MEMORANDUM

To: Joint Fiscal Committee Members
From: Daniel Dickerson, Fiscal Analyst
Date: November 18, 2014
Subject: Grant Request #2718, #2719, #2720, #2721, #2722, #2723

Enclosed please find six (6) items that the Joint Fiscal Office has received from the administration.

**JFO #2718** – $10,000 grant from the Consumers Union to the Vermont Department of Finance and Management. These funds will cover a portion of the costs associated with implementation and administration of the new law that requires labeling of food produced from genetic engineering. The donated funds will be deposited in the Vermont Food Fight Fund.

*JFO received 11/10/14*

**JFO #2719** – $15,000 grant from the Consumers Union Action Fund (separate from above) to the Vermont Department of Finance and Management. These funds will cover a portion of the costs associated with implementation and administration of the new law that requires labeling of food produced from genetic engineering. The donated funds will be deposited in the Vermont Food Fight Fund.

*JFO received 11/10/14*

**JFO #2720** – $250,000 grant from the Northern Border Regional Commission to the Vermont Agency of Transportation. These funds will be used to install a 2,500 foot rail siding for a new Washington County Railroad (WCRR) transload facility near the town of Barton, VT. The total project cost is estimated at $382,120, of which, $63,350 will be paid from in-kind contributions from the WCRR and $68,770 will be derived from the value of state-owned rail assets, with the remainder being funded by the grant.

*JFO received 11/10/14*

**JFO #2721** – $95,126 grant from the U.S. Dept. of Health and Human Services to the Vermont Agency of Human Services. These funds will be applied to the Agency’s Refugee Targeted Assistance Program to supplement services already provided to refugees in Vermont. These services are geared towards making refugees economically self-sufficient as soon as possible after arriving in the U.S. through English language training and employment services.

*JFO received 11/10/14*

**JFO #2722** – $39,978 donation from the Vermont National Guard to the State of Vermont. These funds were previously appropriated to the Military Department in 2004 and 2005 as part of a
larger funding package to assist military members in emergency situations. Since that time, the Vermont National Guard Charitable Foundation (VTNGCF) has been established with ample funding to support its mission and the remaining State funds are no longer needed. The donation will be deposited into the General Fund.

[JFO received 11/13/14]

**JFO #2723** - $13,500 grant from Keurig Green Mountain to the Vermont Agency of Human Services. This grant will fund a volunteer coordinator position in the SerVermont program to organize volunteers for projects to improve the water quality of Lake Champlain. The position will be funded for one year.

[JFO received 11/13/14]

Please review the enclosed materials and notify the Joint Fiscal Office (Daniel Dickerson at (802) 828-2472; 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 1 we will assume that you agree to consider as final the Governor’s acceptance of these requests.
STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

Grant Summary: This grant is to create a 2,500 foot siding for a new transload facility on the state-owned right-of-way in Barton.

Date: 10/20/2014

Department: AOT Rail 8100002300

Legal Title of Grant: Northern Border Regional Commission

Federal Catalog #: 90.601

Grant/Donor Name and Address: Northern Border Regional Commission, Margaret Chase Smith FOB, Suite 21100, 202 Harlow Street, Bangor, ME 04401

Grant Period: From: 10/1/2014 To: 9/30/2015

Grant/Donation 250,000.00

<table>
<thead>
<tr>
<th>SFY 1</th>
<th>SFY 2</th>
<th>SFY 3</th>
<th>Total</th>
<th>Comments</th>
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</thead>
<tbody>
<tr>
<td>$250,000</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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Position Information:

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<th># Positions</th>
<th>Explanation/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

Additional Comments: No State funds; match requirements will be met by in-kind contributions from the New England Central Railroad ($63,350) and state-owned rail on hand ($68,770).

Department of Finance & Management

Secretary of Administration

Sent To Joint Fiscal Office

RECEIVED

NOV 10 2014
STATE OF VERMONT REQUEST FOR GRANT ( ) ACCEPTANCE (Form AA-1)

1. Agency: Vermont Agency of Transportation
2. Department: Policy, Planning & Intermodal Development
3. Program: Rail Section
4. Legal Title of Grant: Northern Border Regional Commission
5. Federal Catalog #: 90.601
6. Grant/Donor Name and Address:
   Northern Border Regional Commission, Margaret Chase Smith FOB, Suite 21100, 202 Harlow Street, Bangor, ME 04401
7. Grant Period: From: 10/1/2014 To: 9/30/2015
8. Purpose of Grant:
   A 2,500 foot siding for a new transload facility on the state-owned right-of-way in Barton
9. Impact on existing program if grant is not Accepted:
   Federal grant funds would not be put to work for this rail siding and the project would not proceed.

