9. Impact on existing program if grant is not Accepted:</b>  |  |                  |              |                 |
| None  |  |                  |              |                 |
| <b>10. BUDGET INFORMATION</b>   |  |                  |              |                 |
|   | <b>SFY 1</b>   | <b>SFY 2</b>     | <b>SFY 3</b> |                 |
| <b>Expenditures:</b>  | <b>FY 15</b>   | <b>FY 16</b>     | <b>FY</b>    | <b>Comments</b> |
| Personal Services   | \$533,446  | \$381,034        | \$           |                 |
| Operating Expenses  | \$38,220   | \$27,300         | \$           |                 |
| Grants  | \$   | \$20,000         | \$           |                 |
| <b>Total</b>  | <b>\$571,666</b>   | <b>\$428,334</b> | <b>\$</b>    |                 |
| <b>Revenues:</b>  |  |                  |              |                 |
| State Funds:  | \$0  | \$0              | \$           |                 |
| Cash  | \$   | \$               | \$           |                 |
| In-Kind   | \$   | \$               | \$           |                 |
| Federal Funds:  | \$571,666  | \$428,334        | \$           |                 |
| (Direct Costs)  | \$571,666  | \$428,334        | \$           |                 |
| (Statewide Indirect)  | \$   | \$               | \$           |                 |
| (Departmental Indirect)   | \$   | \$               | \$           |                 |
| Other Funds:  | \$0  | \$0              | \$           |                 |
| Grant (source )   | \$   | \$               | \$           |                 |
| <b>Total</b>  | <b>\$571,666</b>   | <b>\$428,334</b> | <b>\$</b>    |                 |
| <b>Appropriation No:</b> 4800040000   |  |                  |              |                 |
| <b>Amount:</b>  |  |                  | \$571,666    |                 |
|   |  |                  | \$           |                 |

**NOV 17 2014**

**STATE OF VERMONT REQUEST FOR GRANT (\*) ACCEPTANCE (Form AA-1)**

|  |  |              |                   |
|--|--|--------------|-------------------|
|  |  |              | \$                |
|  |  |              | \$                |
|  |  |              | \$                |
|  |  |              | \$                |
|  |  |              | \$                |
|  |  | <b>Total</b> | <b>\$ 571,666</b> |

**Has current fiscal year budget detail been entered into Vantage?**     Yes  No

**PERSONAL SERVICE INFORMATION**

**11. Will monies from this grant be used to fund one or more Personal Service Contracts?**     Yes  No  
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

Appointing Authority Name: Andrew Pallito    Agreed by: \_\_\_\_\_ (initial)

| 12. Limited Service Position Information: | # Positions | Title                                   |
|---|-------------|---|
|   | 2           | Policy and Implementation Analyst       |
|   | 2           | Organizational Development Coordinators |
|   | 1           | Project Director                        |
| <b>Total Positions</b>                    | <b>5</b>    |   |

**12a. Equipment and space for these positions:**     Is presently available.     Can be obtained with available funds.

**13. AUTHORIZATION AGENCY/DEPARTMENT**

|  |   |                      |
|--|---|----------------------|
| I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable): | Signature: <i>[Signature]</i>               | Date: <i>10/8/14</i> |
|  | Title: Andrew Pallito                       |                      |
|  | Signature: <i>[Signature]</i>               | Date: <i>11/3/14</i> |
|  | Title: Commissioner Deputy, Secretary, Arts |                      |

**14. SECRETARY OF ADMINISTRATION**

|                                     |           |  |                       |
|-------------------------------------|-----------|--|-----------------------|
| <input checked="" type="checkbox"/> | Approved: | (Secretary or designee signature) <i>[Signature]</i> | Date: <i>11/24/14</i> |
|-------------------------------------|-----------|--|-----------------------|

**15. ACTION BY GOVERNOR**

|                                     |                            |   |                       |
|-------------------------------------|----------------------------|---|-----------------------|
| <input checked="" type="checkbox"/> | Check One Box:<br>Accepted | (Governor's signature) <i>[Signature]</i> | Date: <i>11/25/14</i> |
| <input type="checkbox"/>            | Rejected                   |   |                       |

**16. DOCUMENTATION REQUIRED**

**Required GRANT Documentation**

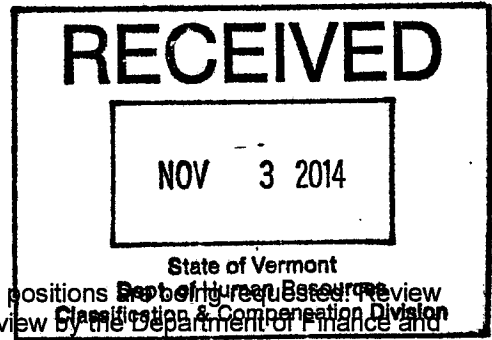
|  |  |
|--|--|
| <input type="checkbox"/> Request Memo<br><input type="checkbox"/> Dept. project approval (if applicable)<br><input checked="" type="checkbox"/> Notice of Award<br><input type="checkbox"/> Grant Agreement<br><input type="checkbox"/> Grant Budget | <input type="checkbox"/> Notice of Donation (if any)<br><input type="checkbox"/> Grant (Project) Timeline (if applicable)<br><input type="checkbox"/> Request for Extension (if applicable)<br><input type="checkbox"/> Form AA-1PN attached (if applicable) |
|--|--|

