



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: James Reardon, Commissioner of Finance & Management
From: Nathan Lavery, Fiscal Analyst
Date: October 25, 2010
Subject: JFO #2459, #2460, #2461, #2462

No Joint Fiscal Committee member has requested that the following items be held for review:

JFO #2459 — \$17,899 grant from the University of Delaware Research Office to the Agency of Agriculture, Food and Markets. Funding will be used to improve the human resource management skills of managers at Vermont dairy farms through a series of regional workshops.
[JFO received 9/16/10]

JFO #2460 — \$506,000 grant from the U.S. Department of Justice to the Department of Public Safety. Funding will be used upgrade communications equipment and technology, including the purchase of narrow band capable mobile and portable radios for law enforcement officers, related to the interoperable communications platform.
[JFO received 9/16/10]

JFO #2461 — \$6,000 grant from the Brookdale Foundation to the Department of Children and Families – Family Services Division. Funding will be used to increase awareness of relatives who are serving as caregivers and to support the expansion of support groups and training opportunities by implementing a statewide interagency task force.
[JFO received 9/21/10]

JFO #2462 — \$81,459 grant from the University of Southern Maine – Office of Sponsored Research to the Department of Vermont Health Access. Funding will be used to expand the Blueprint for Health, including the use of Health Information Technology infrastructure, to evaluate and improve the quality of health care delivered to children as part of rolling out the Pediatric Blueprint. **The establishment of one (1) limited service position is associated with this request.**
[JFO received 9/21/10]

The Governor's approval may now be considered final. We ask that you inform the Secretary of Administration and your staff of this action.

cc: Roger Allbee, Secretary
Thomas Tremblay, Commissioner
Stephen Dale, Commissioner
Susan Besio, Commissioner



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: September 22, 2010
Subject: Grant Requests

Enclosed please find five (5) requests that the Joint Fiscal Office has received from the administration. These requests include the establishment of two (2) limited service positions.

JFO #2458 — Request from the Department of Public Service to establish one limited service position. This position will assist with reporting and monitoring requirements associated with ARRA energy initiatives; specifically including the administration of grants from the Clean Energy Development Fund. Funding for this position is available through an award from the American Recovery and Reinvestment Act that was included in the FY10 budget. Only the position requires JFC approval. **Expedited review of this item has been request by the Department. Joint Fiscal Committee members will be contacted by September 30 with a request to waive the statutory review period and accept this item.**

[JFO received 9/16/10]

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the quality of health care delivered to children as part of rolling out the Pediatric Blueprint. **The establishment of one (1) limited service position is associated with this request.**

[JFO received 9/21/10]

In accordance with the procedures for processing such requests, we ask you to review the enclosed 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 Joint Fiscal Committee review. Unless we hear from you to the contrary by October 6 we will assume that you agree to consider as final the Governor's acceptance of these requests.

cc: James Reardon, Commissioner
David O'Brien, Commissioner
Roger Allbee, Secretary
Thomas Tremblay, Commissioner
Stephen Dale, Commissioner
Susan Besio, Commissioner


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

Agency of Administration

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

STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

| | | | | | |
|---|--------------|--|-----------------------------|--------------|-----------------|
| Grant Summary: | | This grant from the University of Delaware is a subgrant of a portion of a Grant to the University of Delaware from the USDA-Risk Management Education Program. The sub-grant to Agriculture is for regional workshops with middle managers on Vermont dairy farms to improve their management skills. | | | |
| Date: | | 8/13/2010 | | | |
| Department: | | Agency of Agriculture Food and Markets | | | |
| Legal Title of Grant: | | RiskManagement Education | | | |
| Federal Catalog #: | | 10.500 | | | |
| Grant/Donor Name and Address: | | University of Delaware Research Office 210 Hullihen Hall Newark, DE 19716 | | | |
| Grant Period: | | From: | To: | | |
| | | 7/1/2010 | 6/30/2011 | | |
| Grant/Donation | | \$17,899 | | | |
| | SFY 1 | SFY 2 | SFY 3 | Total | Comments |
| Grant Amount: | \$17,899 | \$ | \$ | \$17,899 | |
| Position Information: | | # Positions | Explanation/Comments | | |
| | | 0 | | | |
| Additional Comments: | | | | | |
| | | | | | |
| Department of Finance & Management | | [Signature] | | 8/18/10 | (Initial) |
| Secretary of Administration | | [Signature] | | 8/18/10 | (Initial) |
| Sent To Joint Fiscal Office | | | | 8/20/10 | Date 8/20/10 |

RECEIVED
 SEP 16 2010

JOINT FISCAL OFFICE

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

| BASIC GRANT INFORMATION | | | | |
|--|---|----------------|--------------|-----------------|
| 1. Agency: | Agency of Agriculture, Food & Markets | | | |
| 2. Department: | | | | |
| 3. Program: | Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms | | | |
| 4. Legal Title of Grant: | Risk Management Education | | | |
| 5. Federal Catalog #: | 10.500 | | | |
| 6. Grant/Donor Name and Address: University of Delaware Research Office 210 Hullihen Hall Newark, DE 19716 | | | | |
| 7. Grant Period: | From: | 7/1/2010 | To: | 6/30/2011 |
| 8. Purpose of Grant: To work with middle managers on Vermont dairy farms to develop/improve participants' Human Resource management skills through regional workshops. | | | | |
| 9. Impact on existing program if grant is not Accepted: None. | | | | |
| 10. BUDGET INFORMATION | | | | |
| | SFY 1 | SFY 2 | SFY 3 | Comments |
| Expenditures: | FY 2011 | FY | FY | |
| Personal Services | \$14,299 | \$ | \$ | |
| Operating Expenses | \$3,600 | \$ | \$ | |
| Grants | \$ | \$ | \$ | |
| Total | \$17,899 | \$ | \$ | |
| Revenues: | | | | |
| State Funds: | \$ | \$ | \$ | |
| Cash | \$ | \$ | \$ | |
| In-Kind | \$ | \$ | \$ | |
| Federal Funds: | \$ | \$ | \$ | |
| (Direct Costs) | \$ | \$ | \$ | |
| (Statewide Indirect) | \$ | \$ | \$ | |
| (Departmental Indirect) | \$ | \$ | \$ | |
| Other Funds: | \$ | \$ | \$ | |
| Grant (source University of Delaware) | \$17,899 | \$ | \$ | |
| Total | \$17,899 | \$ | \$ | |
| Appropriation No: | 2200030000/prog.#21889 | Amount: | \$17,899 | |
| | | | \$ | |
| | | | \$ | |

REC'D AUG 1 2 2010

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

| | | | |
|--|--|--------------|-----------|
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | Total | \$ 17,899 |

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: Roger Allbee Agreed by: DB (initial) For Secretary Allbee

| 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: Deanne Bottifoll Date: 8/10/10
 Title: Deputy Secretary
For Secretary Allbee
 Signature: _____ Date: _____
 Title: _____

14. ACTION BY GOVERNOR

Check One Box: Accepted
 Rejected
 (Governor's signature) [Signature] Date: 8/20/10

15. SECRETARY OF ADMINISTRATION

Check One Box: Request to JFO
 Information to JFO
 (Secretary's signature or designee) [Signature] Date: 8/15/10

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

June 2009 FDP

Research Subaward Agreement

Institution/Organization ("Prime Recipient")

Name: University of Delaware

Prime Award No.: 2010-49200-06201

Awarding Agency:

USDA - Risk Management Education

Institution/Organization ("Subrecipient")

Name: Vermont Agency of Agriculture, Food & Markets

Subaward No.: 22785 CFDA #: 10.500

Amount Funded This Action: Est. Total (if incrementally funded)

\$17,899 \$17,899

PI: Don Tilton

PI: Louise Watermen

Subaward Period of Performance:

Budget Period: From: July 1, 2010 To: June 30, 2011

Estimated Project Period (if incrementally funded):

From: July 1, 2010 To: June 30, 2011

Project Title:

Grow Managers from within your Organization - Middle-Manager Human Resource Management Skills Training on Vermont Dairy Farms

Reporting Requirements (Check here if applicable: See Attachment 4)

ARRA Funds (Attachment 4A)

Terms & Conditions

- 1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are (check one): As specified in Subrecipient's proposal dated _____; or as shown in Attachment 5. In its performance of the subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.
- 2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference Prime Recipient's Subaward Number shall be returned to Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Administrative Contact as shown in Attachments 3A & 3B.
- 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to Prime Recipient's Administrative Contact as shown in Attachments 3A and 3B, NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachments 3A and 3B. Technical reports are required as shown above, "Reporting Requirements".
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachments 3A & 3B. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official as shown in Attachments 3A & 3B.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or director's, to the extent allowed by law.
- 8) Either party may terminate this subaward with thirty days written notice to the appropriate party's Administrative Contact as shown in Attachments 3A & 3B. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122 or 45 CFR Part 74 Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals" as applicable.
- 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachments 3A & 3B, not less than thirty (30) days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2. Subrecipient also assures that it will comply with applicable statutory and regulatory requirements specified in the Research Terms & Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>.

By an Authorized Official of Prime Recipient

Katherine M. Hyatt

8/6/10
Date

By an Authorized Official of Subrecipient

[Signature]

8/7/10
Date

Grant Proposal

Project Name: Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms

Project Number: RME-J8Y03570

Contract Number:

Submitted: 2/19/2010 10:43:20 AM

Project Director: Louise Waterman
Vermont Agency of Agriculture, Food & Markets
Phone: 802-828-6900
E-mail: Louise.Waterman@state.vt.us

Contact Person: Louise Waterman
Vermont Agency of Agriculture, Food & Markets
Phone: 802-828-6900
E-mail: Louise.Waterman@state.vt.us

Mailing Address: 116 State Street
Montpelier, VT 05620-2901
FAX: 802-828-3831

Project Summary:

Human resource risk for Vermont dairy businesses can be managed through improved human resource (HR) management. Vermont dairy producers are concerned about the ability to develop middle managers on their farms to help maintain a productive, stable and committed workforce. Producers are interested in growing middle managers from within their organization instead of hiring a manager right from the start; hiring people with the capabilities to fill management positions in the future and training those folks so they grow with the business. We will work with middle managers on VT dairy farms to develop/improve participants' HR management skills through regional workshops. The workshops will be held in four central locations for participant ease. The workshops will be collaborative and allow full participation between the audience and the presenters. We will maximize learning and implementation through blended learning as well as more short sessions. We anticipate 40 Vermont dairy producers will participate.

