



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: December 11, 2013
Subject: Grant/Position Requests

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

JFO #2656 – Request to establish **two (2) limited service positions** in the Department of Public Safety. These positions will perform accounting and audit functions associated with the monitoring of federal grants. Funding for these positions is available from existing federal grants that permit allocation of grant funds to audit functions.
[JFO received 12/11/13]

JFO #2657 – \$20,000 grant from the Permanent Fund for Vermont's Children and the Turrell Fund to the Vermont Agency of Human Services. These funds will be used to hire a contractor to develop the Early Childhood Framework Action Plan.
[JFO received 12/11/13]

JFO #2658 – \$186,000 grant from the Northern Border Regional Commission to the Vermont Department of Economic Development. These funds will support 16 ExporTech training sessions intended to help small and medium businesses and organizations obtain technical assistance related to international trade.
[JFO received 12/11/13]

JFO #2659 – \$200,000 grant from the University of Kansas Center for Research to the Vermont Agency of Education. These funds will be used to improve educational outcomes by providing technical assistance and other resources to schools as part of the Schoolwide Integrated Framework for Transformation project.
[JFO received 12/11/13]

JFO #2660 – \$53,994 donation (in the form of two Prius plug-in vehicles) from the Toyota Corporation to the Vermont Department of Buildings and General Services. These vehicles will become part of the Fleet Management Services.
[JFO received 12/11/13]

Please review the enclosed materials and notify the Joint Fiscal Office (Nathan Lavery at (802) 828-1488; nlavery@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 January 3 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

SPO 2657

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

Grant Summary:	Gift to fund a contract with Kim Friedman to develop the Early Childhood Framework Action Plan				
Date:	11/25/2013				
Department:	Agency of Human Services, Secretary's Office				
Legal Title of Grant:	N/A				
Federal Catalog #:	N/A				
Grant/Donor Name and Address:	Permanent Fund for Vermont's Children and Turrell Fund through the Vermont Community Foundation, 3 Court Street, Middlebury, VT 05753				
Grant Period:	From: 11/1/2013		To: 6/30/2014		
Grant/Donation	\$20,000				
	SFY 1	SFY 2	SFY 3	Total	Comments
Grant Amount:	\$20,000	\$	\$	\$	

Position Information:	# Positions	Explanation/Comments
	N/A	

Additional Comments: The Agency executed this contract in early November before the funds were accepted by JFC. Attached is a notice of pre-grant spending to allow the agency to expend funds associated with the contract if needed. The contract with Kim Friedman was executed for \$25,000. The total gift is for \$20,000; the additional \$5,000 will be paid from the Agency's general fund budget.

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

Department of Finance & Management	<i>4/25/13</i>	(Initial)
Secretary of Administration	<i>11/25/13</i>	(Initial)
Sent To Joint Fiscal Office	<i>11/27/13</i>	Date



STATE OF VERMONT GRANT SPENDING PRE-NOTICE (Form AA-1PN)

PURPOSE & INSTRUCTIONS:
 This form is intended solely as notification to the Joint Fiscal Committee of the unavoidable need to spend State funds in advance of Joint Fiscal Committee approval of grant requests and with the intent of securing a federally or privately funded grant award. Pre-notification is required for expenditures of state funds beyond basic grant application preparation and filing costs. Expenditure of these state funds does not guarantee that a grant will be awarded to the State of Vermont, or that a future grant award will be accepted by the Joint Fiscal Committee. If a grant award is subsequently received, a completed **Form AA-1 Request for Grant Acceptance** must be submitted to the Joint Fiscal Committee for review and approval before spending or obligating additional funds.

