APPLICATION FOR INITIAL FUNDING

VERMONT
EARLY CHILDHOOD PROFESSIONAL DEVELOPMENT SYSTEM

Part A: Northern Lights Career Development Center
Part B: Comprehensive, Coordinated Regional Professional Development Opportunities
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July 7, 2016

Dear Colleagues:

The Federal Child Care and Development Block Grant (CCDBG) Act was reauthorized for the first time in 18 years in 2014. In a historic re-envisioning of this critical federal funding source for child care subsidies and child care quality improvement in states, the new law and guidance expressed a clear focus on a two generation approach to support economic self-sufficiency for low-income families while also supporting healthy development and school readiness for children. One of the stated purposes of the Act is to improve the overall quality of child care programs in states as a means of improving outcomes for children. In recognition of research that identifies the qualifications, knowledge and competence of professionals in child care settings as the aspect of quality that most impacts child outcomes, one of the key features of the new law focuses on training and professional development of the child care workforce and specifically identifies research-informed professional development activities as allowable for funding under the increased quality set-asides required by the law. Funding from CCDBG supports those aspects of Vermont’s system of professional development for early care and learning and afterschool professionals administered by the Child Development Division (CDD) in the Department for Children and Families (DCF).

In guidance to states about implementation of the CCDBG Act of 2014, the federal Office of Child Care strongly advocated that states incorporate recommendations from the Institute of Medicine and the National Research Council’s (NRC) 2015 publication Transforming the Workforce for Children Birth through Age 8: A Unifying Foundation into their Child Care Development Fund (CCDF) State Plans. After consultation with the Vermont Association of Child Care Resource and Referral Agencies (VACCRRA) and the Professional Preparation and Development (PPD) Subcommittee of the Building Bright Futures Statewide Advisory Council on Early Childhood (BBF SAC), CDD included a goal in Vermont’s CCDF State Plan (released in January 2016) that states:

By January 1, 2017, CDD will launch a transformed system of training and professional development that is aligned with and incorporates established standards for programs and professionals in Vermont. We seek to enhance coordination among and within components of the system and increase consistent access to high quality, locally available learning opportunities that strengthen foundational knowledge and competencies while also supporting growth along identified career pathways toward expanding knowledge and competence and possibilities for career advancement.

This goal is based on the NRC report recommendations as well as an examination of Vermont’s existing service delivery system and investments in workforce development in relation to our shared aspirations for that system.
In working toward the goal, CDD is combining CCDF funds from several current agreements supporting the systemic delivery of professional development for the early care and learning workforce to create a competitive and integrated application for initial funding for the Vermont Early Childhood Professional Development System (VT ECPDS) including the Northern Lights Career Development Center and comprehensive, coordinated Regional Professional Development Opportunities (RDPO).

The catalyst for creating a competitive application is procurement requirements in Vermont state government that are designed to “ensure a fair and open bidding process for the selection of vendors” that guards against favoritism or imprudent spending, ensures that results meet identified needs and achieve desired outcomes, and protects the interests of the State and its taxpayers.

As part of this process, CDD convened an ad hoc workgroup to examine research into best practice and make recommendations regarding essential and desired elements of an effective delivery system in Vermont. The group included professionals working in family child care homes and centers and other stakeholders. This envisioning group worked over two months and delivered recommendations to CDD in late April. (Details and recommendations are included in Attachment I)

Today, the Child Development Division is releasing the final desired results, definition of terms, requirements, selection criteria, and priorities, along with an online application, for transforming the Vermont Early Childhood Professional Development System.

This competition represents an unprecedented opportunity for community partners, stakeholders and early childhood professionals to work together to design and implement a coordinated approach to a transformed system expressed in a collaborative, innovative application. Vermont is ready for a transformed system that closes the gap between what we know about adult learning and professional growth and what we do to envision and commit to an ECPDS that “improves the quality of professional practice, the quality of the practice environment, and the status and well-being of the workforce – and ultimately, outcomes for children.”

We are grateful for the contributions of all of our public and private partners in Vermont’s early childhood community for working with us to support forward momentum.

Sincerely,

Reeva Murphy
Deputy Commissioner,
Child Development Division

Ken Schatz
Commissioner
Department for Children and Families

1 Institute of Medicine and the National Research Council (NRC Transforming the Workforce for Children Birth through Age 8: A Unifying Foundation, 2015
Section 1: Introduction

There are currently 671 licensed programs (child care, prekindergarten, Head Start, afterschool, and non-recurring care settings) and 781 registered and licensed family child care homes in Vermont. The estimated size of the workforce in those settings is approximately 5,000 individuals. These individuals are family child care home providers, program directors, teachers, assistant teachers, assistants and aides working in communities across the state. These are the primary target consumers for Vermont’s Early Childhood Professional Development System (VT ECPDS). Available data on this workforce is included in Attachment II.

The broader early childhood system in Vermont includes other professionals like developmental educators, home visitors, family support workers, therapists, instructors, trainers, consultants and mentors who may also participate in the VT ECPDS. As a community, Vermont strives to connect opportunities across sectors to create a cohesive, integrated system of high quality professional development for professionals working with children birth – age 8 in our state.

VT ECPDS was initiated to support development and growth of individuals in the field of early childhood and afterschool. The system is primarily funded by federal CCDF funds administered by the CDD. The system is advised by the PPD Subcommittee of the BBF SAC.

Over the past 25 years, Vermont has intentionally applied emerging research in best practice to build a coordinated, aligned and comprehensive ECDPS. The CDD (formerly the Child Care Services Division), working with child care professionals, other state agencies and community partners has established a number of foundational elements, including:

- **Guiding Principles** that are designed to serve as a framework for developing, implementing and evaluating the system. (These are included and described in Attachment III);
- **Core Knowledge Areas and Competencies** that serve as a foundation for the system and the basis for professional standards;
- **Certificates and credentials** based on the Core Knowledge Areas and Competencies that support and verify professional growth along a logical progression;

An effective process of professional development focuses on the ongoing growth of all early childhood professionals, at all levels of expertise. A successful system allows professionals to incorporate new knowledge and skill through a coherent and systematic program of learning experiences that are grounded in theory and research, structured to promote linkages between theory and practice, and responsive to each learner’s background, experiences, and current role.”

• A **Career Ladder** developed based on the Core Competencies and the Vermont Department of Education Professional Standards topic areas for early childhood endorsement, intended to serve as a tool for the workforce to track and plan professional growth;

• **Quality assurance** mechanisms such as the NLCDC Instructor Registry and the emerging M.A.T.C.H. (Mentoring, Advising, Teaching, Coaching, Consulting, Helping) Registry;

• A secure, password protected online **professional registry** (also called a BFIS Quality-Credentialing Account) that allows individuals to document education, work experience, credentials, certificates, attendance at workshops and conferences, and professional development planning; and

• An **online state-wide calendar** of professional development opportunities.

The framework component of the system is described and defined by the Vermont Northern Lights Career Development Center (NLCDC). The NLCDC is currently housed within the Community College of Vermont under a grant agreement with the CDD. NLCDC is intended to unify and enhance the ECPDS by serving as a central repository of the elements of the system with a virtual gateway for communicating system information and related resources.

The primary delivery component of VT ECPDS is comprised of 12 regional Community Child Care Support Agencies (CCCSA) covering each of the Agency of Human Services (AHS) regions, each operated under a grant agreement with CDD. Through a specific function known as Resource Development, CCCSAs provide information, guidance, resources and professional development opportunities to child care providers within their respective catchment areas.

In 2005 CDD launched the Bright Futures Information System (BFIS), an integrated web-based child care information and data management system that coordinates and connects major functions of CDD work and provides the public, providers, state workers, and other stakeholders better access to information. One element of BFIS connects the components of VT ECPDS and tracks and organizes early childhood workforce data and professional development activity. The registries for individual professionals, for instructors and for M.A.T.C.H. consultants and the state-wide calendar mentioned above are operational in BFIS. In addition to providing a verified resume of completed professional development for professionals, BFIS is a source of rich administrative data to help characterize the early childhood workforce, inform systems-building and policies, monitor ECPDS outputs and system impacts, and inform planning, evaluation, quality assurance and accountability of the system. DCF and CDD staff maintain and manage all aspects of BFIS.

