



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: Joint Fiscal Committee members  
From: Daniel Dickerson, Fiscal Analyst  
Date: March 14, 2016  
Subject: Grant Request #2810, #2811

Enclosed please find two (2) items that the Joint Fiscal Office has received from the administration.

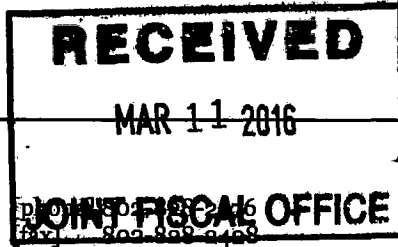
**JFO #2810** – \$786,103 grant from the U.S. Department of Energy to the VT Department of Public Service. The funds will be used to expedite the creation of large-scale home energy labeling policies and programs that support the market valuation of energy efficiency in home through the development of a publicly accessible database- the Home Energy Labeling Information Exchange (HELIX). In-kind, non-cash contributions will be made by several project partners.

*[JFO received 3/7/16]*

**JFO #2811** – \$200,000 grant from the Northern Border Regional Commission to the VT Department of Forests, Parks and Recreation. The funds will be used to complete infrastructure improvements at the south end of Lake Willoughby to include increased parking capacity and sanitary facilities. There will be ongoing costs for operation and maintenance of the facilities following construction, for which the Department has calculated into its FY2017 appropriations request.

*[JFO received 3/11/16]*

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 March 28, 2016 we will assume that you agree to consider as final the Governor's acceptance of these requests.



JFO 2811

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

Agency of Administration

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

<b>Grant Summary:</b>	Grant of \$200,000.00 for infrastructure improvements at the south end of Lake Willoughby. Improvements include parking for >100 cars, sanitary facilities with bathrooms and drinking water.				
<b>Date:</b>	2/25/2016				
<b>Department:</b>	ANR FPR				
<b>Legal Title of Grant:</b>	Recreation Improvements at Willoughby State Forest				
<b>Federal Catalog #:</b>	90.601 / Economic and Infrastructure Development Grant Program				
<b>Grant/Donor Name and Address:</b>	Northern Border Regional Commission, Margaret Chase Smith FOB, Suite 21100, 202 Harlow Street, Bangor, ME 04401				
<b>Grant Period:</b>	<b>From:</b>	9/1/2015	<b>To:</b>	8/31/2018	
<b>Grant/Donation</b>	\$200,000.00				
	<b>SFY 1</b>	<b>SFY 2</b>	<b>SFY 3</b>	<b>Total</b>	<b>Comments</b>
<b>Grant Amount:</b>	\$0	\$100,000	\$100,000	\$200,000	

<b>Position Information:</b>	<b># Positions</b>	<b>Explanation/Comments</b>
<b>Additional Comments:</b>		(ATTN Dan Dickerson:) This is a replacement for an AA-1 submitted to JFO previously, correcting the grant amount from \$250K to \$200K. The correction to the AA-1 Sec. 10 Appropriations reflects that no additional FY 2016 spending authority is needed.

2/24/16

<b>Department of Finance &amp; Management</b>	<i>BA</i>	(Initial)
<b>Secretary of Administration</b>	<i>W</i>	(Initial)
<b>Sent To Joint Fiscal Office</b>		<b>Date</b> 3/9/16



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

<b>BASIC GRANT INFORMATION</b>				
<b>1. Agency:</b>	Agency of Natural Resources			
<b>2. Department:</b>	Forests, Parks and Recreation			
<b>3. Program:</b>	Administration - Recreation			
<b>4. Legal Title of Grant:</b>	Recreation Improvements at Willoughby State Forest			
<b>5. Federal Catalog #:</b>	90.601/Economic and Infrastructure Development Grant Program			
<b>6. Grant/Donor Name and Address:</b>	Northern Border Regional Commission, Margaret Chase Smith FOB, Suite 21100, 202 Harlow St., Bangor, ME 04401			
<b>7. Grant Period:</b>	<b>From:</b>	9/1/2015	<b>To:</b>	8/31/2018
<b>8. Purpose of Grant:</b>	The purpose of this grant is to complete extensive infrastructure improvements at the south end of Lake Willoughby. Improvements include safe parking for over 100 cars, design and build sanitary facilities with bathrooms and drinking water.			
<b>9. Impact on existing program if grant is not Accepted:</b>	The south end of Lake Willoughby is a popular destination for Vermonters and tourists. This area is increasingly busy and at the current time there is not ample safe parking or restroom facilities. Without improvements, the level of use would continue to increase and there would continue to be insufficient parking and no sanitary facilities.			
<b>10. BUDGET INFORMATION</b>				
	<b>SFY 1</b>	<b>SFY 2</b>	<b>SFY 3</b>	<b>Comments</b>
<b>Expenditures:</b>	<b>FY 16</b>	<b>FY 17</b>	<b>FY 18</b>	
Personal Services	\$11,333	\$11,333	\$11,334	
Operating Expenses	\$	\$296,913	\$296,913	
Grants	\$	\$	\$	
<b>Total</b>	<b>\$11,333</b>	<b>\$308,246</b>	<b>\$308,247</b>	
<b>Revenues:</b>				
State Funds:	\$	\$	\$	
Cash	\$11,333	\$136,333	\$136,334	
In-Kind	\$	\$	\$	
Federal Funds:	\$	\$	\$	
(Direct Costs)	\$	\$171,913	\$171,913	\$143,826 LWCF & \$200,000 NBRC
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$	\$	\$	
Other Funds:	\$	\$	\$	
Grant (source )	\$	\$	\$	
<b>Total</b>	<b>\$11,333</b>	<b>\$308,246</b>	<b>\$308,247</b>	
<b>Appropriation No:</b>	6130010000-Admin	<b>Amount:</b>	\$143,826	0 <i>JH</i>
	6130020000-Forestry		\$234,000	0 <i>JH</i>