<table>
<thead>
<tr>
<th>SFY 1 FY 2015</th>
<th>SFY 2 FY</th>
<th>SFY 3 FY</th>
<th>Comments</th>
</tr>
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<tbody>
<tr>
<td>Personal Services</td>
<td>$5,000</td>
<td>$</td>
<td>$</td>
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<tr>
<td>Operating Expenses</td>
<td>$377,120</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Grants</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Total</td>
<td>$382,120</td>
<td>$</td>
<td>$</td>
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<table>
<thead>
<tr>
<th>SFY 1 FY 2015</th>
<th>SFY 2 FY</th>
<th>SFY 3 FY</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Funds:</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Cash</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>In-Kind</td>
<td>$132,120</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Federal Funds:</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Direct Costs)</td>
<td>$250,000</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Statewide Indirect)</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>(Departmental Indirect)</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Other Funds:</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Grant (source )</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Total</td>
<td>$382,120</td>
<td>$</td>
<td>$</td>
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</tbody>
</table>

Appropriation No: 8100002300 - 20165
Amount: $250,000

Department of Finance & Management
Version 1.7_6/19/2013

OCT 15 2014
## 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:  
(initial)

## 12. Limited Service Position Information:

<table>
<thead>
<tr>
<th># Positions</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Positions

## 12a. Equipment and space for these positions:

☐ Is presently available.  
☐ Can be obtained with available funds.

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:  
Date: 10/3/14  
Title: Secretary of Transportation

Signature:  
Date:  
Title:  

## Approved:  
(Secretary or designee signature)  
Date: 1/28/14

Check One Box:  
☑ Accepted  
☐ Rejected  
Date: 11/5/14

### Required GRANT Documentation

- Request Memo
- Dept. project approval (if applicable)
- Notice of Award
- Grant Agreement
- Grant Budget
- Notice of Donation (if any)
- Grant (Project) Timeline (if applicable)
- Request for Extension (if applicable)
- Form AA-1PN attached (if applicable)

(*) 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).
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 Transportation
2. Department: Policy, Planning & Intermodal Division
3. Program: Rail Section
4. Legal Title of Grant: Northern Border Regional Commission
5. Federal Catalog #: 90.601
6. Grant/Donor Name and Address: Northern Border Regional Commission, Margaret Chase Smith FOB, Suite 21100, 202 Harlow Street, bangor, ME 04401
7. Grant Period: From: 10/1/2014 To: 9/30/2015
8. Purpose of Grant: A 2,500 foot siding for a new transload facility on the state-owned right-of-way in Barton
9. STATE FUNDS TO BE SPENT IN ADVANCE OF GRANT ACCEPTANCE BY JOINT FISCAL:

<table>
<thead>
<tr>
<th>Expenditures</th>
<th>Required Explanation/Comments</th>
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</thead>
<tbody>
<tr>
<td>Personal Services</td>
<td>$1,000.00</td>
</tr>
<tr>
<td>Operating Expenses</td>
<td>$60,000.00</td>
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<tr>
<td>Grants</td>
<td>$</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$61,000.00</strong></td>
</tr>
</tbody>
</table>

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: [Signature]
Title: Secretary of Transportation
Date: 10/13/14

Signature: [Signature]
Title: [Title]
Date: [Date]

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).

(End Form AA-1PN - Grant Spending Pre-Notice - Form AA-1PN)
From: Chadwick, Krista <Krista.Chadwick@state.vt.us>
Sent: Monday, November 17, 2014 3:27 PM
To: Chadwick, Krista; Daniel Dickerson
Cc: Delabruere, Daniel
Subject: RE: Northern Border Commission Grant

My mistake. It was due to necessary environmental permits, not winter shutdown. The amounts and timeline remain the same as noted below.

Krista Chadwick
VTrans - Rail Section
P: (802) 828-5750
F: (802) 828-2829

From: Chadwick, Krista
Sent: Monday, November 17, 2014 3:20 PM
To: 'ddickerson@leg.state.vt.us'
Cc: Delabruere, Daniel
Subject: Northern Border Commission Grant

Hi Dan,

The $61,000 on the form was an original estimate in hopes that some of the work will be accomplished and billed prior to when Joint Fiscal would meet and approve. Due to winter shutdown, this did not occur. We do not expect to receive any bills prior to December 17th.

Let me or Dan Delabruere know if you have any questions.

Krista Chadwick
VTrans - Rail Section
P: (802) 828-5750
F: (802) 828-2829
Grant Agreement
Between
Northern Border Regional Commission
And
Vermont Agency of Transportation

<table>
<thead>
<tr>
<th>NBRC Contract Number</th>
<th>Project Title: Barton Rail Siding Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>NBRC-14-G-VT-00004</td>
<td></td>
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</tbody>
</table>

Grantee: Vermont Agency of Transportation
1 National Life Drive
Montpelier, VT 05633-5001
Grantee's Project Director: Krista Chadwick
Telephone No.: 802-828-5750

NBRC Project Coordinator
202-590-6650

State Liaison Officer
Ken Horseman
802-828-5236

Part I – Special Provisions

Statement of Purpose – Incorporation of Proposal: This agreement implements a grant made under the authorities of Public Law 110-246 (June 18, 2008), Subtitle V, Chapter 3 Financial Assistance, to provide funding to the Vermont Agency of Transportation for a new rail siding project in Barton, Vermont.