Risk Management Improvements:

Our project's targeted results fall within the Human/Personal Risk Management Area. Most dairy farm managers are blessed with a great deal of technical intelligence in areas of production. But most dairy farm managers could use more technical intelligence within the business management aspects and in particular human resource management. To keep the workforce motivated in these times of volatility within the dairy industry, managers need to understand people and how they react. Business volatility changes management needs and skills. By improving performance feedback skills and conflict management skills and learning new human resource management skills, our project participants will improve employee recruitment, management and retention. Improved communications and employee performance management are keys to managing this risk area. Although this project doesn't directly reduce risk such as purchasing crop insurance would, it is an indicator that participants are taking proactive steps to manage this risk area.

One of the greatest risks facing Vermont producers today is the ability to maintain a productive, stable and committed workforce. There are approximately 1100 dairy producers in Vermont. The dairy industry in Vermont generates 80-85% of our agricultural revenue. Reducing employee turnover, retaining the best people and tapping employee potential is an essential part of Vermont's dairy industry and it's important to the industry's future in Vermont. Providing employee feedback and managing conflict are important parts of a producer's and or manager's responsibilities.

Dairy producers across Vermont are interested in improving their performance feedback and conflict management skills to make human resource management easier.

Proposed Results - What Participants Will Learn, Achieve, Apply

| | <u>Proposed Result(s) that will happen by end of project</u> | <u>Topic</u> | <u>Producer Action</u> | <u>When Measured</u> | <u>Est. #</u> | <u>How Will You Verify</u> |
|---|--|---------------------------------------|------------------------|----------------------|---------------|----------------------------|
| 1 | Participants will improve existing, or learn for the first time, performance feedback and conflict management skills and learn new tools and systems to keep employees happy, informed and working productively together to achieve farm goals while positive changes occur on the farm. | Employee management and communication | Understand | April 2011 | 40 | Written Evaluation |
| 2 | Participants will see a decrease in employee/manager and employee/employee conflict and an increase in employee productivity due to improved communications | Employee management and communication | Implement | April, 2011 | 40 | Audience Response System |
| 3 | Participants will complete or fine tune a farm business organizational chart, performance review worksheets with/on employees as well as written job descriptions and job protocols | Employee management and communication | Decide | April, 2011 | 30 | Phone Interview |

| | <u>Proposed Result(s) that will happen after project</u> | <u>Topic</u> | <u>Producer Action</u> | <u>When Measured</u> | <u>Est. #</u> | <u>How Will You Verify</u> |
|---|---|---------------------------------------|------------------------|----------------------|---------------|----------------------------|
| 1 | Participants will continue with their individual action plan to address human resource management concerns on the farm | Employee management and communication | Implement | May, 2011 | 30 | Phone Interview |
| 2 | Participants will continue to use their new skills and tools to improve communications with employees and allow them to move into or continue in management positions on the farm | Employee management and communication | Implement | May, 2011 | 30 | Phone Interview |
| 3 | Participants will improve communications with family members and their community due to improved conflict management skills | Employee management and communication | Implement | May, 2011 | 30 | Phone Interview |
| 4 | VT dairy farms will have a more developed tier of middle managers on their farms. | None Selected | Implement | May, 2011 | 35 | Phone Interview |
| 5 | Producers/Project Participants will institute a dairy management team (DMT) on their farm. | Employee management and communication | Implement | May, 2011 | 4 | Phone Interview |

Producer Demand:

There are approximately 1050 dairy producers in Vermont. The dairy industry in Vermont generates 80-85% of our agricultural revenue. Reducing employee turnover, retaining the best people and tapping employee potential is an essential part of Vermont's dairy industry and it's important to the industries future in Vermont. Human resource (HR) management is an important part of a producer/owner's and or manager's responsibilities.

We will be successful in getting 40 dairy producers to participate in this project because we have worked and will continue to work with many VT dairy producers on other (HR) management projects such as the "Mastering Management" Seminar held in VT in December of 2009. Feedback from this seminar indicated producers are very interested in continuing to develop their HR skills as well as developing middle managers on their farms. The young farmer discussion group in Addison County Vermont is interested in this project as well. We have built business relationships with VT dairy producers and identified needs. Producers have indicated a concern about the ability to maintain a productive, stable and committed workforce as well as the development of middle managers. Labor allocations can hamper productivity - impacting farm profitability.

Penn State conducted research on HR management and dairy employee organizational commitment. As part of this research a survey was sent to owners and employees of dairies with herd sizes of 250 or larger. VT farms participated in this survey. Their research confirmed that performance feedback is a key to good communications and an invaluable HR management tool for a successful operation.

Vermont dairy producers are interested in growing managers from within their organization instead of hiring a manager right from the start; hiring people with the capabilities to fill management in the future and then training those folks so they grow with the business: a milker becomes a herds person or lead milker. We will work with middle managers to develop/improve HR management skills. We will have success in meeting the challenge of drawing in participants. The workshops will be held in central locations, depending on actual demand, and use a blended learning experience.

Key to the success of this project is working with Vermont dairy producers who are committed to the success of their businesses. Project participants will be producers/managers who are motivated to move forward with improving HR management practices and giving them specific guidance and follow-up to implement changed practices.

Audience Emphasis

Retiring/transitioning producers
Sustainable producers
Traditional commercial producers

Project Steps

| | <u>What Project Team Does</u> | <u>What Participants Do</u> | <u>When Measured</u> | <u>Est. Number</u> |
|---|--|---|----------------------|--------------------|
| 1 | Set up the day one and day two workshop dates as well as the four regional locations with collaborators and determine specific agendas for both workshop days. Day Two of the workshop will be one month after Day One. | Not Applicable | August, 2010 | 10 |
| 2 | Project leader will make farm visits to potential project participants | Give input on draft workshop agendas. Commit to project participation. Promote the project to other producers. | December, 2010 | 50 |
| 3 | Determine workshop curriculum. Order workshop material and prepare additional project material. | Not Applicable | December, 2010 | 40 |
| 4 | Set up and advertise the workshop through flyers in producer newsletters and several press releases in Agriview which is mailed to ~ 75% of dairy producers in VT. Project information will also be on each of the project team's web sites. | Not Applicable | January, 2011 | |
| 5 | Make presentations to the 2 active young farmer dairy groups in VT. Describe the project and ask for participation. | Register for the workshop. Promote the project to other dairy producers. | January, 2011 | 40 |
| 6 | Send out a direct mail piece advertising the project to all Large Farm Operations and all Medium Farm Operations. Distribute flyers at the state wide Dairy Banquet at the VT Farm Show. | Register for the workshops. | January, 2011 | 500 |
| 7 | Distribute project flyers to collaborators and other ag industry leaders and service providers. Ask them to promote the project to their client base. This would be done through an extensive email list of industry leaders and service providers. | Not Applicable | January, 2011 | 100 |
| 8 | Collect participant registration. | Participants will pre-register and pre-pay to hold their place. Participants will commit to attending both days of the 2 day workshop and homework after the first day and before the second workshop day. | February, 2011 | 40 |

Project Steps

| | <u>What Project Team Does</u> | <u>What Participants Do</u> | <u>When Measured</u> | <u>Est. Number</u> |
|----|---|---|----------------------|--------------------|
| 9 | Attend/present/facilitate at Day One of the two day workshop. This will be in four locations. | Participants will complete a 'sample' employee performance review worksheet during the workshop as well as interact by sharing their leadership challenges. | February, 2011 | 40 |
| 10 | Have forms available at the beginning of each workshop for participants. The form will ask participants to ' List three take-a ways from today's session that I plan to implement in my/the business'. Participants will fill out the form during/after the workshop and then hand it in at the end of the day. Participants will keep a copy and the project team will also keep a copy. The team will use this information as a guide to strengthen the day two workshop and to follow-up with participants. | Use this 'list' as a guide to implement change after the first day workshop. Writing things down helps participants implement! | January, 2011 | 40 |
| 11 | Attend/present/facilitate Day Two of the two day workshop. This will be in four locations. | Participants will practice their improved HR skills and new tools during communications with employees after the Day One workshop and before the Day Two workshop. During the Day Two workshop, participants will have an opportunity to discuss challenges/concerns they faced while implementing these new skills. Individual action plans will be developed to address these challenges/concerns | March, 2011 | 35 |
| 12 | Have forms available at the beginning of the Day Two workshop for participants. The form will ask participants to ' List three take-a ways from today's session that I plan to implement in my/the business'. Participants will fill out the form during/after the workshop and then hand them in at the end of the day. Participants will keep a copy and the project team will also keep a copy. The team will use this information to follow-up with participants. | Use this 'list' as a guide to implement change after the Day Two workshop. Writing things down helps participants implement! | April, 2011 | 35 |

Project Steps

| <u>What Project Team Does</u> | <u>What Participants Do</u> | <u>When Measured</u> | <u>Est. Number</u> |
|--|---|----------------------|--------------------|
| 13 Assess participants improved human resource management skill level and new skill development. | Fill out project evaluations after Day One and Day Two of the two day workshop. | April, 2011 | 40 |

Project Description

The training will include a Day One workshop followed up with a Day Two workshop one month later for the same participants. Each participant will receive a minimum of 12 hours of training in two sessions. This 2 day training will be offered in 4 locations across the state saving participant's time and travel costs making them a convenient and cost effective learning tool.

Training and development opportunities are essential for producers to keep pace with change.

The focus will be on improving participants' performance feedback skills and conflict management skills as well as learning new human resource management tools. Without performance feedback employees don't know if they are moving forward, backward or simply standing still. The ability to give employee feedback is critical for middle managers on VT dairy farms. Developing feedback skills will help keep employees informed and working together to achieve farm goals. This will lead to a productive, stable and committed workforce. Conflict can be good and bad. Middle managers will improve conflict management skills and learn new tools for when conflict is causing a problem; it may be resolving the conflict or just harnessing it for productive potential. The project will offer new opportunities for participants to develop management skills and affirm sound supervision methods already in use to maximize learning and implementation.