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

	6130991601-Anticipated Capital		\$250,000 0 <i>JA</i>
			\$
			\$
			\$
			\$
		<b>Total</b>	\$627,826 0 <i>JA</i>

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: Michael Snyder Agreed by: *MJS* (initial)

12. Limited Service Position Information:	# Positions	Title
<b>Total Positions</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>Michael Snyder</i>	Date: <i>2/19/16</i>
	Title: Michael Snyder, Commissioner	
	Signature:	Date:
	Title:	

**14. SECRETARY OF ADMINISTRATION**

<input checked="" type="checkbox"/> Approved:	(Secretary or designee signature) <i>[Signature]</i>	Date: <i>02/29/16</i>
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**15. ACTION BY GOVERNOR**

<input checked="" type="checkbox"/> Accepted	(Governor's signature) <i>[Signature]</i>	Date: <i>3/8/16</i>
<input type="checkbox"/> Rejected		

**16. DOCUMENTATION REQUIRED**

**Required GRANT Documentation**

<input checked="" 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 checked="" type="checkbox"/> Notice of Award	<input type="checkbox"/> Request for Extension (if applicable)
<input checked="" type="checkbox"/> Grant Agreement	<input type="checkbox"/> Form AA-1PN attached (if applicable)
<input checked="" type="checkbox"/> Grant Budget	

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

**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).



**State of Vermont**  
**Department of Forests, Parks & Recreation**  
1 National Life Drive, Davis 2  
Montpelier, VT 05620-3801  
[www.vtfpr.org](http://www.vtfpr.org)

*Agency of Natural Resources*  
*Kristin Freeman*  
[phone] 802-522-0730  
kristin.freeman@state.vt.us

**TO:** Joint Fiscal Committee  
**FROM:** Kristin Freeman, Financial Manager, Department of Forests, Parks and Recreation *K. Freeman*  
**THROUGH:** Jason Aronowitz, Budget Analyst, Department of Finance and Management  
**DATE:** October 12, 2015  
**RE:** AA-1 Request for Acceptance of Northern Border Regional Commission Grant Funds

The Department of Forests, Parks and Recreation is seeking acceptance of funding from the Northern Border Regional Commission (NBRC) to complete infrastructure improvements at the south end of Lake Willoughby. The funds will be used to construct safe parking for over 100 cars and sanitary facilities with bathrooms and drinking water.

Attached please find the following documents:

- AA-1 Form
- Notice of the award
- Grant agreement
- Grant budget

Please let me know if we can provide additional information. Thank you for your consideration.



**State of Vermont**  
**Department of Forests, Parks & Recreation**  
1 National Life Drive, Davis 2  
Montpelier, VT 05620-3801  
[www.vtfrp.org](http://www.vtfrp.org)

*Agency of Natural Resources*  
*Kristin Freeman*  
[phone] 802-522-0730  
kristin.freeman@state.vt.us

### Standard Questions for AA-1 Grant Approval

1. Are there any state matching requirements or contributions?  
Yes.
  - Land and Water Conservation Funds: \$143,826 (Federal Grant)
  - Capital Fund: \$250,000 (State)
  - Staff Time (Salary and Fringe): \$34,000 for 90 days total of five FPR staff's time (In-Kind, State)
  - Total match: \$427,826.00
  
2. Is the State already performing the function for which the funds are intended?  
There is minimal parking and no sanitary facilities but the area is intensively used.
  
3. After the term of the grant expires, what is the intent for the underlying activity? Does the grant funded activity cease to exist? Will the state be asked to assume financial responsibility?  
The intent is to provide well-managed access to the South End of Lake Willoughby. The grant funded activity is capital construction. Yes, for operation and maintenance of the facilities.
  
4. What are the measurements that are going to be used to evaluate the effectiveness of the expenditure?  
The expenditure is to build basic facilities to accommodate an already excessive level of use.
  
5. How will the grant funds be expended? What is the budget for the grant funds, including all funding sources, for the duration of the grant?  
The funds will be used to pay for personal services for planning and engineering and labor and materials for construction activity.