These are the three primary components of the VT ECPDS administered by the CDD and supported by CCDBG funds but the system overall is expansive and organic. It consists of early
childhood entities across sectors and incorporates many other resources, entities and organizations related to professional preparation and development of professionals working in early care and learning and afterschool settings.

With this application, CDD proposes to transform two essential components of the VT ECPDS administered by the Division, funded by CCDBG, that we hope and anticipate will be delivered by a coalition of agencies and community partners. Innovative changes in these components can drive transformative integration in the current, somewhat segmented, system design depicted above (from the 2011 JSI evaluation report). This effort is the culmination of a discussion that has been taking place in the Vermont early childhood community over a number of years and is intentionally driven by both what we know about our workforce in Vermont and the research on how to best move the field forward to support children and families. An inventory of relevant references is provided in Attachment IV. A well-coordinated continuum of affordable,

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effective, professional development opportunities that support a foundation in relevant core
topics as well as growth toward expanding knowledge and competence aligned with career
advancement, delivered locally with consistent quality and access, is the vision that drives this
forward momentum.

In addition to rationale discussed in the introductory letter to this application, two things have
influenced the decision to initiate change at this time. Vermont has recently adopted revised
child care licensing regulations that include new training requirements aligned with
requirements specified in the CCDBG Act of 2014. The new regulations also require
professionals working in regulated early care and learning settings to maintain active BFIS
Quality-Credentialing Accounts and are aligned with elements in the NLCDC. Elements and
activities in the transformed ECPDS are intended to support the workforce in meeting
requirements in the revised regulations. Vermont was awarded a multi-million-dollar federal
Race to the Top- Early Learning Challenge Grant (VT ELCG) in 2013. Now halfway through
implementation, the projects supported by that grant are coming to fruition. Given that
advancing “A Great Early Childhood Education Workforce” was one of five key areas of reform
prioritized by the grant, a number of the projects are related to moving the VT ECPDS forward.
Under VT ELCG, CDD engaged the Education Development Center, Inc. (EDC) to conduct a
survey of the Vermont early childhood and afterschool workforce. Information gained from the
resulting report and from a survey conducted by CDD in 2011 to gather data on professional
development needs in the Vermont early childhood and afterschool profession are relevant to
this application. These are included in the references identified in Attachment IV.

The system components and required elements, selection criteria and priorities described here
aim to establish a comprehensive approach that better coordinates, implements, and evaluates
high-quality professional development opportunities. There is a focus on meeting the identified
needs of the workforce for practice improvement and advancement while maintaining
consistency and parity across regions in Vermont in order to achieve the following desired
results:

- The skills, knowledge, competencies and qualifications of early childhood professionals in Vermont is increased and maintained.

- A dynamic, reflective method to identify needs of the workforce is employed so that the ongoing growth of all early childhood professionals, at all levels of expertise is supported.

- Vermont’s on-going professional development system allows professionals to incorporate new knowledge and skill through a coherent and systematic program of learning experiences that are grounded in theory and research, structured to promote
linkages between theory and practice, and responsive to each learner’s background, experiences, and current role.

- Vermont’s on-going professional development system is based on essential features of child development and early learning and on principles that guide support for high-quality professional practice with respect to individual professionals, leadership, systems, policies, and resource allocation.

- Professional development opportunities for Vermont early childhood professionals are consistent, coordinated, regionally accessible, affordable and known.

- Vermont’s early childhood and afterschool professionals have access to the supports and resources necessary to deliver high quality services.

## Section 2: System Components and Required Elements

### Component A: Northern Lights Career Development Center (NLCDC)

NLCDC is intended to unify and enhance the ECPDS by serving as a central repository of the elements of the system with a virtual gateway for communicating system information and related resources. The expectation is that NLCDC will retain its name and current critical assets and elements which are the owned by the State of Vermont. At a minimum, applicants for Component A must include a clear description of how the required elements described below will be maintained or improved in their proposed System Design and Implementation Plan. A successful application must include provisions for a smooth transition to the transformed system with NLCDC fully staffed and up and running under the management of the Sub-recipient grantee no later than March 1, 2017.

a. **System Messaging and Marketing** (including website)
   It is essential that the VT ECPDS is clear, known and promoted on an ongoing basis. This includes the maintenance of a robust and informative website and the use of other technological tools to promote elements of the ECPDS.
   (e.g. [http://northernlightscdc.org/](http://northernlightscdc.org/))

b. **Core Knowledge and Competencies**
   Vermont has established Core Knowledge and Competencies for Early Childhood professionals, Afterschool professionals, Program Directors, M.A.T.C.H. consultants and Instructors. These describe what professionals need to know and be able to do to support positive relationships, learning and development for children, to manage programs and to partner with families. This element is used by both system
components (NLCDC and RPDO) found at http://northernlightscdc.org/career-pathways/professional-competencies-and-standards/

c. Career Ladder
Vermont has established a career ladder that describes pathways in the development of individuals working in the field to advance and be recognized in the ECPDS. http://northernlightscdc.org/career-pathways/early-childhood-pathways/

d. Certification and Professional Credentialing
Vermont has established a Vermont Program Director Credential and an Early Childhood Family Mental Health Credential. An Infant Toddler Credential is in progress. These provide and promote available certification and credentialing options to support advancement along the Career Ladder. See http://northernlightscdc.org/career-pathways/credentials-and-certificates/

e. Verification of Qualifications and Professional Development recorded in BFIS Quality-Credentialing Accounts
The NLCDC establishes standards for verification of professional qualifications and professional development experiences. Verified training is documented and retained in individual BFIS Quality-Credentialing Accounts by NLCDC. See http://northernlightscdc.org/training/

f. Training Approval for Online Courses
The NLCDC establishes the process for review and approval of on-line training courses that meet standards based on research informed best practice. Information to approved on-line courses is made available on NLCDC website. See http://northernlightscdc.org/training/online-training-and-coursework/

g. Instructor Approval and Registry
The NLCDC establishes competencies for instructors, verifies that instructors included in the Vermont Instructor Registry meet established criteria and manages the registry. See http://northernlightscdc.org/your-role/adult-instructors/

h. M.A.T.C.H. Professional Approval and Registry
Vermont created M.A.T.C.H. (mentoring/advising/teaching/coaching/helping) as the collective designation for the group of professionals who provide individualized support to early childhood and afterschool professionals and programs in Vermont. Standards and processes for approving M.A.T.C.H. professionals as a critical element of the ECPDS and establishing a M.A.T.C.H registry are well underway. See http://northernlightscdc.org/your-role/match-consultants/

i. Professional Development Sponsor Registration and Management
Sponsors are agencies, entities or organizations that provide professional development opportunities as part of the VT ECPDS. Sponsors are vetted and monitored by NLCDC to ensure that established standards are met and that the
content offered relates to the Vermont Core Competencies. See http://northernlightscdc.org/your-role/sponsors-of-professional-development/

j. Support for Teacher Licensure
The NLCDC has established a process to assist professionals in obtaining a Vermont Early Childhood Educator’s License through the Vermont Agency of Education/ See http://northernlightscdc.org/career-pathways/college-and-university-pathways/early-educator-license-through-peer-review/

k. Professional Development Information in the BFIS Course Calendar
BFIS includes a state-wide online Course Calendar where professional development opportunities are compiled and available to the public. There is a process, managed by NLCDC, whereby approved Sponsors submit information to the Course Calendar that ensure that information submitted to the Calendar includes the all required details. See http://www.brightfutures.vermont.gov

Component B: Regional Professional Development Opportunities (RDPO)

Regional professional development opportunities have been provided through grants to community agencies as well as professional development partners who offer specialized training in content areas such as literacy, arts integration, etc. While regions in Vermont have been previously established, this application does not require maintaining organization by AHS regions or prescribe a minimum or maximum number of regions for local delivery of professional development opportunities. Minimally applicants for Component B must identify and define regions for local delivery and include a clear description of how the required elements described will be supported and available regionally in their proposed System Design and Implementation Plan. Include a rationale for how regions are defined in the proposal. A successful application must include provisions for a smooth transition to the transformed system with the RDPO component fully staffed and ready to offer at least some PD opportunities by March 2017 with appropriate notice to providers.