The Day One and Day Two workshops will be result-oriented and contain highly interactive learning modules. Day two will have a direct 'tie' to what was presented at the Day One workshop. Day Two will be one month after Day One to allow each participant to implement skills learned at the Day One workshop. Day Two will provide more information as well as support for skills the participants are implementing from the Day One Workshop. Participants will practice their improved and new skills after the Day One workshop and discuss their concerns and questions during the Day Two workshop.

Each participant will receive a binder and set of CDs called 'Supervisory Skills for Managers'. Topic examples include: Leading/Influencing Others; Improving Employee Performance and Fostering Teamwork and Cooperation. One of the best ways to learn how to become a more effective supervisor is to see and hear how others manage, supervise and lead the employees on their farm. The CDs included with this binder include interviews with successful farm managers and capture their ideas, tips and best practices for successfully leading/supervising people.

Tools and Curriculum:

Instructors/presenters for the Day One workshop and the Day Two workshop will include Rick Hermonot and Bill Zweigbaum. Both Rick and Bill are consultants with Farm Credit East. These professionals were chosen for their experience and expertise in working with producers on educational events to help them manage human/personal risk. Both presenters have worked in Vermont for many years and have developed business relationships and credibility with producers. This connection will help draw in project participants.

The workshop curriculum will include the use of existing materials such as the 'Supervisory Skills for Managers' by Cooperative Resources International. This includes a workbook and a set of CDs which each participant will be given.

The project team will also research and assemble additional resource material related to understanding and managing employees.

Project Team

Team leader and members:

Louise Waterman
VT Agency of Agriculture, Food & Markets
Education Coordinator
Louise.Waterman@state.vt.us
Project Coordinator

Project collaborators:

- * Vermont Dairy Producers, project participants
- * Tim Buskey, Vermont Farm Bureau Administrator, tim@vtfb.org, assist with promoting the project
- * Tony Kitsos, UVM Extension Dairy Management Team Coordinator, Tony.Kitsos@uvm.edu, assist with promoting the project and bringing producers into the project
- * Bill Zweigbaum, Farm Credit East- Enfield CT, Bill.Zweigbaum@farmcrediteast.com, project presenter
- * Rick Hermonot, Farm Credit East - Dayville, CT
Richard.Hermonot@farmcrediteast.com, project presenter
- * Ruchel StHilaire, Yankee Farm Credit Administrative Assistant, ruchel.sthilaire@yankeeaca.com, assist with promoting and getting producers into the project by recommending it to clients
- * Steve Paddock, Small Business Development Center of VT, spaddock@vtsbdc.org, assist with promoting and getting producers into the project by recommending it to clients and work with the coordinator on the project curriculum

Describe your team's capacity to deliver this project:

History of Service. Vermont Agency of Agriculture, Food & Markets (VAAFAM) has a long history of delivering programs/services to Vermont producers. They have earned the respect of the farmers they serve. This goodwill among farmers in the state will be a critical factor in ensuring that producers will respond to invitations to participate in this project. VDAFM has a successful track record working with RME on other risk management partnerships.

Knowledge of Vermont Agriculture. The range of activities operated by VAAFAM puts them in a unique position of knowing the farm characteristics, crops, and trends in agriculture within the state.

Access to Unique Producer Information. VAAFAM already has access to extensive data on the production characteristics of farms in the state. They can draw on much of this information to design an effective risk management education project.

Louise Waterman (team leader and AAFM employee) has been working with farmers for a number of years. She is the project coordinator for one RME on-going farm labor management project and several past RME projects, works with producers on farm transfer planning, farm safety with the goal of reducing worker comp insurance costs, facilitates several dairy management teams, as well as supporting the coordination of the existing Farm Viability Enhancement Program and working with a young farmer discussion group. As such, she is experienced in building business relationships with farmers and other agricultural professionals, coordinating with other service providers, assigning tasks, delegating and

follow-through.

Other team member capacity information included in 'requested documents'.

Original pre-proposal request: \$19,550

Budget

| | |
|---|---------------|
| Section A. Senior/Key Person | \$3,300 |
| Section B. Other Personnel | \$0 |
| Total Salary, Wages and Fringe Benefits (A + B): | \$3,300 |
| Section C. Equipment: | \$0 |
| Section D. Travel: | \$0 |
| Section E. Participant/Trainee Support Costs | \$0 |
| Section F. Other Direct Costs: | \$14,599 |
| 1. Materials and Supplies: | \$1,200 |
| 2. Publication Costs: | Not Allowable |
| 3. Consultant Services: | \$10,999 |
| 4. ADP/Computer Services: | Not Allowable |
| 5. Subawards/Consortium/Contractual Costs: | \$0 |
| 6. Equipment or Facility Rental/User Fees: | \$0 |
| 7. Alterations and Renovations: | Not Allowable |
| 8. Additional Direct Costs: | \$2,400 |
| Section G. Direct Costs (A thru F): | \$17,899 |
| Section H. Indirect Costs | \$0 |
| Section I. Direct and Indirect Costs (G + H): | \$17,899 |
| Do you have institutional approval? | Yes |
| Are you applying for funding for this project elsewhere or have you received funding for this project previously? | No |

Explain (if yes)

Sponsored Program or Fiscal Officer Mailing Address

Vermont Agency of Agriculture, Food & Markets
Administration
116 State Street
Montpelier, VT 05620-2901
802-828-3567

Budget Narrative

Section A. Senior/Key Person

Includes salary for 0.05 FTE for Project Leader @ \$2,500 and fringe benefit at 32% of \$2,500 salary for Project Leader for a total of \$800.00

The Project Leader will spend an additional 0.05 FTE on this project but the cost will be an 'in kind' contribution.

Section B. Other Personnel

None Requested

Total Salary, Wages and Fringe Benefits (A+B)

\$3,300.00

Section C. Equipment

None Requested

Section D. Travel

None Requested

Section E. Participant/Trainee Support Costs

None Requested

Section F. Other Direct Costs

1. Materials and Supplies

Participant handouts - \$30 X 40 participants = \$1,200.00

3. Consultant Services

Consultant/Trainer Fees for a 2 day workshop/seminar at 4 regional locations = \$10,999.00

5. Subawards / Consortiums / Contractual Costs

None Requested

6. Equipment or Facility Rental / User Fees

Facility Rental for the 2 day workshop/seminar at 4 regional locations = \$1,800.00 (\$225/location X 8 locations)

8. Additional Direct Costs

Postage for advertising/direct mail to VT dairy producers = \$500

Flyer printing costs = \$100 Total Additional Direct Costs = \$600

Total for Section F - Other Direct Costs = \$14,599

Section G. Direct Costs (A thru F)

\$3,300.00 + \$14,599.00 = \$17,899.00

*Participating Producer registration fees will contribute towards the Consultant/Trainer fees.

Section H. Indirect Costs

None Requested

Section I. Total Direct and Indirect Costs (G+H)

\$17,899.00

APPLICATION FOR FEDERAL ASSISTANCE

SF 424 (R&R)

| | | | |
|---|--|---|--------------------------------------|
| | | 2. DATE SUBMITTED 2/15/2010 | Applicant Identifier RME-J8Y03570 |
| | | 3. DATE RECEIVED BY STATE | State Application Identifier |
| 1. * TYPE OF SUBMISSION <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | 4. Federal | |
| 5. APPLICANT INFORMATION * Organizational DUNS: 809376718 | | | |
| * Legal Name: Vermont Agency of Agriculture, Food & Markets | | | |
| Department: Administration | | Division: Administration | |
| * Street1: 116 State Street | | Street2: | |
| * City: Montpelier | | County: Washington | |
| | | * State: VT | |
| * Country: | | * ZIP Code: 05620-2904 | |
| Person to be contacted on matters involving this application | | | |
| Prefix: | | * First Name: Louise | |
| | | Middle Name: | |
| | | * Last Name: Waterman | |
| | | Suffix: | |
| * Phone Number: 802-828-6900 | | Fax Number: 802-828-3831 | |
| | | Email: Louise.Waterman@state.vt.us | |
| 6. * EMPLOYER IDENTIFICATION (EIN) or (TIN): 03-6000264 | | 7. * TYPE OF APPLICANT: A | |
| 8. * TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Resubmission <input type="checkbox"/> Renewal <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | | Other (Specify): Small Business Organization Type <input type="checkbox"/> Women Owned <input type="checkbox"/> Socially and Economically Disadvantaged | |
| If Revision, mark appropriate box(es). <input type="checkbox"/> A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> E. Other (specify): | | 9. * NAME OF FEDERAL AGENCY: USDA CSREES | |
| * Is this application being submitted to other agencies? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> | | 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 10.500 | |
| What other Agencies? : | | TITLE: USDA CSREES | |
| 11. * DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Grow Managers from within your Organization-Middle Manager Human Resource Management Skills Training for VT Dairy Produce | | | |
| 12. * AREAS AFFECTED BY PROJECT (cities, counties, states, etc.) VT- state wide | | | |
| 13. PROPOSED PROJECT: * Start Date: July 1, 2010 * Ending Date: December 31, 2010 | | 14. CONGRESSIONAL DISTRICTS OF: a. * Applicant: Vermont b. * Project: Vermont | |
| 15. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION | | | |
| Prefix: | | * First Name: Louise | |
| | | Middle Name: | |
| | | * Last Name: Waterman | |
| | | Suffix: | |
| Position/Title: Education Coordinator | | * Organization Name: VT Agency of Agriculture, Food & Markets | |
| Department: | | Division: Administration | |
| * Street1: 116 State Street | | Street2: | |
| * City: Montpelier | | County: Washington | |
| | | * State: VT | |
| * Country: USA | | * ZIP Code: 05620-2904 | |
| * Phone Number: 802-828-6900 | | Fax Number: 802-828-3831 | |
| | | * Email: Louise.Waterman@state.vt.us | |