Total project cost for South End improvements: \$627,826

Northern Border Regional Commission Grant: \$200,000

Matching Funds of \$427,826:

Land and Water Conservation Funds: \$143,826 (Federal Grant)

Capital Fund: \$250,000 (State)

Staff Time (Salary and Fringe): \$34,000 (90 days total of five FPR staff's time) (In-Kind, State)

6. What entities are collaborating on this grant; departments, community organizations?

VT Dept. of Forests, Parks and Recreation Parks and Forestry Divisions and local Friends of groups.

7. What is the intended staffing level for the grant funded activity?  
FPR staff time for five employees, 90 days total.



**Project Budget for Lake Willoughby South End  
Day Use Area Improvement**

Mobilization	35,977
Erosion Control	5,165
Clearing and Grubbing	10,330
Excavation	26,058
Water Supply	45,143
Wastewater System	55,731
Site Electrical	24,017
Parking Areas	31,143
Toilet Building Construction and Finishes	99,165
Toilet Building Interior Plumbing	15,495
Toilet Building Electrical	15,495
Toilet Building Ventilation	6,198
Toilet Building Foundation/Foundation Drain	15,495
Miscellaneous Site work: Turf, Landscaping, Drainage	10,330
Construction Contingency	59,361
Engineering	118,723
Archeology and Other Engineering	10,000
FPR Staff Time for Project and Site Management	34,000
Project Inspection	10,000
<b>Total Project Budget</b>	<b>627,826</b>

## **NORTHERN BORDER REGIONAL COMMISSION**

Margaret Chase Smith FOB, Suite 21100  
202 Harlow Street  
Bangor, ME 04401

[mscarano@nbro.gov](mailto:mscarano@nbro.gov)

202-590-6650

September 1, 2015

Craig Whipple, Parks Division Director  
Vermont Department of Forests, Parks and Recreation  
1 National Life Drive, Davis 2  
Montpelier, VT 05620-3801

Ref. NBRC-15-G-VT-00002  
Org. Code 708X TS10 TTS91260 TSXVT R22

Dear Mr. Whipple:

On behalf of Governor Shumlin and the NBRC Board, we congratulate you and the department upon your selection for an NBRC Grant Award. The award is for \$200,000.00, to be matched by \$427,826.00 non-NBRC funds.

Enclosed are an original and a copy of the grant agreement. Please sign the original and return it to us (NBRC), by return mail. In addition, we have enclosed Part II of the Grant Agreement General Provisions, an NBRC Grant Administration Manual, as well as the ACH Vendor Enrollment Form (SF-3881). You should complete the "Payee" section of the form and have your financial institution complete the last section of the form. Please return the SF-3881 to us along with your signed grant agreement. (This will allow you to receive payments.)

We look forward to working with you to successfully complete the project, and more importantly look forward to the outcomes that you presented in your application.

Sincerely,



Mark Scarano, Federal Co-Chair

cc: Governor Peter Shumlin  
Laura Gray, Policy Advisor  
Lucy Leriche, Deputy Secretary  
Jared Duval, Economic Development Director

**Grant Agreement  
Between  
Northern Border Regional Commission  
And  
Vermont Department of Forests, Parks and Recreation**

**NBRC Contract Number**

Page 1 of 2

NBRC 15 G VT 00002

Project Title: Recreation Improvements at Willoughby State Forest

**Grantee:**

Vermont Department of Forests, Parks  
And Recreation

1 National Life Drive, Davis 2

Montpelier, VT 05620-3801

Project Director: Craig Whipple

Telephone No.: 802-343-5318

NBRC Project Coordinator

John F. Shèehan

202-590-0807

State Liaison Officer

Jared Duval

802-272-2461

Grantee's EIN:

03-6000264

Date of the Award:

9-1-2015

Amount of Federal Funds Awarded:

\$200,000.00

Amount of Federal Funds Obligated:

\$200,000.00

Total Matching Funds Required:

\$427,826.00

Project Description:

Complete extensive infrastructure improvements at the South End of Lake Willoughby, including safe parking for over 100 cars; design and build sanitary facilities inclusive of drinking water and bathrooms; and create ADA access to the beach and overlook.

CFDA Number and Name:

CFDA #90.601/Economic and Infrastructure Development Grant Program

Research and Development Award:

N/A

Indirect Cost Rate for the federal award: N/A

**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

This project shall be carried out in general accord with Grantee's proposal, received at Northern Border Regional Commission (NBRC) on July 2, 2015. 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 90-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 \$200,000.00, or 32% of actual, reasonable and eligible project costs, whichever is lower. Grantee shall pay, or cause to be paid, the non-NBRC share of \$427,826.00 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 September 1, 2015 through August 31, 2018.



\_\_\_\_\_  
Mark Scarano  
Federal Co-Chair

\_\_\_\_\_  
Grantee's Authorized Representative

September 2, 2015  
\_\_\_\_\_  
Date

\_\_\_\_\_  
Date