a. Statewide and Regional Training Calendar: a clearly communicated robust array of affordable, accessible on-going training and professional development opportunities, from an introductory level (orientation into the field) to in-depth and advanced levels, coordinated centrally and delivered regionally, that encompasses essential features including what is known about child development and early learning, shared knowledge and competencies for care and education professionals, and principles for effective professional learning. The array of RPDO may include coordinating or subcontracting with professional development providers to offer specialized training such as literacy, arts, child abuse prevention etc. (see priorities). Where specific sub-contracts are described, funds to support these activities should be clearly reflected in the budget.
e. Development and Implementation of Required Core Trainings: required, but not limited to:
   i. Orientation to Child Care (new - statewide curriculum to be developed)
   ii. Fundamentals for Early Childhood (statewide curriculum - 45-hour training)
   iii. Beyond the Fundamentals (statewide curriculum - 7 training modules)
   iv. Basic Specialized Care Training (statewide curriculum - 6 hours)
   v. Ongoing Approved Advanced Specialized Training (new – in coordination with CDD Children’s Integrated Services, Specialized Child Care Services)
   vi. Medication Administration Training (statewide curriculum already developed)
   vii. Trainings to meet federal requirements in revised child care licensing regulations (e.g., health and safety orientation, business practices, infant and toddler training – in coordination with CDD Licensing Unit staff)

f. Overseeing regionally coordinated M.A.T.C.H. activities

g. Promoting and maintaining strong connections with Institutions of Higher Education (IHE)

h. Career Advisement including supporting professionals in creating and implementing IPDPs.

i. Region Specific Outreach and Information aligned with NLCDC messaging including entry of RPDO in BFIS Course Calendar

j. Financial Supports including college tuition and training supports and assistance with fees for CDA, Peer Review, and Accreditation processes

k. Recruitment into the field of new professionals and programs

l. Welcoming new professionals and programs with information about opportunities for professional growth and quality improvement

m. Quality improvement and professional development support for all programs and professionals

n. Support for entry into and advancement in VT STARS

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3 Financial Incentives in the form of bonuses for achieving credentials and degrees, STARS levels and accreditation will continue to be administered by CDD
Section 3: Bright Futures Information System (BFIS)

BFIS is the information and data management system that comprises the third major component of the VT ECPDS administered by CDD. CDD and DCF are solely responsible for all elements in BFIS and for BFIS development, maintenance and management. Administrative data in BFIS is wholly owned by the State of Vermont represented by CDD and as such subject to the requirements, protections and processes of the Freedom of Information Act. BFIS data may not be accessed or shared by sub-grantees, except for the explicit purposes identified as necessary to manage the components of VT ECPDS in grant agreements.

All Lead/Coordinating Agencies, Co-applicant Agencies, Participating Agencies, and Partners are responsible to ensure that information is entered into BFIS in order to maintain a complete and valid administrative data set on workforce characteristics, qualifications and professional development opportunities. Applicants must articulate an acknowledgement of this responsibility and commitment to consistent and reliable data entry as part of a successful application.

Section 4: Definition of Terms

These definitions are provided for the specific and sole purpose of identifying a consistent interpretation of certain terms used in this application.

Access refers to how easy it is for any and all members of the workforce to participate in professional development opportunities and other elements of the VT ECPDS. Aspects of access include, but are not limited to, when, where and how opportunities are made available. Accessible professional development opportunities and pathways are designed with a variety of delivery options and are available to diverse populations and skill levels.

Affordability means that any fees charged to members of the workforce to participate in professional development opportunities and other elements of the VT ECPDS are reasonably priced and within the means of the professionals they are intended for, considering what is known about salary and wages.

Applicant refers to any agency or entity described as part of a proposed System Design and Implementation Plan for the VT ECPDS that will receive funding directly from the CDD through a federal sub-recipient grant agreement. (Also called Lead/Coordinating Agency or Co-Applicant Agency)

Co-Applicant Agency refers to an agency described as part of a proposed System Design and Implementation Plan for the VT ECPDS that will receive funding directly from the CDD through a sub-recipient grant. (Also called Applicant)

Component refers, in this application, to a fundamental and foundational part of the VT ECPDS with a specific function or role that is necessary to achieving the desired results. Three Components of CT
ECPDS, funded primarily by CCDF, administered by CDD and identified in this application are NLCDC, RPDO, and BFIS.

**Element** refers, in this application, to an essential part of one of the identified components of the VT ECPDS. Examples include the Career Ladder in the NLCDC and development and implementation of required core training in the RPDO.

**Fiscal Agent** refers, in this application to, a single agency or entity that assumes responsibility for the sub-recipient agreement with CDD and financial management for all or part of one or both of the two major components included in this application (NLCDC and/or RPDO). The Fiscal Agent will manage sub-recipient grants to additional Participating Agencies to fulfill the System Design and Implementation Plan proposed. Only Applicants can act as Fiscal Agents. Only one Fiscal Agent is permitted in any application.

**Governance**, in this application refers to how multiple components, elements and entities are managed to promote efficiency, excellence and equity. It includes protocols and processes that establish how power is exercised and shared, how customers are given voice, and how decisions are made on issues of mutual or general concern.⁴

**Individualized Professional Development Plan (IPDP)** means a record of professional capabilities and development goals and activities for one individual, typically set for one year and reviewed annually. All staff in regulated child care programs are required to have documented IPDP’s.

**Lead/Coordinating Agency/Applicant** refers to a single agency or entity that assumes responsibility for the coordinating role among Co-Applicants and Partners as part of a proposed System Design and Implementation Plan for the VT ECPDS. The Lead/Coordinating Applicant Agency will receive funding directly from the CDD through a federal sub-recipient grant and may also be the Fiscal Agent. The Lead/Coordinating Agency/Applicant Agency is not required to assume the role of fiscal agent. (Also called Applicant)

**M.A.T.C.H.** means that element of the NLCDC framework that includes relationship-based professional development opportunities, and the professionals who provide these, aligned with identified core competencies, including mentoring, advising, teaching, coaching, consulting, and helping.

**Participating Agencies** refers, in this application, to an agency named and described as part of a proposed System Design and Implementation Plan for the VT ECPDS that receives funding from a Fiscal Agent named in the application through a sub-recipient grant between the Fiscal Agent and the Participating Agency.

**Partners** refers, in this application, to entities and organizations that provide professional preparation and development opportunities for professionals working in the early childhood and afterschool system in Vermont who will not receive CCDF funding as part of this application. The Applicant may establish

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⁴ Adapted from *Early Childhood Governance*, the BUILD Initiative
relationships and agreements to integrate professional development opportunities offered by Partners into the System Design and RPDO they propose.

**Priorities**, in this application, means those attributes and characteristics of a successful application that are aligned with recommendations adopted by the CDD and most likely to produce desired results. These are described in Section 6 and included in the scoring rubric.

**Registry** is a generally accepted term in the early childhood field that describes the data system used to maintain information related to professional qualifications and development for individuals in the workforce. The Professional Development Registry supported by CDD for early childhood and afterschool professionals in Vermont is part of BFIS.

**Results** means a condition of well-being for children, adults, families or communities. In this application results generally refers to the well-being of professionals and the VT ECPDS as described in Section 1.

**Selection Criteria**, in this application, refers to critical evidence-based standards for the proposed VT ECPDS, described in Section 5 and applied in the Scoring Rubric to the proposed System Design and Implementation Plan.

**Sponsor**, in this application, refers to agencies, entities or organizations that provide professional development opportunities as part of the VT ECPDS.

**T.E.A.C.H. Early Childhood® VERMONT** refers to a cost-sharing scholarship model providing a comprehensive education and support network to increase the availability of accessible, affordable college education and workforce supports for professionals working in a variety of early education settings. [http://vaeyc.org/quality-improvement/teach/](http://vaeyc.org/quality-improvement/teach/)

**Vermont Afterschool, Inc.** means a public-private statewide partnership directed toward increasing the quality and availability of innovative learning opportunities that extend beyond the school day for all Vermont’s children and youth.

**Vermont Child Care Industry & Careers Council (VCCIC)** refers to the organization that oversees the development and implementation of the Vermont Child Care Apprenticeship Program which provides 4000 hours of on-the-job training and 297 hours of related credit bearing instruction to support entry level early childhood professionals to progress in knowledge, competence and qualification.