**End Form AA-1**

# STATE OF VERMONT REQUEST FOR GRANT (\*) ACCEPTANCE (Form AA-1)

(\*) The term "grant" refers to any grant, gift, loan, or any sum of money or thing of value to be accepted by any agency, department, commission, board, or other part of state government (see 32 V.S.A. §5).

**STATE OF VERMONT  
Joint Fiscal Committee Review  
Limited Service - Grant Funded  
Position Request Form**



This form is to be used by agencies and departments when additional grant funded positions are being requested. Review and approval by the Department of Human Resources must be obtained prior to review by the Department of Finance and Management. The Department of Finance will forward requests to the Joint Fiscal Office for JFC review. A Request for Classification Review Form (RFR) and an updated organizational chart showing to whom the new position(s) would report must be attached to this form. Please attach additional pages as necessary to provide enough detail.

Agency/Department: AHS/Corrections Date: 9/29/2014

Name and Phone (of the person completing this request): Monica Weeber/802-951-5057

- Request is for:
- Positions funded and attached to a new grant.
  - Positions funded and attached to an existing grant approved by JFO # \_\_\_\_\_

1. Name of Granting Agency, Title of Grant, Grant Funding Detail (attach grant documents):  
US Department of Justice, 2014 Second Chance Act Adult Recidivism Reduction Implementation Program

2. List below titles, number of positions in each title, program area, and limited service end date (information should be based on grant award and should match information provided on the RFR) position(s) will be established only after JFC final approval:

| <u>Title* of Position(s) Requested</u> | <u># of Positions</u> | <u>Division/Program</u> | <u>Grant Funding Period/Anticipated End Date</u> |
|--|-----------------------|-------------------------|--|
| Project Director                       | 1                     | Administration          | 10/1/2014 - 9/30/2015                            |
| Policy and Implementation Analyst      | 2                     | Administration          | 10/1/2014 - 9/30/2015                            |
| Organizational Development             | 2                     | Administration          | 10/1/2014 - 9/30/2015                            |

\*Final determination of title and pay grade to be made by the Department of Human Resources Classification Division upon submission and review of Request for Classification Review.

3. Justification for this request as an essential grant program need:  
 The DOJ requires a full time project director for recipients of the SCA funds. The additional positions are needed to complete the implementation work plan that was developed by the the Vermont Task Force during the planning stage. These positions can complete the work identified during the grant period and create the system change needed to fulfill the requirements of the grant.

I certify that this information is correct and that necessary funding, space and equipment for the above position(s) are available (required by 32 VSA Sec. 5(b)).

[Signature]  
 Signature of Agency or Department Head 10/6/14  
Date

[Signature]  
 Approved/Denied by Department of Human Resources 11/4/14  
Date

[Signature]  
 Approved/Denied by Finance and Management 11/19/14  
Date

[Signature]  
 Approved/Denied by Secretary of Administration 11/24/14  
Date

Comments:

**NOV 17 2014**

## **Second Chance Act Grant**

### **Overview**

**Timeframe:** 3 years, \$3million (awarded in \$1million increments)

**Goal:** Reduce the baseline recidivism rate.

### **Major Components:**

1. Data-driven approach to recidivism reduction
  - Measure the state rate using a clear definition
  - Understand the drivers of the rate ( who, how and what influence recidivism)
    - Violation data (technical/new charge)
    - Risk levels (focus on moderate to high risk)
    - Target Population (offenders on furlough)
  - Set a reduction goal
  
2. Reform system-wide policies to ensure resources are spent in a targeted, impactful way
  - Use validated risk and needs assessments
  - Use risk level to drive the allocation of resources and direct program selection
    - Match the availability and type of programs to the assessed risk and needs of the population
  - Develop statewide policies that support the implementation of the risk/need principle
    - Written policies that inform which staff perform assessments and when
    - Written policies on how risk assessment results inform case planning, program selection and contact standards
    - Oversight and accountability mechanisms (including personnel evaluations) to ensure policies and procedures are implemented with fidelity and consistency
    - Assessment of statewide policies to identify conflicting policies with competing priorities.
  