This project shall be carried out in general accord with Grantee's proposal, received at Northern Border Regional Commission (NBRC) on July 2, 2014. Grantee's proposal is incorporated by reference as Supplement A to Part I. To the extent the Articles of this agreement conflict with the incorporated proposal, the Articles shall control.

Order of Precedence: This grant agreement is subject to the provisions of Public Law 110-246, the NBRC Federal Grant Program Eligibility and Clarification Notes, the Special Provisions (Part I), this Grant Agreement, General Provisions (Part II), and any incorporated Supplements. Any conflict among these provisions shall be resolved giving precedence to these authorities in the order in which they are listed above.
Reports: A progress report for each 120-day period and a final report are required under this agreement (see Part II)

Consideration and Method of Payment:

A. Total: For the complete and satisfactory performance of this grant agreement, as determined by NBRC, Grantee shall be paid by NBRC a total not to exceed $250,000, or 65% of actual, reasonable and eligible project costs, whichever is lower. Grantee shall pay, or cause to be paid, the non-NBRC share of $132,120 in other grant funds, cash, contributed services, or in-kind contributions as approved by NBRC.

B. Method: Progress and advance payments not to exceed 90% of total NBRC approved funds are authorized under this agreement. Upon Grantee’s satisfactory completion of the Agreement, Grantee shall receive any balance of funds which may be due under this agreement (see Part II).

Budget: Costs will be determined in general accord with the budget (which is attached as Supplement B to Part I and hereby incorporated into this agreement), subject to the terms of this Grant Agreement and to the other provisions listed above in the Order of Precedence.

Period of Performance: The grant period of performance shall be between October 1, 2014 thru September 30, 2015.

Sandford (Sandy) Blitz
Federal Co-Chair

Grantee's Authorized Representative

Date: 9/25/14

Vermont Agency of Transportation
Rail Division
SCOPE OF WORK: Clear Brush and grub.
Build 2,500 feet of track.
Build and install three turnouts
Dump Ballast and surface siding and turnouts.

Vermont Rail System
Washington County Railroad
2,500 FT siding for new transload facility
MP L 10.77
Location: Orleans County, Barton, VT

<table>
<thead>
<tr>
<th>ITEM DESCRIPTION</th>
<th>PRICE</th>
<th>QUANTITY</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) COST OF 105# DIY RAIL</td>
<td>$204.00</td>
<td>130 RAILS</td>
<td>$26,520.00</td>
</tr>
<tr>
<td>2) TIE PLATES</td>
<td>$5.00</td>
<td>3,000 PLATES</td>
<td>$15,000.00</td>
</tr>
<tr>
<td>3) 105#DIY JOINT BARS</td>
<td>$25.00</td>
<td>130 PAIRS</td>
<td>$3,250.00</td>
</tr>
<tr>
<td>4) COMPLETE TURNOUT</td>
<td>$8,000.00</td>
<td>3 TURNOUT</td>
<td>$24,000.00</td>
</tr>
<tr>
<td>5) BALLAST</td>
<td>$18.00</td>
<td>2300 TONS</td>
<td>$41,400.00</td>
</tr>
<tr>
<td>6) SURFACING</td>
<td>$3,750.00</td>
<td>2 DAYS</td>
<td>$7,500.00</td>
</tr>
<tr>
<td>7) RELAY CROSSSTIES</td>
<td>$26.00</td>
<td>760 TIES</td>
<td>$19,500.00</td>
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<tr>
<td>NEW CROSSSTIES</td>
<td>$40.00</td>
<td>760 TIES</td>
<td>$30,000.00</td>
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<tr>
<td>8) COMP BARS</td>
<td>$800.00</td>
<td>6 PAIRS</td>
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<tr>
<td>9) NEW SWITCH TIMBERS</td>
<td>$7,200.00</td>
<td>3 SET</td>
<td>$21,600.00</td>
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<tr>
<td>10) TRACK BOLTS</td>
<td>$225.00</td>
<td>8 KEGS</td>
<td>$1,800.00</td>
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<tr>
<td>11) ANCHORS</td>
<td>$3.50</td>
<td>2,000 ANCHORS</td>
<td>$7,000.00</td>
</tr>
</tbody>
</table>

*ERP 6/9/14*
12) SPikes $ 75.00 90 KEgs $ 6,750.00

13) Derail $ 1,000.00 2 $ 2,000.00

14) Wheel stop $ 1,000.00 pair $ 1,000.00

15) Build, 2,500 ft. of track $ 80,000.00 $ 80,000.00

16) Build and install 3 switches $ 20,000.00 3 per switch $ 60,000.00

17) Dirt work $ 30,000.00 $ 30,000.00

**TOTAL COST OF THE PROJECT** $ 382,120.00

Material provided by the state of Vermont Inventory $ 68,770.00
Funds requested from the NBRC grant $ 250,000.00
Match provided by WACR $ 63,350.00
Total $ 382,120.00

"ERP 6/9/14"