**Vermont Early Learning Standards (VELS)** refers to a comprehensive and holistic set of standards defining developmentally appropriate expectations in Vermont for children from infancy through grade 3.
Section 5: Selection Criteria

Applicants are expected to incorporate these concepts into their proposed system design and demonstrate them in their proposed implementation plans. Applications will be explicitly scored on how well and completely they address these specific values.

Integration
The system design must include and integrate elements and activities across:

- health, education and human services sectors;
- early childhood settings of all types;
- roles of professionals, all levels of professional expertise, experience and qualification; and
- the full age span of children served in early childhood (birth – age 8) with at least connections to afterschool services for older children.

Elements and activities must incorporate and align with child standards such as Vermont Early Learning Standards (VELS), health and safety standards in Vermont child care licensing and statutes, and social-emotional behavior intervention models such as the Center on the Social and Emotional Foundations for Early Learning (CSEFEL) model.

Coordination
The application must address concordant interaction among elements within components and among the major components of the VT ECPDS. Clear roles and responsibilities that advance positive collaborative relationships are critical for providing an optimal experience for professionals and for moving the ECPDS forward as it matures. It is expected that a successful applicant will describe how it will coordinate elements and activities:

- Among named Applicants, Co-applicants and Participating Agencies [MOU required]
- Among components of the identified system in or out of the application including NLCDC, RPDO, BFIS and IHE [MOU preferred]
- With Partners not included in this funding application [MOU preferred] (relevant State agencies, VCCIC, the VT TEACH program, Head Start grantees, Local Education Agencies School Districts and Supervisory Unions, Vermont Afterschool, Inc., and Starting Points Networks)
- With entities providing specialized professional development opportunities including but not limited to Vermont Center for the Book, Very Special Arts VT, Prevent Child Abuse Vermont (PCAV), the Stern Center for Literacy and the Vermont Community Loan Fund
- With Institutes of Higher Education (IHE)
- With professional membership associations such as VAEYC and VCCPA.
Evidence Informed Best Practice

The system design, implementation plan, strategies and activities described in a successful application will demonstrate reliance on the known scientific body of knowledge in the field - encompassing essential features of child development and early learning, shared knowledge and competencies for care and education professionals, and principles for effective professional learning. RPDO will address well rounded promotion of all aspects of child development: social, emotional, physical and cognitive. A successful application will model evidence-informed best practice by ensuring that all agency staff identified for professional roles in the proposed VT ECPDS are well qualified (e.g. possessing a BA in Early Childhood Education, Education, Human Development or a related field) and have relevant experience (e.g. 3 years or more) working directly with young children in an early care and learning environment.

Efficiency

A successful application will maximize the investment and impact of resources in direct activities and support for professionals in the workforce. Applicants must seek to demonstrate economies of scale and consider strategies that reduce redundancy and duplication of effort.

Access and Affordability

The application must provide an intentional, well planned and multi-faceted system of supports that addresses access issues for the workforce and provide RPDO, career counseling and other supports that are affordable, convenient in terms of scheduling and location, and appropriate to the range of abilities in the workforce to participate. The system design must allocate resources to provide consistency and parity across regions statewide. Successful applicants will reference data and reports (included in in appendices) to incorporate what we know of the workforce in Vermont. If Applicants plan to charge professionals for any opportunities or services described in the Implementation Plan, this must be clearly quantified in the application and the estimated income from fees must be included as income in the budget and invested in the ECPDS.

Quality Assurances

A successful application will incorporate an intentional system of quality controls to assure fidelity to common practice across RPDO, provide excellent customer service, and deliver engaging, high quality learning experiences resulting in improved practice for professionals in the workforce.

Accountability

The application must identify how the proposed system design, elements and activities will achieve desired results (identified in Section 1, pages 8-9) and how progress and success will be measured, including:

- What indicators will be tracked to assess the quantity, quality and impact of the system and services described?
• How will data be captured or collected?
• How will improved practice and positive impacts on children’s development and family strengths be assessed?

A successful application will incorporate a third party evaluation of all components, elements and activities across the system. The proposed implementation plan must include delivery of an evaluation report to the CDD no later than July 1, 2019.

Section 6: Priorities

1. The application is complete and appropriately address the results, requirements and criteria described above.
2. The proposed system design, allocation of resources and activities described in the application are responsive to the documented characteristics and needs of the regional workforce.
3. The application demonstrates and verifies coordination and collaboration with a full range of partners in the VT ECPDS.
4. The proposed system design and implementation plan in the application indicate an alignment with Vermont’s statewide systems and other quality investments including, but not limited to: regional career and technical education centers; the Vermont Child Care Apprenticeship Program; VELS and VT STARS.
5. The proposed NLCDC and RDPO in the application are strongly connected to IHE serving professionals in the Vermont workforce. Additional priority points are awarded to applications where an IHE is an Applicant or Participating Agency.
6. The proposed system design and implementation plan in the application promote professionals earning certificates, credentials, and degrees through access to CEUs and/or credit bearing course work.
7. The proposed system design, implementation plan and budget in the application demonstrate that the applicant(s) are able to leverage additional resources to support activities and professionals in VT ECPDS.
8. The proposed system design and implementation plan in the application reflects clear alignment with and commitment to the desired results identified in the introduction and demonstrates the capacity to contribute to their achievement.
9. The proposed system design in the application incorporates a clear governance structure that includes and verifies advisement by the Building Bright Futures (BBF) Statewide Advisory Committee and BBF Regional Councils Network and the BBF Professional Preparation and Development Sub-Committee.
Section 7: Application Process and Instructions

Applicants are invited to respond to this application to transform the VT ECPDS. Funding for the work is drawn from current CCDF funding for NLCDC and the Resource Development aspect of Community Child Care Support Agency (CCCSA) work, which align with two of three primary components described in this application, as well as a modest scholarship program for professionals and a number of small grants CDD currently makes to entities providing specialized professional development opportunities. It is expected that most of these current elements/activities will be included in a proposed system design and implementation plans that fully address the required elements described in Section 2 above.

The third primary component, BFIS, will continue to be directly owned and maintained by CDD and is not part of this process, except that applicants must agree to utilize BFIS as the data and information component of the VT ECPDS. CDD will continue to be responsible to award bonuses for professional achievement and program quality benchmarks. CDD will also assume responsibility for all aspects of compliance with child care licensing regulations including pre-registration visits to Registered and Licensed Family Child Care Homes which have previously been included as part of Welcome to Child Care visits by CCCSA staff.

Applicants may choose to apply to administer
- Component A: Northern Lights Career Development Center (NLCDC) only; OR
- Component B: Regional Professional Development Opportunities (RDPO) only; OR
- Both Components A and B – in the interests of a fully coordinated, aligned and efficient system, this is the preferred option but this is not addressed as a scored priority.

Applications must be very clear as to which components they address and how. Components will be scored separately using the same criteria and scoring rubric.

1. General Instructions
   - Applications must use the online format provided and follow application instructions. CDD reserves the right to reject applications that do not conform to the format provided, are incomplete, or are not responsive to required components and elements as described in this document.
   - Proposed System Design and Implementation Plans must address all required elements described in Section 2.
   - CDD/DCF will not pay any applicant costs associated with developing, preparing or presenting any proposal or application.
   - If CDD receives one or fewer responsive applications as a result of this competition, CDD reserves the right to select the Grantee which best meets CDD’s needs. In that case,
the Grantee will be selected by CDD management. The Grantee selected need not be the sole applicant and will be required to document their ability to meet the requirements identified in this application.

- CDD reserves the right, at its own discretion, to obtain clarification or additional information necessary to properly evaluate a proposal/application or any part thereof. Failure of the applicant to respond to a request for additional information or clarification could result in rejection of that proposal/application.
- Please read the full Application for Initial Funding: VT ECPDS carefully. If Applicants do not conform to any part of this application and online format, CDD may, at its sole option, reject a proposed application as non-responsive to required components and elements or incomplete. CDD reserves the right to waive minor irregularities contained in any proposed application.
- CDD reserves the right to amend this application. Amendments will be posted online at http://dcf.vermont.gov/cdd/ecpds-transformation.