OMB Number: 4040-0001

Expiration Date: 04/30/2008

| | |
|--|---|
| <p>16. ESTIMATED PROJECT FUNDING</p> <p>a. * Total Estimated Project Funding <input style="width:150px;" type="text" value="\$17,899.00"/></p> <p>b. * Total Federal & Non-Federal Funds <input style="width:150px;" type="text"/></p> <p>c. * Estimated Program Income <input style="width:150px;" type="text"/></p> | <p>17. * IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</p> <p>a. YES <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE: <input style="width:150px;" type="text"/></p> <p>b. NO <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372; OR <input type="checkbox"/> PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW</p> |
|--|---|

18. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

* I agree

* The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

19. Authorized Representative

Prefix: * First Name: Middle Name: * Last Name: Suffix:

* Position/Title: * Organization:

Department: Division:

* Street1: Street2:

* City: County: * State: * ZIP Code:

* Country:

* Phone Number: Fax Number: * Email:

Diane Bothfeld * Signature of Authorized Representative * Date Signed: 2/10/10

20. Pre-application


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

Agency of Administration

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

STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

| | | | | | |
|---|--------------|--|-----------------------------|--------------|-----------------|
| Grant Summary: | | This grant from the University of Delaware is a subgrant of a portion of a Grant to the University of Delaware from the USDA-Risk Management Education Program. The sub-grant to Agriculture is for regional workshops with middle managers on Vermont dairy farms to improve their management skills. | | | |
| Date: | | 8/13/2010 | | | |
| Department: | | Agency of Agriculture Food and Markets | | | |
| Legal Title of Grant: | | RiskManagement Education | | | |
| Federal Catalog #: | | 10.500 | | | |
| Grant/Donor Name and Address: | | University of Delaware Research Office 210 Hullihen Hall Newark, DE 19716 | | | |
| Grant Period: | | From: | To: | | |
| | | 7/1/2010 | 6/30/2011 | | |
| Grant/Donation | | \$17,899 | | | |
| | SFY 1 | SFY 2 | SFY 3 | Total | Comments |
| Grant Amount: | \$17,899 | \$ | \$ | \$17,899 | |
| Position Information: | | # Positions | Explanation/Comments | | |
| | | 0 | | | |
| Additional Comments: | | | | | |
| | | | | | |
| Department of Finance & Management | | LA | | 8/18/10 | (Initial) |
| Secretary of Administration | | | | TP 8/18/10 | (Initial) |
| Sent To Joint Fiscal Office | | | | 8/20/10 | Date 8/20/10 |

RECEIVED
 SEP 16 2010

JOINT FISCAL OFFICE

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

| BASIC GRANT INFORMATION | | | | |
|---|------------------------|---|-----------|---------------|
| 1. Agency: | | Agency of Agriculture, Food & Markets | | |
| 2. Department: | | | | |
| 3. Program: | | Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms | | |
| 4. Legal Title of Grant: | | Risk Management Education | | |
| 5. Federal Catalog #: | | 10.500 | | |
| 6. Grant/Donor Name and Address: University of Delaware Research Office 210 Hullihen Hall Newark, DE 19716 | | | | |
| 7. Grant Period: | | From: | 7/1/2010 | To: 6/30/2011 |
| 8. Purpose of Grant: To work with middle managers on Vermont dairy farms to develop/improve participants' Human Resource management skills through regional workshops. | | | | |
| 9. Impact on existing program if grant is not Accepted: None. | | | | |
| 10. BUDGET INFORMATION | | | | |
| | SFY 1 | SFY 2 | SFY 3 | Comments |
| Expenditures: | FY 2011 | FY | FY | |
| Personal Services | \$14,299 | \$ | \$ | |
| Operating Expenses | \$3,600 | \$ | \$ | |
| Grants | \$ | \$ | \$ | |
| Total | \$17,899 | \$ | \$ | |
| Revenues: | | | | |
| State Funds: | \$ | \$ | \$ | |
| Cash | \$ | \$ | \$ | |
| In-Kind | \$ | \$ | \$ | |
| Federal Funds: | \$ | \$ | \$ | |
| (Direct Costs) | \$ | \$ | \$ | |
| (Statewide Indirect) | \$ | \$ | \$ | |
| (Departmental Indirect) | \$ | \$ | \$ | |
| Other Funds: | \$ | \$ | \$ | |
| Grant (source University of Delaware) | \$17,899 | \$ | \$ | |
| Total | \$17,899 | \$ | \$ | |
| Appropriation No: | 2200030000/prog.#21889 | Amount: | \$17,899 | |
| | | | \$ | |
| | | | \$ | |

REC AUG 12 2010

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

| | | | |
|--|--|--------------|-----------|
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | Total | \$ 17,899 |

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: Roger Allbee Agreed by: DB (initial) For Secretary Allbee

| 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>Deanne Bottifoll</u> | Date: <u>8/10/10</u> |
| Title: Deputy Secretary <u>For Secretary Allbee</u> | |
| Signature: _____ | Date: _____ |
| Title: _____ | |

14. ACTION BY GOVERNOR

| | | | |
|-------------------------------------|----------------------------|---|----------------------|
| <input checked="" type="checkbox"/> | Check One Box: Accepted | (Governor's signature) <u>[Signature]</u> | Date: <u>8/20/10</u> |
| <input type="checkbox"/> | Rejected | | Date: _____ |

15. SECRETARY OF ADMINISTRATION

| | | | |
|--------------------------|----------------------------------|---|----------------------|
| <input type="checkbox"/> | Check One Box: Request to JFO | (Secretary's signature or designee) <u>Tan Bell</u> | Date: <u>8/15/10</u> |
| <input type="checkbox"/> | Information to JFO | | Date: _____ |

16. DOCUMENTATION REQUIRED

Required GRANT Documentation

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

End Form AA-1

Research Subaward Agreement

| | |
|--|--|
| Institution/Organization ("Prime Recipient") Name: <u>University of Delaware</u> Prime Award No.: <u>2010-49200-06201</u> Awarding Agency: <u>USDA - Risk Management Education</u> PI: <u>Don Tilmon</u> | Institution/Organization ("Subrecipient") Name: <u>Vermont Agency of Agriculture, Food & Markets</u> Subaward No.: <u>22785</u> CFDA #: <u>10.500</u> Amount Funded This Action: <u>\$17,899</u> Est. Total (if incrementally funded): <u>\$17,899</u> PI: <u>Louise Watermen</u> |
|--|--|

| | |
|---|--|
| Subaward Period of Performance: Budget Period: From: <u>July 1, 2010</u> To: <u>June 30, 2011</u> | Estimated Project Period (if incrementally funded): From: <u>July 1, 2010</u> To: <u>June 30, 2011</u> |
|---|--|

Project Title:
Grow Managers from within your Organization - Middle-Manager Human Resource Management Skills Training on Vermont Dairy Farms

Reporting Requirements (Check here if applicable: See Attachment 4) ARRA Funds (Attachment 4A)

Terms & Conditions

- 1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are (check one): As specified in Subrecipient's proposal dated _____; or as shown in Attachment 5. In its performance of the subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.
- 2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference Prime Recipient's Subaward Number shall be returned to Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Administrative Contact as shown in Attachments 3A & 3B.
- 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to Prime Recipient's Administrative Contact as shown in Attachments 3A and 3B, NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachments 3A and 3B. Technical reports are required as shown above, "Reporting Requirements".
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachments 3A & 3B. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official as shown in Attachments 3A & 3B.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or director's, to the extent allowed by law.
- 8) Either party may terminate this subaward with thirty days written notice to the appropriate party's Administrative Contact as shown in Attachments 3A & 3B. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122 or 45 CFR Part 74 Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals" as applicable.
- 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachments 3A & 3B, not less than thirty (30) days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2. Subrecipient also assures that it will comply with applicable statutory and regulatory requirements specified in the Research Terms & Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rte/appc.pdf>.

| | |
|--|--|
| By an Authorized Official of Prime Recipient <u>Katherine M. Hyatt</u> Date: <u>8/6/10</u> | By an Authorized Official of Subrecipient <u>[Signature]</u> Date: <u>8/2/10</u> |
|--|--|

Grant Proposal

Project Name: Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms

Project Number: RME-J8Y03570

Contract Number:

Submitted: 2/19/2010 10:43:20 AM

Project Director: Louise Waterman
Vermont Agency of Agriculture, Food & Markets
Phone: 802-828-6900
E-mail: Louise.Waterman@state.vt.us

Contact Person: Louise Waterman
Vermont Agency of Agriculture, Food & Markets
Phone: 802-828-6900
E-mail: Louise.Waterman@state.vt.us

Mailing Address: 116 State Street
Montpelier, VT 05620-2901
FAX: 802-828-3831

Project Summary:

Human resource risk for Vermont dairy businesses can be managed through improved human resource (HR) management. Vermont dairy producers are concerned about the ability to develop middle managers on their farms to help maintain a productive, stable and committed workforce. Producers are interested in growing middle managers from within their organization instead of hiring a manager right from the start; hiring people with the capabilities to fill management positions in the future and training those folks so they grow with the business. We will work with middle managers on VT dairy farms to develop/improve participants' HR management skills through regional workshops. The workshops will be held in four central locations for participant ease. The workshops will be collaborative and allow full participation between the audience and the presenters. We will maximize learning and implementation through blended learning as well as more short sessions. We anticipate 40 Vermont dairy producers will participate.

Risk Management Improvements:

Our project's targeted results fall within the Human/Personal Risk Management Area. Most dairy farm managers are blessed with a great deal of technical intelligence in areas of production. But most dairy farm managers could use more technical intelligence within the business management aspects and in particular human resource management. To keep the workforce motivated in these times of volatility within the dairy industry, managers need to understand people and how they react. Business volatility changes management needs and skills. By improving performance feedback skills and conflict management skills and learning new human resource management skills, our project participants will improve employee recruitment, management and retention. Improved communications and employee performance management are keys to managing this risk area. Although this project doesn't directly reduce risk such as purchasing crop insurance would, it is an indicator that participants are taking proactive steps to manage this risk area.

One of the greatest risks facing Vermont producers today is the ability to maintain a productive, stable and committed workforce. There are approximately 1100 dairy producers in Vermont. The dairy industry in Vermont generates 80-85% of our agricultural revenue. Reducing employee turnover, retaining the best people and tapping employee potential is an essential part of Vermont's dairy industry and it's important to the industry's future in Vermont. Providing employee feedback and managing conflict are important parts of a producer's and or manager's responsibilities.