BASIC GRANT INFORMATION

1. Agency: Agency of Human Services

2. Department: Secretary's Office

3. Program: Early Childhood Framework Action Planning Contract

4. Legal Title of Grant: N/A

5. Federal Catalog #: N/A

6. Grant/Donor Name and Address:
 Permanent Fund and Turrel Fund through the Vermont Community Foundation: 3 Court St., Middlebury, VT

7. Grant Period: From: 11/1/2013 To: 6/30/2014

8. Purpose of Grant:
 To fund the development of an Early Childhood Framework Action Plan

9. STATE FUNDS TO BE SPENT IN ADVANCE OF GRANT ACCEPTANCE BY JOINT FISCAL:

Expenditures:	FY 2014	Required Explanation/Comments
Personal Services	\$0.00	(Include type of expenditures to be incurred, i.e. training, planning, proposal development, etc.) The contract for services associated with this funding stream was signed and fully executed on 11/14/2014, but no payments have been made under the contract.
Operating Expenses	\$0.00	
Grants	\$0.00	
Total	\$0.00	

10. AUTHORIZATION AGENCY/DEPARTMENT

I/We certify that spending these State funds in advance of Joint Fiscal Approval of a Grant is unavoidable, and that a completed Form AA-1 Request for Grant Acceptance will be submitted for Joint Fiscal Committee approval if a grant award is received for this program:	Signature: <i>Tom Henry</i>	Date: 11/18/13
	Title: <i>Deputy Secretary, AHS</i>	
	Signature:	Date:
	Title:	

11. ATTACHMENTS: Attach relevant documentation that demonstrates the necessity of this expenditure. (example: funding opportunity guidelines require training, etc.)

Distribution:
 Original - Joint Fiscal Office;
 Copy 1 - Department Grant File;
 Copy 2 - Attach to Form AA-1 (if grant is subsequently received).

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

BASIC GRANT INFORMATION				
1. Agency:	Agency of Human Services			
2. Department:	Secretary's Office			
3. Program:	Early Childhood Framework Action Planning Contract			
4. Legal Title of Grant:	N/A			
5. Federal Catalog #:	N/A			
6. Grant/Donor Name and Address:	Permanent Fund and Turrell Fund through the Vermont Community Foundation: 3 Court St, Middlebury, VT			
7. Grant Period:	From:	11/1/2013	To:	6/30/2014
8. Purpose of Grant:	To fund the development of an Early Childhood Framework Action Plan			
9. Impact on existing program if grant is not Accepted:	Work will not proceed			
10. BUDGET INFORMATION				
	SFY 1	SFY 2	SFY 3	Comments
Expenditures:	FY 2014	FY	FY	
Personal Services	\$20,000	\$	\$	
Operating Expenses	\$	\$	\$	
Grants	\$	\$	\$	
Total	\$20,000	\$	\$	
Revenues:				
State Funds:				
Cash	\$	\$	\$	
In-Kind	\$	\$	\$	
Federal Funds:				
(Direct Costs)	\$	\$	\$	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$	\$	\$	
Other Funds:				
Grant (source)	\$20,000	\$	\$	
Total	\$20,000	\$	\$	
Appropriation No:		Amount:		
	3400001000		\$	
			\$20,000	
			\$	
			\$	
			\$	
			\$	
		Total	\$20,000	
Has current fiscal year budget detail been entered into Vantage? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				

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

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: _____ Agreed by: DA (initial)

12. Limited Service Position Information:	# Positions	Title
Total Positions		

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: <u>Dixie Henry</u>	Date: <u>11/18/13</u>
Title: <u>Deputy Secretary, DHS</u>	<u>OK</u>
Signature: _____	Date: _____
Title: _____	

14. SECRETARY OF ADMINISTRATION

Approved: _____ (Secretary or designee signature) Date: 11/25/13

15. ACTION BY GOVERNOR

Check One Box:
 Accepted _____ (Governor's signature) Date: 11/27/13
 Rejected _____ (Governor's signature) Date: _____

16. DOCUMENTATION REQUIRED

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

End 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).



October 25, 2013

Mr. Doug Racine, Secretary
Agency of Human Services
208 Hurricane Lane
Williston, VT 05495

THE MISSION OF

THE PERMANENT FUND

FOR VERMONT'S CHILDREN

IS TO PROMOTE HEALTHY,

HAPPY CHILDREN AND

FAMILIES IN VERMONT

THROUGH THE FUNDING

AND SUPPORT OF

COMMUNITY-BASED

PREVENTION STRATEGIES.