2. Grant Period and Funding Limits

<table>
<thead>
<tr>
<th>Component</th>
<th>Proposed budget may not exceed:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A: NLCDC</td>
<td>$400,000 annual</td>
</tr>
<tr>
<td>B: RDPO</td>
<td>$1,040,000 annual</td>
</tr>
<tr>
<td>A &amp; B</td>
<td>$1,440,000 annual</td>
</tr>
</tbody>
</table>

- All of the funds for this opportunity come from Vermont’s CCDF Block Grant - the agreement negotiated with the successful bidder will be considered a Sub-recipient Grant under Vermont Agency of Administration Bulletin 5.
- The anticipated grant period for this initial award is January 2017 – December 2019 (3 years). There is the potential to extend initial awards at available funding for three additional years after December 31, 2019 provided that funding is available and system and vendors are meeting identified performance expectations.
- For applicants applying to administer both Components A and B, the relative distribution of funding for each component must conform to the funding limits described above. It is acknowledged that in an application for both Components, some funding may address both simultaneously.
- Applications that include budgets that request CCDF funds that exceed limits described above will be rejected.

3. Timeline

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Release of Application</td>
<td>July 7, 2016</td>
</tr>
<tr>
<td>Informational webinar</td>
<td>July 15, 2016</td>
</tr>
<tr>
<td></td>
<td>10:00 – 11:30 AM</td>
</tr>
</tbody>
</table>
Final deadline to submit questions to CDD about the application | August 19, 2016 by 4:00 PM
---|---
Responses to the questions posted on the Child Development Division website by | COB, September 2, 2016
Application due date and time | October 3, 2016 by 4:00 PM
Date of Award Notification | No later than October 28, 2016
Anticipated Start Date for Sub-recipient Grant | January 1, 2017
Implementation of NLCDC and RPDO | No later than March 1, 2017

- Applications received after 4 PM on October 3, 2016 will not be considered for funding.
- Consistent with state law, CDD will not disclose information about the competition or results until the federal Sub-Recipient Grant(s) have been executed. At that time, information about the competitive procurement, included submitted applications, is subject to disclosure through a public records request.
- Once notification of awards is final, applicants may request a face-to-face interview with CDD staff to discuss decisions about their applications

4. Submission
   - Electronic applications are available online at [http://DCF.VERMONT.GOV/CDD/ECPDS-TRANSFORMATION](http://DCF.VERMONT.GOV/CDD/ECPDS-TRANSFORMATION).
   - Please create only one online application per proposal. To enable more than one writer in a shared application, all writers must use the same link emailed as a result of a request for an application. Each link is unique and will return applicants to the same in-process application until it is complete and submitted.
   - Applicants can save their form, and the information entered, by clicking the “next” button at the end of each electronic page.
   - All proposals must be submitted electronically using this online application form. Applications must be submitted electronically no later than 4:00 PM EST on October 3, 2016. Submissions received after 4:00 PM EST, October 3, 2016 will not be considered for funding.
   - All files uploaded for the application must be 10 MB or smaller. If you experience difficulties accessing or utilizing this online application, please email Tim Gariboldi (tim.gariboldi@vermont.gov) during work hours between 8 AM and 4 PM Monday - Friday.
• Do not hit the “submit” button until the entire proposal is entered into the online application and the application is complete. Applicants will not be able to add any information to a submitted application.
• Only an individual who is authorized to bind the Lead/Coordinating Agency/Applicant to a contract may submit the application by clicking on the “submit” button once the proposal/application is complete.

5. Information for Applicants
• Informational Webinar: An informational webinar to provide an overview and review results, requirements, selection criteria and priorities will be held on July 15, 2016 from 10:00 AM – 12:00 Noon. All potential applicants and interested parties who want to participate must register here: https://attendee.gototraining.com/r/2660069747583554817.
• Questions for the webinar may be submitted to Tim Gariboldi (tim.gariboldi@vermont.gov) in writing by 4 PM on July 12, 2016 or in the webinar chat box during the webinar.
• Additional questions about the application requirements or process must be submitted in writing no later than 4:00 PM on August 19th, 2016 through the survey link on this page: http://dcf.vermont.gov/cdd/ecpds-transformation
• Answers will be posted regularly as questions come in. All final responses will be posted online by close of business September 2, 2016
• Please be advised that all information, notifications, response to questions, and any amendments associated with this application will be posted at: http://dcf.vermont.gov/cdd/ecpds-transformation. The State will make no attempt to contact potential applicants with updated information. It is the responsibility of all interested parties and applicants to periodically check http://dcf.vermont.gov/cdd/ecpds-transformation for any and all information, notifications, response to questions, and amendments associated with this application.

6. Primary point of contact at CDD – all questions and inquiries MUST be directed here:

<table>
<thead>
<tr>
<th>Contact</th>
<th>Tim Gariboldi</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephone</td>
<td>(802) 241-0828</td>
</tr>
<tr>
<td>E-mail</td>
<td><a href="mailto:Tim.Gariboldi@vermont.gov">Tim.Gariboldi@vermont.gov</a></td>
</tr>
</tbody>
</table>

7. Review of Applications:
All applications will be evaluated by a Review Team of knowledgeable individuals with relevant expertise. The Review Team will evaluate the applications using the Scoring Rubric provided in Section 10. CDD reserves the right to request an interview of applicants to ask clarifying questions and/or negotiate specific deliverables and funding requests if necessary. The Review Team will look for alignment and correspondence throughout each application –
System Design, Implementation Plan, Accountability Plan and Budget must reference each other and correspond appropriately.

Section 8: Federal Sub-Recipient Responsibilities

All of the funds for this opportunity come from Vermont’s CCDF Block Grant - the agreement negotiated with the successful bidder will be considered a Sub-Recipient Grant under Vermont Agency of Administration Bulletin 5.

Sub-Recipient Grantee Responsibilities (from Bulletin 5)
A grantee:

- is responsible for performing the services or activities described in the grant agreement and meeting all performance measures within the timeframe designated by the award. It must ensure that when performing those services or activities, it complies with all of the requirements of the grant agreement.
- should have a system for managing the grant activities and must be able to demonstrate that the funds were spent on allowable activities and in accordance with grant requirements.
- will produce programmatic and financial reports as required by the grant agreement and provide supporting documentation if required.
- must ensure that it complies with all terms and conditions of the grant agreement, including any public policy requirements. Those requirements may include state or federal requirements and may also include additional requirements imposed by the grantor. To ensure compliance, the grantee should establish and maintain internal policies and properly train its staff.

Additional Responsibilities for Sub-Recipients:
- A sub recipient must ensure that it complies with all Federal programmatic and financial requirements that are passed down from the grant agreement between the Federal awarding agency and the pass-through entity.
- DUNS: At the time of grant execution, sub recipients must provide the pass-through entity with a valid D-U-N-S number. The D-U-N-S Number is a unique nine-digit identification number assigned and maintained solely by Dun & Bradstreet (D&B). D-U-N-S Number assignment is free for all businesses required to register with the US Federal government for contracts or grants. Created in 1962, the Data Universal Numbering System or D-U-N-S® Number is D&B’s copyrighted, proprietary means of identifying business entities. Registration can be requested at: http://fedgov.dnb.com/webform/displayHomePage.do.
• Internal Controls: Sub recipients will establish and maintain effective internal control over Federal awards that provides reasonable assurance that they are managing them in compliance with Federal statutes, regulations, and the terms and conditions. These internal controls should be in compliance with the guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

• Sub granting: Sub recipients may pass through funds they receive to their own sub recipients only with prior written approval of the pass-through entity. They must advise their sub recipients of requirements imposed on them by federal laws, regulations, and the provisions of contracts or grant agreements as well as any supplemental requirements imposed by the pass-through entity. They must also set up a plan for monitoring those sub recipients’ use of the funds in accordance with Subpart F of the Uniform Guidance.