Dairy producers across Vermont are interested in improving their performance feedback and conflict management skills to make human resource management easier.

Proposed Results - What Participants Will Learn, Achieve, Apply

| | <u>Proposed Result(s) that will happen by end of project</u> | <u>Topic</u> | <u>Producer Action</u> | <u>When Measured</u> | <u>Est. #</u> | <u>How Will You Verify</u> |
|---|--|---------------------------------------|------------------------|----------------------|---------------|----------------------------|
| 1 | Participants will improve existing, or learn for the first time, performance feedback and conflict management skills and learn new tools and systems to keep employees happy, informed and working productively together to achieve farm goals while positive changes occur on the farm. | Employee management and communication | Understand | April 2011 | 40 | Written Evaluation |
| 2 | Participants will see a decrease in employee/manager and employee/employee conflict and an increase in employee productivity due to improved communications | Employee management and communication | Implement | April, 2011 | 40 | Audience Response System |
| 3 | Participants will complete or fine tune a farm business organizational chart, performance review worksheets with/on employees as well as written job descriptions and job protocols | Employee management and communication | Decide | April, 2011 | 30 | Phone Interview |

| | <u>Proposed Result(s) that will happen after project</u> | <u>Topic</u> | <u>Producer Action</u> | <u>When Measured</u> | <u>Est. #</u> | <u>How Will You Verify</u> |
|---|---|---------------------------------------|------------------------|----------------------|---------------|----------------------------|
| 1 | Participants will continue with their individual action plan to address human resource management concerns on the farm | Employee management and communication | Implement | May, 2011 | 30 | Phone Interview |
| 2 | Participants will continue to use their new skills and tools to improve communications with employees and allow them to move into or continue in management positions on the farm | Employee management and communication | Implement | May, 2011 | 30 | Phone Interview |
| 3 | Participants will improve communications with family members and their community due to improved conflict management skills | Employee management and communication | Implement | May, 2011 | 30 | Phone Interview |
| 4 | VT dairy farms will have a more developed tier of middle managers on their farms. | None Selected | Implement | May, 2011 | 35 | Phone Interview |
| 5 | Producers/Project Participants will institute a dairy management team (DMT) on their farm. | Employee management and communication | Implement | May, 2011 | 4 | Phone Interview |

Producer Demand:

There are approximately 1050 dairy producers in Vermont. The dairy industry in Vermont generates 80-85% of our agricultural revenue. Reducing employee turnover, retaining the best people and tapping employee potential is an essential part of Vermont's dairy industry and it's important to the industry's future in Vermont. Human resource (HR) management is an important part of a producer/owner's and or manager's responsibilities.

We will be successful in getting 40 dairy producers to participate in this project because we have worked and will continue to work with many VT dairy producers on other (HR) management projects such as the "Mastering Management" Seminar held in VT in December of 2009. Feedback from this seminar indicated producers are very interested in continuing to develop their HR skills as well as developing middle managers on their farms. The young farmer discussion group in Addison County Vermont is interested in this project as well. We have built business relationships with VT dairy producers and identified needs. Producers have indicated a concern about the ability to maintain a productive, stable and committed workforce as well as the development of middle managers. Labor allocations can hamper productivity - impacting farm profitability.

Penn State conducted research on HR management and dairy employee organizational commitment. As part of this research a survey was sent to owners and employees of dairies with herd sizes of 250 or larger. VT farms participated in this survey. Their research confirmed that performance feedback is a key to good communications and an invaluable HR management tool for a successful operation.

Vermont dairy producers are interested in growing managers from within their organization instead of hiring a manager right from the start; hiring people with the capabilities to fill management in the future and then training those folks so they grow with the business: a milker becomes a herdsman or lead milker. We will work with middle managers to develop/improve HR management skills. We will have success in meeting the challenge of drawing in participants. The workshops will be held in central locations, depending on actual demand, and use a blended learning experience.

Key to the success of this project is working with Vermont dairy producers who are committed to the success of their businesses. Project participants will be producers/managers who are motivated to move forward with improving HR management practices and giving them specific guidance and follow-up to implement changed practices.

Audience Emphasis

Retiring/transitioning producers

Sustainable producers

Traditional commercial producers

Project Steps

| | <u>What Project Team Does</u> | <u>What Participants Do</u> | <u>When Measured</u> | <u>Est. Number</u> |
|---|---|---|----------------------|--------------------|
| 1 | Set up the day one and day two workshop dates as well as the four regional locations with collaborators and determine specific agendas for both workshop days. Day Two of the workshop will be one month after Day One. | Not Applicable | August, 2010 | 10 |
| 2 | Project leader will make farm visits to potential project participants | Give input on draft workshop agendas. Commit to project participation. Promote the project to other producers. | December, 2010 | 50 |
| 3 | Determine workshop curriculum. Order workshop material and prepare additional project material. | Not Applicable | December, 2010 | 40 |
| 4 | Set up and advertise the workshop through flyers in producer newsletters and several press releases in Agriview which is mailed to ~ 75% of dairy producers in VT. Project information will also be on each of the project team's web sites. | Not Applicable | January, 2011 | |
| 5 | Make presentations to the 2 active young farmer dairy groups in VT. Describe the project and ask for participation. | Register for the workshop. Promote the project to other dairy producers. | January, 2011 | 40 |
| 6 | Send out a direct mail piece advertising the project to all Large Farm Operations and all Medium Farm Operations. Distribute flyers at the state wide Dairy Banquet at the VT Farm Show. | Register for the workshops. | January, 2011 | 500 |
| 7 | Distribute project flyers to collaborators and other ag industry leaders and service providers. Ask them to promote the project to their client base. This would be done through an extensive email list of industry leaders and service providers. | Not Applicable | January, 2011 | 100 |
| 8 | Collect participant registration. | Participants will pre-register and pre-pay to hold their place. Participants will commit to attending both days of the 2 day workshop and homework after the first day and before the second workshop day. | February, 2011 | 40 |

Project Steps

| <u>What Project Team Does</u> | <u>What Participants Do</u> | <u>When Measured</u> | <u>Est. Number</u> |
|--|--|----------------------|--------------------|
| <p>9 Attend/present/facilitate at Day One of the two day workshop. This will be in four locations.</p> | <p>Participants will complete a 'sample' employee performance review worksheet during the workshop as well as interact by sharing their leadership challenges.</p> | February, 2011 | 40 |
| <p>10 Have forms available at the beginning of each workshop for participants. The form will ask participants to ' List three take-a ways from today's session that I plan to implement in my/the business'. Participants will fill out the form during/after the workshop and then hand it in at the end of the day. Participants will keep a copy and the project team will also keep a copy. The team will use this information as a guide to strengthen the day two workshop and to follow-up with participants.</p> | <p>Use this 'list' as a guide to implement change after the first day workshop. Writing things down helps participants implement!</p> | January, 2011 | 40 |
| <p>11 Attend/present/facilitate Day Two of the two day workshop. This will be in four locations.</p> | <p>Participants will practice their improved HR skills and new tools during communications with employees after the Day One workshop and before the Day Two workshop. During the Day Two workshop, participants will have an opportunity to discuss challenges/concerns they faced while implementing these new skills. Individual action plans will be developed to address these challenges/concerns</p> | March, 2011 | 35 |
| <p>12 Have forms available at the beginning of the Day Two workshop for participants. The form will ask participants to ' List three take-a ways from today's session that I plan to implement in my/the business'. Participants will fill out the form during/after the workshop and then hand them in at the end of the day. Participants will keep a copy and the project team will also keep a copy. The team will use this information to follow-up with participants.</p> | <p>Use this 'list' as a guide to implement change after the Day Two workshop. Writing things down helps participants implement!</p> | April, 2011 | 35 |

Project Steps

| <u>What Project Team Does</u> | <u>What Participants Do</u> | <u>When Measured</u> | <u>Est. Number</u> |
|--|---|----------------------|--------------------|
| 13 Assess participants improved human resource management skill level and new skill development. | Fill out project evaluations after Day One and Day Two of the two day workshop. | April, 2011 | 40 |

Project Description

The training will include a Day One workshop followed up with a Day Two workshop one month later for the same participants. Each participant will receive a minimum of 12 hours of training in two sessions. This 2 day training will be offered in 4 locations across the state saving participant's time and travel costs making them a convenient and cost effective learning tool.

Training and development opportunities are essential for producers to keep pace with change.

The focus will be on improving participants' performance feedback skills and conflict management skills as well as learning new human resource management tools. Without performance feedback employees don't know if they are moving forward, backward or simply standing still. The ability to give employee feedback is critical for middle managers on VT dairy farms. Developing feedback skills will help keep employees informed and working together to achieve farm goals. This will lead to a productive, stable and committed workforce. Conflict can be good and bad. Middle managers will improve conflict management skills and learn new tools for when conflict is causing a problem; it may be resolving the conflict or just harnessing it for productive potential. The project will offer new opportunities for participants to develop management skills and affirm sound supervision methods already in use to maximize learning and implementation.

The Day One and Day Two workshops will be result-oriented and contain highly interactive learning modules. Day two will have a direct 'tie' to what was presented at the Day One workshop. Day Two will be one month after Day One to allow each participant to implement skills learned at the Day One workshop. Day Two will provide more information as well as support for skills the participants are implementing from the Day One Workshop. Participants will practice their improved and new skills after the Day One workshop and discuss their concerns and questions during the Day Two workshop.

Each participant will receive a binder and set of CDs called 'Supervisory Skills for Managers'. Topic examples include: Leading/Influencing Others; Improving Employee Performance and Fostering Teamwork and Cooperation. One of the best ways to learn how to become a more effective supervisor is to see and hear how others manage, supervise and lead the employees on their farm. The CDs included with this binder include interviews with successful farm managers and capture their ideas, tips and best practices for successfully leading/supervising people.