Dear Doug:

The Permanent Fund for Vermont's Children and the Turrell Fund would like to make a \$20,000 gift to the State of Vermont specifically to fund a contract with Kim Friedman to develop the Action Plan to accompany the Early Childhood Framework developed for the Governor's Early Childhood Summit. These funds provided by the Turrell Fund and the Permanent Fund are gifted to the Agency of Human Services and are to be used exclusively for the purpose listed above.

If you have any questions regarding this gift please contact me at 802-388-3355 ext. 229 or my co-worker, David Morrissey at ext. 228.

Best,

Debra Rooney, CPA
CFO & Vice President for Finance
Vermont Community Foundation

Nathan Lavery

From: Hutt, Monica <Monica.Hutt@state.vt.us>
Sent: Wednesday, December 11, 2013 4:04 PM
To: Nathan Lavery
Cc: Giffin, Jim; Donahey, Richard
Subject: response to AHS grant question

Nathan, I am your contact person for the query you sent to Jim and Rich related to the \$20,000 for the Early Childhood Action Plan development.

This gift to the state is in support of Kim Friedman's contract with us to complete the action plan related to the Early Childhood Framework. The Framework is related to the Governor's focus on Early Childhood, the recent Governor's Summit, and the Framework document. The Action plan will extrapolate the high level goals into indicators, strategies and action related to the Framework goals along with delineating responsibility for the action steps. We are working hand in hand with the Agency of Ed, the Governor's Office and Building Bright Futures in addition to many, many stakeholders to complete this process.

I have excerpted part of the scope of work from Kim's contract here, please don't hesitate to let me know if you have any additional questions. Thanks.

The contractor will develop an Early Childhood Action Plan as a companion document to the Governor's Early Childhood Framework document. The contractor will work with agency staff and others in state government responsible for prenatal care, health care and nutrition for young children and their families, services for young children with special needs, child development, child protection, and all other aspects of early childhood programs and policies in order to draft this document. Additionally, the contractor will be responsive to an Implementation Team comprised of representatives from the Governor's Office, the AHS Secretary's Office, the Agency of Education, the Building Bright Futures Council and private philanthropic organizations. It is understood that the development of an Action Plan will include strategies, indicators of success and milestones that correlate directly to the goals in the Early Childhood Framework.

The Early Childhood Action Plan will be developed on behalf of the Agency of Human Services, the Governor and the Governor's policy and fiscal staff.

The Contractor will draw upon existing knowledge, reviews of successful action planning documents from other states, and the expertise of individuals, providers and organizations working with young children and their families to develop Vermont's Early Childhood Action Plan. The Contractor will work with a technical assistance consultant as available and appropriate to facilitate the action planning and implementation work.

The expected work product will be a comprehensive action plan as a companion to the Early Childhood Framework.

The Contractor will create a mutually agreed upon work plan to better define the process for development of an Action Plan and will operate at the direction of the AHS Secretary and his designee. Elements of the work plan are subject to change at the discretion of the AHS Secretary or his designee.

The Contractor shall supply original copies of all work products as requested by the AHS Secretary. Work assignments shall originate with the Secretary of the Agency of Human Services or his designee.

A final work product will be evidenced by a final Early Childhood Action Plan document. Primary responsibilities for the Contractor include but are not limited to:

- 1) *Oversee the development of a statewide Early Childhood Action Plan to operationalize the goals in the Early Childhood Framework, including:*
 - a) *Drafting a detailed work plan*
 - b) *Working with an Action Plan Committee to finalize and implement that plan*
 - c) *Planning all relevant conference calls and meetings*
 - d) *Maintaining a web presence*
 - e) *Convening and facilitating weekly calls with an Action Plan governance sub-committee to make interim and/or smaller decisions between Action Plan Committee meetings*

- 2) *Draft and revise the Action Plan*

- 3) *Involve the Technical Assistance consultant when technical assistance is needed, including but not limited to:*
 - a) *Shifting through focus session ideas to identify key objectives and strategies*
 - b) *Ideas from other states that could inform our approach*
 - c) *Prioritization of objectives and strategies*
 - d) *Facilitation of key meetings*

Monica Caserta Hutt

Director of Policy and Planning
Agency of Human Services
208 Hurricane Lane
Williston, VT 05495

802 871 3251 office line
802 793 3610 mobile phone