All successful Applicants are expected to comply with ATTACHMENT C: STANDARD STATE PROVISIONS for Contracts and Grants which will be included in the final grant agreement – these provisions are non-negotiable. (See Attachment VI)

Any successful Applicant will be subject to a Vermont mandated Risk Based Assessment prior to negotiating a final grant agreement (see Attachment VII)

Section 9: Application Requirements

I. Applicant and Participating Agencies information
Include information on the applicant’s experience managing a project of this size and complexity. Name and identify roles of Lead/Coordinating Agency/Applicant, Co-Applicants and Participating Agencies. Co-Applicants and Fiscal Agents must document strong financial management capacity. Include evidence of the applicants’ collective familiarity with Vermont’s current ECPDS. Applicants identified as Fiscal Agents must document their capacity and experience managing sub-recipient grants.

II. System Design:
Must include:

- Clear description/visual depiction of proposed transformed VT ECPDS including components and the relationships and connections between these
- Clear description of how the design addresses Selection Criteria in Section 5 both statewide and regionally
• Clear staffing plan that matches personnel expenditures in the budget – include job descriptions and resumes of staff committed to the project (documenting qualifications and experience) by up-loading documents into the online application
• Memorandum of Understanding (MOU) signed by Lead/Coordinating Agency and all Participating Agencies whether or not these are Co-applicants. MOU must include specific roles, responsibilities and resources (funding) for Lead/Coordinating Agency and each Participating Agency.
• Governance plan that includes how participants are advised by professionals in the field and other stakeholders, how they communicate internally and externally, how decisions are made and differences resolved.

III. Implementation Plan
Must include:
• Clear and specific strategies and activities addressing all required elements of each component (A or B or both) applied for with specific timelines for implementation in Y1, Y2, Y3.
• Assurances that system is staffed and ready to offer at least some PD opportunities by March 2017 with appropriate notice to providers
• Details regarding who, what, when, where and how for all identified strategies and activities related to relevant components
• Provisions for transition from current to new system for all participants

IV. Accountability
Must include:
• Clear description of the indicators and data that will demonstrate measurable progress on desired results
• Proposed performance measures that will demonstrate successful implementation of the proposed system and activities
• Detailed plan of how Lead/Coordinating Agency will monitor quality of services relevant to best practice and customer satisfaction and operate an effective continuous quality improvement process across system components
• 3rd party evaluation must be included in implementation plan and budget with a report due to CDD by July 2019

V. Budget
A thorough, clear and detailed budget and budget narrative must be included on the Budget spreadsheets provided at http://dcf.vermont.gov/cdd/ecpds-transformation. Completed spreadsheets must be uploaded into the Part V of the online application.
• Budgets must include resources for all required elements for the components addressed in the application and correspond to the System Design, Implementation Plan and Accountability Plan as described.

• Proposed expenses must be directly related to implementation of relevant Components of VT ECPDS, and shall be realistic, reasonable, accurate, cost-efficient and adequately explained.

• The proposed budget should demonstrate how it maximizes the amount of the investment that directly impacts professionals in the workforce and must justify the distribution of resources across regions to create parity.

• Any income or in-kind resources described in the application must be included in the overall budget and must be justifiable, clearly explained and accounted for.

• If the fees are to be charged to EC or AS professionals for any opportunities or services described in the Implementation Plan, this must be clearly quantified. The cost must be justified in terms of affordability for professionals and some value added in the system design. The estimated income from fees must be included as income in the budget and invested as a resource in the ECPDS.

• The proposed budget must clearly state the amount of CCDF funding requested from the State. This may not exceed budget limitations identified in Section 7.

• Sub-Recipient Grants require a 10% cap on overhead/administrative costs unless proof of a federally negotiated rate is included – this should be applied to the budget for any Applicant in this application.

VI. Priorities Checklist
Attributes and characteristics of a successful application that are aligned with recommendations adopted by the CDD and most likely to produce desired results are described in Section 6. With the exception of a complete application, fully incorporating priorities is optional for Applicants but addressing priorities well may impact the outcome of the competition. The Review Team will award 0-3 points in accord with the strength of each of the priorities that are evidenced in some or all parts of each proposal/application. In the checklist Applicants are asked to self-identify which of the identified priorities are addressed in their proposal/application.

VII. Applicant’s Acknowledgement and Signature
## Section 10: Scoring Rubric

<table>
<thead>
<tr>
<th>Scoring Categories and Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Information about the Lead /Coordinating Agency, Co-Applicant Agencies and Participating Agencies including Capacity and Experience</strong></td>
<td>30</td>
</tr>
<tr>
<td>Clear description of all entities participating in the application with complete required information for each entity. Knowledge of VT ECPDS. Recent relevant experience related to VT ECPDS. Lead/Coordinating Agency experience in managing a grant of this size and scope. Lead/Coordinating Agency experience working with government grants and collaborating with the State and other partners. Fiscal Agents must document capacity to award and monitor sub-recipient grants to Participating Agencies.</td>
<td></td>
</tr>
<tr>
<td><strong>2. System Design including Components, Required Elements and Connections to other Partners in the VT ECPDS</strong></td>
<td>45</td>
</tr>
<tr>
<td>Overall quality of proposed design</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Integration</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Coordination</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Evidence Informed Best Practice</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Efficiency</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Access and Affordability</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Consistency and Parity across regions</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Quality Assurances</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Accountability</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td><strong>3. Implementation Plan including Strategies, Activities and Timeline</strong></td>
<td>45</td>
</tr>
<tr>
<td>Overall quality and feasibility of proposed Implementation Plan</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Integration</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Coordination</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Evidence Informed Best Practice</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Efficiency</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Access and Affordability</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Consistency and Parity across regions</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Quality Assurances</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td>Accountability</td>
<td>0 – 5 pts</td>
</tr>
<tr>
<td><strong>4. Identified Priorities</strong></td>
<td>30</td>
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<tr>
<td>Completeness and appropriateness of application</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Responsiveness to the documented characteristics and needs of the regional workforce</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Coordination/Collaboration with other Partners in the VT ECPDS</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Alignment with VT statewide systems and quality investments</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Connected to Institutes of Higher Education</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Institute of Higher Education is an Applicant or Participating Agency</td>
<td>0 or 3 pts</td>
</tr>
<tr>
<td>Professionals earn certificates, credentials, and degrees through access to credit bearing course work</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Extent to which the plan leverages additional resources to support activities and professionals in VT ECPDS</td>
<td>0 -3 pts</td>
</tr>
<tr>
<td>Extent to which system design and implementation plan are likely to achieve desired results for professionals, children, and families</td>
<td>0 - 3 pts</td>
</tr>
<tr>
<td>Governance structure includes and verifies advisement by the Building Bright Futures (BBF) Statewide Advisory Committee and BBF Regional Councils Network and the BBF Professional Preparation and Development Sub-Committee</td>
<td>0 - 3 pts</td>
</tr>
<tr>
<td>5. Proposed Budget</td>
<td>30</td>
</tr>
<tr>
<td>The proposed budget and budget narrative are thorough, clear and detailed. These reflect all required elements for the components in this application and correspond to the System Design, Implementation Plan and Accountability Plan described in this application.</td>
<td>0 - 10 pts</td>
</tr>
<tr>
<td>The proposed budget presents expenses that are be directly related to implementation of relevant Components of VT ECPDS, realistic, reasonable, accurate, cost-efficient and adequately explained. The proposed budget maximizes the amount of the investment that directly impacts professionals in the workforce and justifies the distribution of resources across regions to create parity.</td>
<td>0 - 10 pts</td>
</tr>
<tr>
<td>Any income or in-kind resources described in the application are included in the overall budget and are justifiable, clearly explained and accounted for. The amount of CCDF funding requested from the State is clear and does not exceed budget limitations in Section 7.</td>
<td>0 - 10 pts</td>
</tr>
</tbody>
</table>
Section 11: Attachments

Attachment I

Recommendations of the Ad Hoc Transformation Envisioning Work Group

In February, 2016, Vermont invited a group of stakeholders to come to a series of 4 meetings to create recommendations to the Child Development Division in making changes to the Vermont Early Childhood Professional Development System.

The invitation stated:

As part of the 2016 Child Care and Development Fund (CCDF) State Plan for Vermont, the Child Development Division (CDD) in the Department for Children and Families (DCF) is embarking on a process to transform the delivery system of workforce development for early childhood and afterschool professionals in Vermont. As part of the process, CDD will convene an ad hoc workgroup to examine research into best practice and make recommendations regarding essential and desired elements of an effective delivery system in Vermont. You are invited to send one representative from your organization to participate in this process. Ideally, the representative will be a current family child care provider who knows and uses the Vermont professional development system. Please note that participants must commit to attending all meetings – consistency is critical and we are on a tight time frame to complete this work.