Tools and Curriculum:

Instructors/presenters for the Day One workshop and the Day Two workshop will include Rick Hermonot and Bill Zweigbaum. Both Rick and Bill are consultants with Farm Credit East. These professionals were chosen for their experience and expertise in working with producers on educational events to help them manage human/personal risk. Both presenters have worked in Vermont for many years and have developed business relationships and credibility with producers. This connection will help draw in project participants.

The workshop curriculum will include the use of existing materials such as the 'Supervisory Skills for Managers' by Cooperative Resources International. This includes a workbook and a set of CDs which each participant will be given.

The project team will also research and assemble additional resource material related to understanding and managing employees.

Project Team

Team leader and members:

Louise Waterman
VT Agency of Agriculture, Food & Markets
Education Coordinator
Louise.Waterman@state.vt.us
Project Coordinator

Project collaborators:

- * Vermont Dairy Producers, project participants
- * Tim Buskey, Vermont Farm Bureau Administrator, tim@vtfb.org, assist with promoting the project
- * Tony Kitsos, UVM Extension Dairy Management Team Coordinator, Tony.Kitsos@uvm.edu, assist with promoting the project and bringing producers into the project
- * Bill Zweigbaum, Farm Credit East- Enfield CT, Bill.Zweigbaum@farmcrediteast.com, project presenter
- * Rick Hermonot, Farm Credit East - Dayville, CT
Richard.Hermonot@farmcrediteast.com, project presenter
- * Ruchel StHilaire, Yankee Farm Credit Administrative Assistant, ruchel.sthilaire@yankeeaca.com, assist with promoting and getting producers into the project by recommending it to clients
- * Steve Paddock, Small Business Development Center of VT, spaddock@vtsbdc.org, assist with promoting and getting producers into the project by recommending it to clients and work with the coordinator on the project curriculum

Describe your team's capacity to deliver this project:

History of Service. Vermont Agency of Agriculture, Food & Markets (VAAFAM) has a long history of delivering programs/services to Vermont producers. They have earned the respect of the farmers they serve. This goodwill among farmers in the state will be a critical factor in ensuring that producers will respond to invitations to participate in this project. VDAFM has a successful track record working with RME on other risk management partnerships.

Knowledge of Vermont Agriculture. The range of activities operated by VAAFAM puts them in a unique position of knowing the farm characteristics, crops, and trends in agriculture within the state.

Access to Unique Producer Information. VAAFAM already has access to extensive data on the production characteristics of farms in the state. They can draw on much of this information to design an effective risk management education project.

Louise Waterman (team leader and AAFM employee) has been working with farmers for a number of years. She is the project coordinator for one RME on-going farm labor management project and several past RME projects, works with producers on farm transfer planning, farm safety with the goal of reducing worker comp insurance costs, facilitates several dairy management teams, as well as supporting the coordination of the existing Farm Viability Enhancement Program and working with a young farmer discussion group. As such, she is experienced in building business relationships with farmers and other agricultural professionals, coordinating with other service providers, assigning tasks, delegating and

follow-through.

Other team member capacity information included in 'requested documents'.

Original pre-proposal request: \$19,550

Budget

| | |
|--|---------------|
| Section A. Senior/Key Person | \$3,300 |
| Section B. Other Personnel | \$0 |
| Total Salary, Wages and Fringe Benefits (A + B): | \$3,300 |
| Section C. Equipment: | \$0 |
| Section D. Travel: | \$0 |
| Section E. Participant/Trainee Support Costs | \$0 |
| Section F. Other Direct Costs: | \$14,599 |
| 1. Materials and Supplies: | \$1,200 |
| 2. Publication Costs: | Not Allowable |
| 3. Consultant Services: | \$10,999 |
| 4. ADP/Computer Services: | Not Allowable |
| 5. Subawards/Consortium/Contractual Costs: | \$0 |
| 6. Equipment or Facility Rental/User Fees: | \$0 |
| 7. Alterations and Renovations: | Not Allowable |
| 8. Additional Direct Costs: | \$2,400 |
| Section G. Direct Costs (A thru F): | \$17,899 |
| Section H. Indirect Costs | \$0 |
| Section I. Direct and Indirect Costs (G + H): | \$17,899 |

Do you have institutional approval? Yes

Are you applying for funding for this project elsewhere or have you received funding for this project previously? No

Explain (if yes)

Sponsored Program or Fiscal Officer Mailing Address

Vermont Agency of Agriculture, Food & Markets
Administration
116 State Street
Montpelier, VT 05620-2901
802-828-3567

Budget Narrative

Section A. Senior/Key Person

Includes salary for 0.05 FTE for Project Leader @ \$2,500 and fringe benefit at 32% of \$2,500 salary for Project Leader for a total of \$800.00

The Project Leader will spend an additional 0.05 FTE on this project but the cost will be an 'in kind' contribution.

Section B. Other Personnel

None Requested

Total Salary, Wages and Fringe Benefits (A+B)

\$3,300.00

Section C. Equipment

None Requested

Section D. Travel

None Requested

Section E. Participant/Trainee Support Costs

None Requested

Section F. Other Direct Costs

1. Materials and Supplies

Participant handouts - \$30 X 40 participants = \$1,200.00

3. Consultant Services

Consultant/Trainer Fees for a 2 day workshop/seminar at 4 regional locations = \$10,999.00

5. Subawards / Consortiums / Contractual Costs

None Requested

6. Equipment or Facility Rental / User Fees

Facility Rental for the 2 day workshop/seminar at 4 regional locations = \$1,800.00 (\$225/location X 8 locations)

8. Additional Direct Costs

Postage for advertising/direct mail to VT dairy producers = \$500

Flyer printing costs = \$100 Total Additional Direct Costs = \$600

Total for Section F - Other Direct Costs = \$14,599

Section G. Direct Costs (A thru F)

\$3,300.00 + \$14,599.00 = \$17,899.00

*Participating Producer registration fees will contribute towards the Consultant/Trainer fees.

Section H. Indirect Costs
None Requested

Section I. Total Direct and Indirect Costs (G+H)
\$17,899.00

APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

| | | | |
|---|----------------------|---|--------------------------------------|
| 2. DATE SUBMITTED 2/15/2010 | | Applicant Identifier RME-J8Y03570 | |
| 3. DATE RECEIVED BY STATE | | State Application Identifier | |
| 1. * TYPE OF SUBMISSION <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | 4. Federal | |
| 5. APPLICANT INFORMATION * Organizational DUNS: 809376718 | | | |
| * Legal Name: Vermont Agency of Agriculture, Food & Markets | | | |
| Department: Administration | | Division: Administration | |
| * Street1: 116 State Street | | Street2: | |
| * City: Montpelier | County: Washington | * State: VT | * ZIP Code: 05620-2904 |
| * Country: | | | |
| Person to be contacted on matters involving this application | | | |
| Prefix: | * First Name: Louise | Middle Name: | * Last Name: Waterman Suffix: |
| * Phone Number: 802-828-6900 | | Fax Number: 802-828-3831 | Email: Louise.Waterman@state.vt.us |
| 6. * EMPLOYER IDENTIFICATION (EIN) or (TIN): 03-6000264 | | 7. * TYPE OF APPLICANT: A | |
| 8. * TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Resubmission <input type="checkbox"/> Renewal <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | | Other (Specify): Small Business Organization Type <input type="checkbox"/> Women Owned <input type="checkbox"/> Socially and Economically Disadvantaged | |
| If Revision, mark appropriate box(es). <input type="checkbox"/> A. Increase Award <input type="checkbox"/> B. Decrease Award <input type="checkbox"/> C. Increase Duration <input type="checkbox"/> D. Decrease Duration <input type="checkbox"/> E. Other (specify): | | 9. * NAME OF FEDERAL AGENCY: USDA CSREES | |
| * Is this application being submitted to other agencies? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> | | 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 10.500 | |
| What other Agencies? | | TITLE: USDA CSREES | |
| 11. * DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Grow Managers from within your Organization-Middle Manager Human Resource-Management Skills Training for VT Dairy Produce | | | |
| 12. * AREAS AFFECTED BY PROJECT (cities, counties, states, etc.) VT- state wide | | | |
| 13. PROPOSED PROJECT: * Start Date: July 1, 2010 * Ending Date: December 31, 2010 | | 14. CONGRESSIONAL DISTRICTS OF: a. * Applicant: Vermont b. * Project: Vermont | |
| 15. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION | | | |
| Prefix: | * First Name: Louise | Middle Name: | * Last Name: Waterman Suffix: |
| Position/Title: Education Coordinator | | * Organization Name: VT Agency of Agriculture, Food & Markets | |
| Department: | | Division: Administration | |
| * Street1: 116 State Street | | Street2: | |
| * City: Montpelier | County: Washington | * State: VT | * ZIP Code: 05620-2904 |
| * Country: USA | | | |
| * Phone Number: 802-828-6900 | | Fax Number: 802-828-3831 | * Email: Louise.Waterman@state.vt.us |

| | | | |
|--|-------------|--|--|
| 16. ESTIMATED PROJECT FUNDING | | 17. * IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? | |
| a. * Total Estimated Project Funding | \$17,899.00 | a. YES | <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: |
| b. * Total Federal & Non-Federal Funds | | DATE: | |
| c. * Estimated Program Income | | b. NO | <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372; OR <input type="checkbox"/> PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW |

18. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

* I agree

* The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

19. Authorized Representative

Prefix: * First Name: Middle Name: * Last Name: Suffix:

Diane Bothfeld

* Position/Title: Deputy Secretary * Organization: Vermont Agency of Agriculture, Food & Markets

Department: Division: Administration

* Street1: 116 State Street Street2:

* City: Montpelier County: Washington * State: VT * ZIP Code: 05620-2904

* Country: USA

* Phone Number: 802-828-1619 Fax Number: 802-828-2361 * Email: Diane.Bothfeld@state.vt.us

* Signature of Authorized Representative
Diane Bothfeld

* Date Signed

2/10/10

20. Pre-application



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Representative Carolyn Partridge
From: Nathan Lavery, Fiscal Analyst
Date: September 22, 2010
Subject: JFO #2459

Representative Michael Obuchowski asked that I forward to you a copy of the enclosed grant materials and cover memo. He requests your observations regarding the enclosed item.