3. Build capacity to implement evidence-based interventions effectively
  - Continued staff development
    - Upfront training
    - Booster Training
    - Observation and feedback
    - Coaching
  - On-going quality assurance
    - Corrections Program Checklist
    - Data collection methodology
    - Recidivism Studies
    - Internal reviews of case plans and files
  - Accountability for organizational goals in performance evaluations

- Recruit and hire staff on skills that align with core correctional practices
- Train up existing staff on skills that align with core correctional practices and adherence to the risk principle
- Evaluations that reinforce individual staff impact on agency-wide recidivism reduction efforts

**Vermont Plan:**

1. Limited Service Staff:
  - a. 1 Project Director
  - b. 2 Policy and Implementation Analysts
  - c. 2 Organizational Development Coordinators
2. Recidivism Reduction Task Force and Work Groups
3. Eight Strategies:
  - a. Develop a comprehensive and sustainable EPICs Program within the DOC
  - b. Review and updates all policies and directives related to risk tools, case planning, sanctions and incentives, classification, and community supervision.
  - c. Develop a robust training and development for DOC, state agencies and community providers.
  - d. Increase the quality assurance and implementation fidelity of risk reduction programs.
  - e. Create data sharing process to support integrated case management
  - f. Validate and norm the ORAS for the VT population
  - g. Provide sub-grants (very small) to local partners for civil legal aid.



Proration of \$1Million expenses (FY15/FY16)

Expenditures:

|                    | FY15 (7 months)      | FY16 (5 months)      | 12-month Total         |
|--------------------|----------------------|----------------------|------------------------|
| Personal Services  | \$ 533,446.00        | \$ 381,034.00        | \$ 914,480.00          |
| Operating Expenses | \$ 38,220.00         | \$ 27,300.00         | \$ 65,520.00           |
| Grants             |                      | \$ 20,000.00         | \$ 20,000.00           |
| <b>Total</b>       | <b>\$ 571,666.00</b> | <b>\$ 428,334.00</b> | <b>\$ 1,000,000.00</b> |

| Personal Services              | 12-month Total | FY15 (7 months)      | FY16 (5 months)      |                      |
|--------------------------------|----------------|----------------------|----------------------|----------------------|
| Salary (5 limited positions)   | \$ 332,899.00  | \$ 194,191.08        | \$ 138,707.92        |                      |
| Benefits (5 limited positions) | \$ 183,094.00  | \$ 106,804.83        | \$ 76,289.17         |                      |
| Contracts (see list below)     | \$ 398,487.00  | \$ 232,450.08        | \$ 166,036.92        |                      |
|                                | \$ 914,480.00  |                      |                      |                      |
| <b>Personal Services Total</b> |                | <b>\$ 533,446.00</b> | <b>\$ 381,034.00</b> | <b>\$ 914,480.00</b> |

|   |              |                     |                     |                     |
|---|--------------|---------------------|---------------------|---------------------|
| <b>Operating Expenses</b>   |              |                     |                     |                     |
| Equipment (laptops, cell phones, audit recorders)                 | \$ 43,700.00 | \$ 25,491.67        | \$ 18,208.33        |                     |
| Travel (mileage, airfare, meals, lodging)                         | \$ 19,080.00 | \$ 11,130.00        | \$ 7,950.00         |                     |
| Supplies (general office supplies, brochures, training materials) | \$ 2,740.00  | \$ 1,598.33         | \$ 1,141.67         |                     |
|   | \$ 65,520.00 |                     |                     |                     |
| <b>Operating Expenses Total</b>                                   |              | <b>\$ 38,220.00</b> | <b>\$ 27,300.00</b> | <b>\$ 65,520.00</b> |

|                           |              |  |                     |                        |
|---------------------------|--------------|--|---------------------|------------------------|
| Grants (starting in FY16) | \$ 20,000.00 |  | \$ 20,000.00        |                        |
| <b>Grants Total</b>       |              |  | <b>\$ 20,000.00</b> | <b>\$ 20,000.00</b>    |
|                           |              |  |                     | <b>\$ 1,000,000.00</b> |

|                                       |                      |  |  |
|---------------------------------------|----------------------|--|--|
| <b>Contracts (1st year costs)</b>     |                      |  |  |
| Evaluation                            | \$ 75,000.00         |  |  |
| Risk Reduction                        | \$ 25,000.00         |  |  |
| University of Cincinnati              | \$ 20,000.00         |  |  |
| EPICS                                 | \$ 19,500.00         |  |  |
| Data Sharing Strategy                 | \$ 74,983.00         |  |  |
| Training Strategy                     | \$ 150,000.00        |  |  |
| Domestic Violence Program Development | \$ 25,000.00         |  |  |
| New England ATTC                      | \$ 9,000.00          |  |  |
|                                       | <b>\$ 398,483.00</b> |  |  |

# SRR Organization Chart