Invited participants/stakeholders included:

- Jen Knauer, who facilitated this process with Jan Walker, CDD Director of Statewide Systems
- Stakeholder representatives from:
  - Vermont Association of Resource and Referral Agencies (VACCRRA) (2 representatives)
  - Direct service professionals (2-3 representatives)
- One representative from each of the following:
  - Northern Lights Career Development Center
  - Building Bright Futures Professional Preparation and Development Committee
  - Vermont Birth to Five
  - Vermont Association for the Education of Young Children (VAEYC)
  - CDD Statewide Systems Unit
  - CDD Children’s Integrated Services Unit
Final recommendations from this group process (submitted to the CDD on May 4, 2016) are:

Transforming the Vermont Early Childhood Workforce Development System: Desired Elements/Characteristics (April 2016)

As part of the 2016 Child Care and Development Fund (CCDF) State Plan for Vermont, the Child Development Division (CDD) in the Department for Children and Families (DCF) is embarking on a process to transform the delivery system of workforce development for early childhood and afterschool professionals in Vermont.

CDD convened an ad-hoc workgroup to examine research into best practice and make recommendations regarding of essential and desired elements of an effective delivery system in Vermont. The workgroup met four times in March and April 2016, and intentionally took into account the following research: “Recommendations for Collaborative Systems Change” (Chapter 12 of Transforming the Workforce Birth through Age 8 – A Unifying Foundation, released by the National Institutes of Health); the 2012 evaluation of Vermont’s Early Childhood Professional Development System conducted by JSI Research and Training Institute, Inc; and emerging hypotheses from Susan Titterton’s current inquiry process of the early childhood system.

The ad-hoc workgroup offers the following recommendations to CDD to inform the division’s next steps in transforming the PD system and infrastructure.

There are two products listed here:
- Desired Elements/Characteristics of New Workforce PD System (see pg 1)
- Supports/future work that would be useful to the field in order to create good proposals (see pg 4)

**Desired Elements/Characteristics of New Workforce PD System**

1. **Demonstrates Accountability**
   a. Upholds clear decision-making process that is transparent
   b. Aligns funding with PD priorities

2. **Initiates robust, on-going Evaluation**
a. Engages multiple sectors in evaluating the overall PD system
b. Includes clear outcome and strategies for meeting outcomes
c. Integrates new trends grounded in best practice for healthy childhood and learning
d. Promotes collaboration and avoids duplication

3. **Employs a dynamic/reflective method to identify the needs of the workforce in order to support professionals and programs in meeting best practices**

4. **Ensures Multiple, Accessible Delivery Models of Professional Development**
   a. Maintains accessibility that is: statewide, responsive to the needs of providers and field, affordable, geographically equitable, coordinated across regions.
   b. Provides intentional, scaffolded PD experiences that support providers at all levels and facilitates advancement
   c. Includes mentoring to ensure application of new learning (examples: MATCH, “PD Sandwich” -see Fig. A, Create a core and elective framework, see Fig. B)

**FIGURE A. “PD Sandwich”**

```
MENTORING

Prof. Dev. Experience

MENTORING
```

**FIGURE B. Balancing Act: What drives content of PD Trainings?**

<table>
<thead>
<tr>
<th>Standards</th>
<th>Core Knowledge Areas (“Have to's”)</th>
<th>Emerging/Indy. needs Electives – (“Choice”)</th>
</tr>
</thead>
<tbody>
<tr>
<td>IPDP</td>
<td>PD Sandwich</td>
<td></td>
</tr>
</tbody>
</table>

5. **Articulates how the systems would differentiate between local and centralized functions** (see Fig. C as an example)
6. **Utilizes Data**
   a. Designed to integrate with BFIS (current capacity and potential)
   b. Collects information and uses data to inform system (both content and structure)

7. **Recognizes, communicates and is informed by other PD systems and standards.**
**Attachment II**  
**Vermont Workforce Data**

**Number of Regulated Child Care Programs in Vermont as of 5/31/2016**

<table>
<thead>
<tr>
<th>County</th>
<th>Licensed - Early Childhood</th>
<th>Licensed - Family Child Care</th>
<th>Licensed - Non-Recurring</th>
<th>Licensed - School Age</th>
<th>Registered</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Addison</td>
<td>30</td>
<td>3</td>
<td>12</td>
<td>45</td>
<td></td>
<td>90</td>
</tr>
<tr>
<td>Bennington</td>
<td>31</td>
<td>2</td>
<td>1</td>
<td>7</td>
<td>49</td>
<td>90</td>
</tr>
<tr>
<td>Caledonia</td>
<td>31</td>
<td>1</td>
<td>1</td>
<td>49</td>
<td></td>
<td>82</td>
</tr>
<tr>
<td>Chittenden</td>
<td>124</td>
<td>4</td>
<td>1</td>
<td>40</td>
<td>132</td>
<td>301</td>
</tr>
<tr>
<td>Essex</td>
<td>5</td>
<td></td>
<td></td>
<td>7</td>
<td></td>
<td>12</td>
</tr>
<tr>
<td>Franklin</td>
<td>31</td>
<td></td>
<td></td>
<td>126</td>
<td></td>
<td>161</td>
</tr>
<tr>
<td>Grand Isle</td>
<td>7</td>
<td></td>
<td></td>
<td>10</td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>Lamoille</td>
<td>24</td>
<td>4</td>
<td>6</td>
<td>31</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td>Orange</td>
<td>24</td>
<td>1</td>
<td></td>
<td>10</td>
<td>25</td>
<td>60</td>
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<tr>
<td>Orleans</td>
<td>19</td>
<td></td>
<td></td>
<td>3</td>
<td>52</td>
<td>75</td>
</tr>
<tr>
<td>Rutland</td>
<td>47</td>
<td>3</td>
<td>2</td>
<td>22</td>
<td>76</td>
<td>150</td>
</tr>
<tr>
<td>Washington</td>
<td>50</td>
<td>3</td>
<td>2</td>
<td>14</td>
<td>84</td>
<td>153</td>
</tr>
<tr>
<td>Windham</td>
<td>40</td>
<td>3</td>
<td>3</td>
<td>10</td>
<td>27</td>
<td>83</td>
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<tr>
<td>Windsor</td>
<td>43</td>
<td></td>
<td></td>
<td>19</td>
<td>48</td>
<td>112</td>
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<tr>
<td>Grand Total</td>
<td>506</td>
<td>20</td>
<td>16</td>
<td>149</td>
<td>761</td>
<td>1452</td>
</tr>
</tbody>
</table>

*Data extracted from Bright Futures Information System (BFIS) Provider Extract and represents the number of regulated child care programs approved to operate in Vermont as of 5/31/2016. Additional detail on programs can be found at [http://brightfutures.vermont.gov](http://brightfutures.vermont.gov) and provider data can be found at [http://vermontinsights.org](http://vermontinsights.org)*
<table>
<thead>
<tr>
<th>County</th>
<th>Licensed - Early Childhood</th>
<th>Licensed - Family Child Care</th>
<th>Licensed - Non-Recurring</th>
<th>Licensed - School Age</th>
<th>Registered</th>
<th>(blank)</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
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<td>36</td>
<td>63</td>
<td>1</td>
<td></td>
<td>276</td>
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<tr>
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<td>250</td>
<td>6</td>
<td>9</td>
<td>23</td>
<td>61</td>
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<td>3</td>
<td></td>
<td>65</td>
<td></td>
<td></td>
<td>230</td>
</tr>
<tr>
<td>Chittenden</td>
<td>987</td>
<td>11</td>
<td>3</td>
<td>207</td>
<td>171</td>
<td></td>
<td>1379</td>
</tr>
<tr>
<td>Essex</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
<td>8</td>
<td>1</td>
<td>31</td>
</tr>
<tr>
<td>Franklin</td>
<td>144</td>
<td></td>
<td></td>
<td></td>
<td>10</td>
<td>155</td>
<td>310</td>
</tr>
<tr>
<td>Grand Isle</td>
<td>33</td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>11</td>
<td>47</td>
</tr>
<tr>
<td>Lamoille</td>
<td>170</td>
<td></td>
<td>34</td>
<td>27</td>
<td>43</td>
<td></td>
<td>274</td>
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<tr>
<td>Orange</td>
<td>99</td>
<td>5</td>
<td></td>
<td>34</td>
<td>33</td>
<td></td>
<td>171</td>
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<tr>
<td>Orleans</td>
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<td></td>
<td></td>
<td></td>
<td>4</td>
<td>72</td>
<td>181</td>
</tr>
<tr>
<td>Rutland</td>
<td>240</td>
<td>7</td>
<td>8</td>
<td>118</td>
<td>89</td>
<td></td>
<td>462</td>
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<tr>
<td>Washington</td>
<td>262</td>
<td>5</td>
<td>17</td>
<td>38</td>
<td>105</td>
<td>2</td>
<td>429</td>
</tr>
<tr>
<td>Windham</td>
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<td>8</td>
<td>27</td>
<td>17</td>
<td>38</td>
<td>1</td>
<td>304</td>
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<tr>
<td>Windsor</td>
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<td>6</td>
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<td>58</td>
<td>66</td>
<td></td>
<td>387</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grand Total</td>
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<td>55</td>
<td>104</td>
<td>575</td>
<td>980</td>
<td>7</td>
<td>4831</td>
</tr>
</tbody>
</table>