cc: Rep. Michael Obuchowski

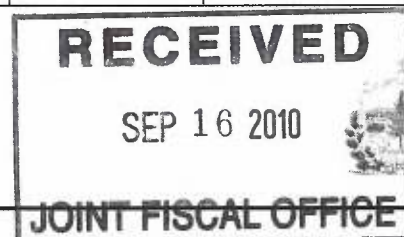
State of Vermont
 Department of Finance & Management
 109 State Street, Pavilion Building
 Montpelier, VT 05620-0401

Agency of Administration

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

STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

| | | | | | |
|---|--------------|--|-----------------------------|--------------|-----------------|
| Grant Summary: | | This grant from the University of Delaware is a subgrant of a portion of a Grant to the University of Delaware from the USDA-Risk Management Education Program. The sub-grant to Agriculture is for regional workshops with middle managers on Vermont dairy farms to improve their management skills. | | | |
| Date: | | 8/13/2010 | | | |
| Department: | | Agency of Agriculture Food and Markets | | | |
| Legal Title of Grant: | | RiskManagement Education | | | |
| Federal Catalog #: | | 10.500 | | | |
| Grant/Donor Name and Address: | | University of Delaware Research Office 210 Hullihen Hall Newark, DE 19716 | | | |
| Grant Period: | | From: | To: | | |
| | | 7/1/2010 | 6/30/2011 | | |
| Grant/Donation | | \$17,899 | | | |
| | SFY 1 | SFY 2 | SFY 3 | Total | Comments |
| Grant Amount: | \$17,899 | \$ | \$ | \$17,899 | |
| Position Information: | | # Positions | Explanation/Comments | | |
| | | 0 | | | |
| Additional Comments: | | | | | |
| Department of Finance & Management | | | | 8/18/10 | (Initial) |
| Secretary of Administration | | | | TP 8/18/10 | (Initial) |
| Sent To Joint Fiscal Office | | | | 8/20/10 | Date 8/20/10 |



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

| BASIC GRANT INFORMATION | | | | | |
|--|------------------------|---|----------------------|-----------------|--|
| 1. Agency: | | Agency of Agriculture, Food & Markets | | | |
| 2. Department: | | | | | |
| 3. Program: | | Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms | | | |
| 4. Legal Title of Grant: | | Risk Management Education | | | |
| 5. Federal Catalog #: | | 10.500 | | | |
| 6. Grant/Donor Name and Address: University of Delaware Research Office 210 Hullihen Hall Newark, DE 19716 | | | | | |
| 7. Grant Period: | | From: 7/1/2010 | To: 6/30/2011 | | |
| 8. Purpose of Grant: To work with middle managers on Vermont dairy farms to develop/improve participants' Human Resource management skills through regional workshops. | | | | | |
| 9. Impact on existing program if grant is not Accepted: None. | | | | | |
| 10. BUDGET INFORMATION | | | | | |
| | SFY 1 | SFY 2 | SFY 3 | Comments | |
| Expenditures: | FY 2011 | FY | FY | | |
| Personal Services | \$14,299 | \$ | \$ | | |
| Operating Expenses | \$3,600 | \$ | \$ | | |
| Grants | \$ | \$ | \$ | | |
| Total | \$17,899 | \$ | \$ | | |
| Revenues: | | | | | |
| State Funds: | \$ | \$ | \$ | | |
| Cash | \$ | \$ | \$ | | |
| In-Kind | \$ | \$ | \$ | | |
| Federal Funds: | \$ | \$ | \$ | | |
| (Direct Costs) | \$ | \$ | \$ | | |
| (Statewide Indirect) | \$ | \$ | \$ | | |
| (Departmental Indirect) | \$ | \$ | \$ | | |
| Other Funds: | \$ | \$ | \$ | | |
| Grant (source University of Delaware) | \$17,899 | \$ | \$ | | |
| Total | \$17,899 | \$ | \$ | | |
| Appropriation No: | 2200030000/prog.#21889 | Amount: | \$17,899 | | |
| | | | \$ | | |
| | | | \$ | | |

REC'D AUG 1 2 2010

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

| | | | |
|--|--|--------------|------------------|
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | Total | \$ <u>17,899</u> |

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: Roger Allbee Agreed by: DB (initial) For Secretary Allbee

| 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>Deanne Botteff</u> | Date: <u>8/10/10</u> |
| | Title: Deputy Secretary <u>For Secretary Allbee</u> | |
| | Signature: | Date: |
| | Title: | |

14. ACTION BY GOVERNOR

| | | | |
|-------------------------------------|----------------------------|------------------------|----------------------|
| <input checked="" type="checkbox"/> | Check One Box: Accepted | | Date: <u>8/20/10</u> |
| <input type="checkbox"/> | Rejected | (Governor's signature) | Date: |

15. SECRETARY OF ADMINISTRATION

| | | | |
|--------------------------|----------------------------------|-------------------------------------|----------------------|
| <input type="checkbox"/> | Check One Box: Request to JFO | | Date: <u>8/15/10</u> |
| <input type="checkbox"/> | Information to JFO | (Secretary's signature or designee) | Date: |

16. DOCUMENTATION REQUIRED

Required GRANT Documentation

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

End Form AA-1

Research Subaward Agreement

Institution/Organization ("Prime Recipient")

Name: University of Delaware

Prime Award No.: 2010-49200-06201

Awarding Agency: USDA - Risk Management Education

PI: Don Tilmon

Institution/Organization ("Subrecipient")

Name: Vermont Agency of Agriculture, Food & Markets

Subaward No.: 22785 CFDA #: 10.500

Amount Funded This Action: \$17,899 Est. Total (if incrementally funded) \$17,899

PI: Louise Watermen

Subaward Period of Performance:

Budget Period: From: July 1, 2010 To: June 30, 2011

Estimated Project Period (if incrementally funded):

From: July 1, 2010 To: June 30, 2011

Project Title:

Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms

Reporting Requirements (Check here if applicable: See Attachment 4) ARRA Funds (Attachment 4A)

Terms & Conditions

- 1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are (check one): As specified in Subrecipient's proposal dated [] ; or as shown in Attachment 5. In its performance of the subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.
- 2) Prime Recipient Shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference Prime Recipient's Subaward Number shall be returned to Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Administrative Contact as shown in Attachments 3A & 3B.
- 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to Prime Recipient's Administrative Contact as shown in Attachments 3A and 3B, NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachments 3A and 3B. Technical reports are required as shown above, "Reporting Requirements".
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachments 3A & 3B. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official as shown in Attachments 3A & 3B.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or director's, to the extent allowed by law.
- 8) Either party may terminate this subaward with thirty days written notice to the appropriate party's Administrative Contact as shown in Attachments 3A & 3B. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122 or 45 CFR Part 74 Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals" as applicable.
- 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachments 3A & 3B, not less than thirty (30) days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2. Subrecipient also assures that it will comply with applicable statutory and regulatory requirements specified in the Research Terms & Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rte/appc.pdf>.

By an Authorized Official of Prime Recipient

Katherine M. Lyons

8/6/10
Date

By an Authorized Official of Subrecipient

[Signature]

8/12/10
Date

**Attachment 1
Research Subaward Agreement
Certifications and Assurances**

By signing the Subaward Agreement, the authorized official of Subrecipient certifies, to the best of his/her knowledge and belief that:

Certification Regarding Lobbying

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying", to the Prime Recipient.

3) The Subrecipient shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters

Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

OMB Circular A-133 Assurance

Subrecipient assures Prime Recipient that it complies with A-133 and that it will notify Prime Recipient of completion of required audits and of any adverse findings which impact this subaward.

Attachment 2
Research Subaward Agreement
Prime Award Terms and Conditions
USDA

Agency-Specific Certifications/Assurances

1. By signing this Research Subaward Agreement Subrecipient makes the certifications and assurances specified in the Research Terms and Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>

General terms and conditions:

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. 7 CFR Part 3015, 3017, 3018 and 3019.
3. Research Terms and Conditions found at < <http://www.nsf.gov/bfa/dias/policy/rtc/terms.pdf>> and Agency Specific Requirements found at http://www.nsf.gov/pubs/policydocs/rtc/csrees_708.pdf, except for the following:
 - a. The right to initiate an automatic one-time extension of the end date provided by Article 25 (c)(2) is replaced by the need to obtain prior written approval from the Prime Recipient;
 - b. The payment mechanism described in Article 22 and the financial reporting requirements in Article 52 of the Research Terms and Conditions and Article 10 of the Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this agreement; and
 - c. Any prior approvals are to be sought from the Prime Recipient and not the Federal Awarding Agency.
4. Title to equipment costing \$5,000 or more that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Subrecipient upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in Article 34(a) of the Research Terms and Conditions.

Special terms and conditions:

1. Copyrights

Subrecipient grants to Prime Recipient an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet Prime Recipient's obligations to the Federal Government under its Prime Award.

2. Data Rights

Subrecipient grants to Prime Recipient the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet Prime Recipient's obligations to the Federal Government under its Prime Award.

3. Automatic Carry Forward: Yes No

Carry Forward requests must be sent to Prime Recipient's Administrative contact, as shown in Attachment 3.

4. Invoices

All invoices must include the period for which reimbursement is being requested.

All invoices must include a certification statement such as, "I certify that all expenditures reported (and requested payments) are for appropriate purposes and in accordance with the provisions of the applications and award documents for the above referenced grant/contract award number.", and be signed by an authorized representative.

In connection with review of the invoice, upon request by the University, Subrecipient shall provide additional supporting documentation for related expenses.

The final invoice will be paid upon submission of a completed Subaward Close-Out Requirements form found in Attachment 4.

As the Principal Investigator I am in agreement with all of the terms and conditions of this agreement.

Don Tilmon

July 24, 2010

Principal Investigator

Date

H. Don Tilmon

Print/Type Name

Attachment 3A
Research Subaward Agreement

Subaward Number:

22785

Prime Recipient Contacts

Institution/Organization ("Prime Recipient")

Name: University of Delaware

Address: 210 HULLIHEN HALL

City: Newark

State: DE

ZipCode: 19716-0099

Administrative Contact

Name: Katherine M. Lyons

Address: University of Delaware

Research Office

210 HULLIHEN HALL

City: Newark

State: DE

ZipCode: 19716-0099

Telephone: 302-831-8626

Fax: 302-831-2828

Email: kmlyons@udel.edu

Principal Investigator

Name: Don Tilmon

Address: University of Delaware, College of Agriculture and Natural Resources

Food & Resource Economics, Northeast Center for Risk Management Education

112 Townsend Hall

City: Newark

State: DE

ZipCode: 19716

Telephone: 302-831-1325

Fax: 302-831-0857

Email: htilmon@udel.edu

Financial Contact

Name: Same as Administrative

Address:

City:

State:

ZipCode:

Telephone:

Fax:

Email:

Authorized Official

Name: Same as Administrative

Address:

City:

State:

ZipCode:

Telephone:

Fax:

Email:

Attachment 3B
Research Subaward Agreement

Subaward Number:

22785

Subrecipient Contacts

Institution/Organization ("Subrecipient")

Name: Vermont Agency of Agriculture, Food & Markets

Address: 116 State Street

City: Montpelier

State: VT

ZipCode: 05620-2901

EIN No.: 03-6000264

Reg. in CCR? Yes No

DUNS No.:

809376718

Congressional District:

VT

Congressional District:

VT

Congressional District:

VT

Administrative Contact

Name: Louise Waterman

Address: 116 State Street

City: Montpelier

State: VT

ZipCode: 05620-2901

Telephone: 802-828-6900

Fax: 802-828-3831

Email: Louise.Waterman@state.vt.us

Principal Investigator

Name: Louise Waterman

Address: 116 State Street

City: Montpelier

State: VT

ZipCode: 05620-2901

Telephone: 802-828-6900

Fax: 802-828-3831

Email: louise.waterman@state.vt.us

Financial Contact

Name: Mary Morrison

Address: 116 State Street

City: Montpelier

State: VT

ZipCode: 05620-2901

Telephone: 802-828-3567

Fax: 802-828-3831

Email: Mary.Morrison@state.vt.us

Authorized Official

Name: Secretary Roger Allbee

Address: 116 State Street

City: Montpelier

State: VT

ZipCode: 05620-2901

Telephone: 802-828-1619

Fax: 802-828-3831

Email: Roger.Allbee@state.vt.us

**ATTACHMENT 4
SUBAWARD AGREEMENT**

Reporting Requirements

Reports must be submitted as outlined in the **Grantee Letter of Commitment**, included in Attachment 5.

University of Delaware
Research Office
210 Hullihen Hall
Newark, DE 19716

Subrecipient Close-Out Requirements

As a subrecipient of the University of Delaware you are required to submit a final invoice marked FINAL, a signed copy of this form, and other documents listed below, as applicable. **The final invoice will NOT be processed for payment until all close-out documentation has been received.**

Subaward #:
Subrecipient:

Please check all that apply and attach documents, as required.

Final invoice has been sent

Required cost-share has been met and reported

Patents and/or inventions are pending. Please see attached documentation

There are no patents or inventions to report

Technical report completed and sent to UD Principal Investigator on this date _____

No equipment was purchased with these funds (*equipment is defined as an article of nonexpendable tangible personal property having a useful life of more than 1 year and a cost of \$5,000 or more*)

Equipment purchased (please list below and add additional sheets as needed)

Total expenditures of \$ _____ have been incurred. This has been or will be paid.

I hereby certify the above information is correct and in accordance with the terms of the subaward agreement. Subrecipient does hereby remise, relent, and discharge the University of Delaware, its officers, and employees of and from all liabilities, obligations, claims, and demands whatsoever under or arising from the said subaward agreement.

Subrecipient's Authorized Representative

Date

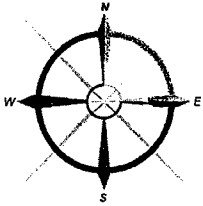
Return to: University of Delaware, Research Office, 210 Hullihen Hall, Newark, DE 19716

**ATTACHMENT 5
SUBAWARD AGREEMENT**

**Prime Award Document
Subrecipient SOW
Subrecipient budget**

**United States Department of Agriculture
National Institute of Food and Agriculture
AWARD FACE SHEET**

| | | | | | | | |
|---|--|--|--------------------|---|---------------|---------------------------------------|---------------|
| 1. Award No. 2010-49200-06201 | | 2. Proposal Number 2009-05539 | | 3. Period of Performance 11/15/2009 through 11/14/2010 | | 4. Type of Instrument Grant | |
| 5. Type of Action New Continuation | | 6. CFDA Number 10.500 | | 7. CAN | | 8. MO | |
| | | | | 9. Method of Payment DHHS Payment Management System | | 10. CRIS Number | |
| 11. Authority: 7 U.S.C. 3318, P.L. 106-224, Sec. 133 of P. L. 106-224, Ag Risk Management Education Competitive Grants Program | | | | | | | |
| 12. Agency (Name and Address) Awards Management Branch National Institute of Food and Agriculture/USDA Washington, DC 20250-2271 | | | | 13. Awardee Organization University of Delaware Newark, DE 19716 | | | |
| 14. Program Point of Contact: Patricia Hipple Telephone: 202-401-2185 pphipple@nifa.usda.gov | | Administrative Point of Contact: Jeffrey B. Jacobs Telephone: 202-690-5717 jjacobs@nifa.usda.gov | | 15. Project Director/Performing Organization H Don Tilmon University of Delaware Newark, DE 19716 | | | |
| 16. Funding: | | | | 17. Funds Chargeable | | | |
| | | <u>Federal</u> | <u>Non-Federal</u> | <u>FY - FDC</u> | <u>Amount</u> | <u>FY - FDC</u> | <u>Amount</u> |
| Previous Total | | \$0.00 | \$0.00 | 09- 943-49200 | \$895,337.00 | | |
| + or - | | \$895,337.00 | \$0.00 | | | | |
| Total | | \$895,337.00 | \$0.00 | | | | |
| Grand Total | | \$895,337.00 | | | | | |
| 18. Title of Proposal The Northeast Center for Risk Management Education | | | | | | | |
| PROVISIONS | | | | | | | |
| <p>This Award incorporates the following:</p> <ol style="list-style-type: none"> 1. Research Terms and Conditions (07/01/08) and NIFA Agency Specific Terms and Conditions (11/09) at http://www.nsf.gov/bfa/dias/policy/rto/index.jsp 2. The referenced proposal and any revision thereto - incorporated by reference 3. 7 CFR Part 3015, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR 3430 - incorporated by reference (http://www.nifa.usda.gov/business/awards/fedregulations.html) 4. The Approved Award Budget 5. CRIS Forms AD-416 and AD-417 - incorporated by reference 6. The obligation of funds may be terminated without further cause unless the recipient commences the timely drawdown of funds; initial drawdown must be made within the first year of the project. 7. Contingent upon the availability of funds and the satisfactory progress of this project, NIFA intends to continue support at approximately the following levels: FY 2011 in the amount of \$895,337 and FY 2012 in the amount of \$895,337. 8. Modification of Article 9.B.b. of Agency-Specific Terms and Conditions - Annual "Accomplishment Report" must be electronically submitted through the CRIS system within 90 days PRIOR to the anniversary date, i.e., current expiration date of the award. Untimely submission of these reports may delay processing of a subsequent award and failure to submit these reports will likely result in the restriction of the funding increment. 9. Funds in the amount of \$70,800 are withheld pending NIFA-ADO receipt and approval of additional budgetary details for "Speaker", "Honoraria" and "Facility" charges. 10. Attachment A to the NIFA-2009 11. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. <p>Co-Project Director(s): Laurie G Wolinski (University of Delaware)</p> | | | | | | | |
| FOR THE UNITED STATES DEPARTMENT OF AGRICULTURE | | | | | | | |
| This award, subject to the provisions above, shall constitute an obligation of funds on behalf of the Government. Such obligation may be terminated without further cause unless the recipient commences the timely drawdown of funds; such drawdowns may not exceed one year from issuance date of the award. | | | | | | | |
| Typed Name Rochelle A. McCrea Authorized Departmental Officer | | | | Signature RMCCREA | | Date 11/10/2009 | |



The Northeast Center for Risk Management Education

Dr. H. Don Tilmon, Director
Laurie Wolinski, Associate Director
Susan Olson, Program Coordinator

112 Townsend Hall
College of Agriculture and
Natural Resources
University of Delaware
Newark, Delaware 19716-2130
Phone: 302-831-6540
FAX: 302-831-0857
www.necrme.org

Grantee Letter of Commitment

Project: Grow Managers from within your Organization - Middle Manager Human Resource Management Skills Training on Vermont Dairy Farms

Organization: Vermont Agency of Agriculture- Food & Markets

Project Director: Louise Waterman

In accepting the funds awarded for this project, I commit to:

- Attend the annual **Orientation Workshop** for NECRME Project Directors, scheduled for September 22, 2010. The meeting will be held at a hotel near the Philadelphia International Airport. If more than one Project Director is involved with the project, only one need attend. (Travel expenses will be reimbursed for one person per project.) Attendance is optional for Project Directors who attended the Orientation last year (2009), but all are welcome.
- Submit online **Progress Reports** by the following dates: **October 1, 2010; February 1, 2011; and May 1, 2011**. Requirements and a link for reporting are available on the NECRME website – necrme.org (under "Grants" select "Project Reporting").
- Submit a **Final Report** online within 30 days of the project end date (please note that final payment or up to 15% of allocated funds may be withheld until all reporting requirements are met). The Final Report for each project is a public document, and will ultimately be available for viewing online in the Ag Risk Education Library (agrisk.umn.edu).
- In conjunction with grant reporting activities, **upload** or provide links to promotional materials, educational materials, and evaluations utilized and/or produced as a part of the project.
- **Include a statement on all materials** produced for the project which acknowledges the federal funds received through NECRME, and which utilizes both the Center's logo and the NIFA/USDA logo (details and the logos may be accessed at necrme.org (under "Grants" select "Funding Acknowledgement").

I agree to meet these requirements, as stated by the Northeast Center for Risk Management Education.

Signature of Project Director: _____

Date: 5-21-2010

(Please sign and return one copy in the enclosed envelope. Thank you.)