*Data extracted from Bright Futures Information System (BFIS) Quality Credential Education Extract and represents the number of individuals working in regulated child care programs 5/31/2016.*
<table>
<thead>
<tr>
<th>Type of Training Hours</th>
<th>Number of individuals with data verified in BFIS (duplicated count)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class Hours</td>
<td>24641</td>
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<tr>
<td>Credit Hours</td>
<td>250</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>24891</strong></td>
</tr>
</tbody>
</table>

* Data extracted from Bright Futures Information System (BFIS) Quality Credential Hours Extract and represents the number of individuals (duplicate count) who have had a training verified in Bright Futures Information System that was completed in 2015.
Vermont’s Professional Development System for early childhood and afterschool professionals is:

1. Clear and Known: Practitioners know there is a professional development system that is available to them.

2. Supportive of Professional Growth: Learning opportunities build upon knowledge and skills in a systematic and meaningful way. Professionals who attain enhanced knowledge and skills are recognized and compensated for their achievements along their professional career pathways.

3. Research-based and Relevant: Useful professional development content and instructional practices are based on recognized and effective standards that support best practices.

4. Integrated and Aligned: Professional development is articulated so that it is recognized and meaningful across different systems and work settings.

5. Accessible: Professional development opportunities and pathways are designed with a variety of delivery options and are available to diverse populations and skill levels.

6. Financially supported: Sufficient and dependable funding, both public and private, is available to support quality professional development that reflects these principles and related practices.

7. Evaluated on all of the above criteria: These principles are used to evaluate professional development activities and the system as a whole in order to ensure an increasingly proficient workforce.
Attachment IV

References


Northern Lights Career Development Center, http://northernlightscdc.org/

Transforming the Workforce for Children Birth through Age 8: A Unifying Foundation © 2015, The National Academies Press, 500 Fifth Street, NW, Washington, DC 20001. http://www.nap.edu/read/19401/chapter/1#ii

Vermont Child Development Division Resources for Child Care Providers, http://dcf.vermont.gov/cdd/professional-development

Vermont Child Development Division early childhood, family child care and afterschool regulations at http://dcf.vermont.gov/cdd/lawsregs


Vermont’s Early Childhood & Afterschool Workforce: Findings from the Vermont Early Childhood & Afterschool Workforce Surveys (December 2015); Vermont Child Development Division; http://dcf.vermont.gov/cdd/reports


Attachment V
Acronyms

AHS: Agency of Human Services
BFIS: Bright Futures Information System
CCDBG: Child Care Development Block Grant (also referred to as CCDF: Child Care and Development Fund)
CCCSA: Community Child Care Support Agencies
CDA: Child Development Associates Credential
CDD: Child Development Division (also referred to as the Division)
IHE: Institutions of Higher Education
IPDP: Individualized Professional Development Plan
NAEYC: National Association for the Education of Young Children
NAFCC: National Association of Family Child Care
NLCDC: Northern Lights Career Development Center
RPDO: Regional Professional Development Opportunities
VACCRRA: Vermont Association of Child Care Resource and Referral Agencies
VAEYC: Vermont Association for the Education of Young Children
VCCPA: Vermont Child Care Providers Association

VCCICC: Vermont Child Care Industry & Careers Council
VELS: Vermont Early Learning Standards

VT ECPDS: Vermont Early Childhood Professional Development System
VT STARS: Vermont Step Ahead Recognition System (also referred to as STARS)
VT ELCG: Vermont’s Race to the Top - Early Learning Challenge Grant
Attachment VI
Attachment C: Standard State Provisions for Sub-recipient Grants

ATTACHMENT C: STANDARD STATE PROVISIONS
FOR CONTRACTS AND GRANTS

1. **Entire Agreement:** This Agreement, whether in the form of a Contract, State Funded Grant, or Federally Funded Grant, represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.

2. **Applicable Law:** This Agreement will be governed by the laws of the State of Vermont.

3. **Definitions:** For purposes of this Attachment, “Party” shall mean the Contractor, Grantee or Subrecipient, with whom the State of Vermont is executing this Agreement and consistent with the form of the Agreement.

4. ** Appropriations:** If this Agreement extends into more than one fiscal year of the State (July 1 to June 30), and if appropriations are insufficient to support this Agreement, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority. In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, and in the event federal funds become unavailable or reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.

5. **No Employee Benefits For Party:** The Party understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation or sick leave, workers compensation or other benefits or services available to State employees, nor will the state withhold any state or federal taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Agreement. The Party understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Party, and information as to Agreement income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.

6. **Independence, Liability:** The Party will act in an independent capacity and not as officers or employees of the State.

   The Party shall defend the State and its officers and employees against all claims or suits arising in whole or in part from any act or omission of the Party or of any agent of the Party. The State shall notify the Party in the event of any such claim or suit, and the Party shall immediately retain counsel and otherwise provide a complete defense against the entire claim or suit.

   After a final judgment or settlement the Party may request recoupment of specific defense costs and may file suit in Washington Superior Court requesting recoupment. The Party shall be entitled to recoup costs only upon a showing that such costs were entirely unrelated to the defense of any claim arising from an act or omission of the Party.

   The Party shall indemnify the State and its officers and employees in the event that the State, its officers or employees become legally obligated to pay any damages or losses arising from any act or omission of the Party.
7. **Insurance:** Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the state through the term of the Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party’s operations. These are solely minimums that have been established to protect the interests of the State.

   **Workers Compensation:** With respect to all operations performed, the Party shall carry workers’ compensation insurance in accordance with the laws of the State of Vermont.

   **General Liability and Property Damage:** With respect to all operations performed under the contract, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

   - Premises - Operations
   - Products and Completed Operations
   - Personal Injury Liability
   - Contractual Liability

   The policy shall be on an occurrence form and limits shall not be less than:

   - $1,000,000 Per Occurrence
   - $1,000,000 General Aggregate
   - $1,000,000 Products/Completed Operations Aggregate
   - $50,000 Fire/ Legal/Liability

   Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

   **Automotive Liability:** The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than: $1,000,000 combined single limit.

   Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

   **Professional Liability:** Before commencing work on this Agreement and throughout the term of this Agreement, the Party shall procure and maintain professional liability insurance for any and all services performed under this Agreement, with minimum coverage of $n/a per occurrence, and $n/a aggregate.

8. **Reliance by the State on Representations:** All payments by the State under this Agreement will be made in reliance upon the accuracy of all prior representations by the Party, including but not limited to bills, invoices, progress reports and other proofs of work.

9. **Requirement to Have a Single Audit:** In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, the Subrecipient will complete the Subrecipient Annual Report annually within 45 days after its fiscal year end, informing the State of Vermont whether or not a Single Audit is required for the prior fiscal year. If a Single Audit is required, the Subrecipient will submit a copy of the audit report to the granting Party within 9 months. If a single audit is not required, only the Subrecipient Annual Report is required.
For fiscal years ending before December 25, 2015, a Single Audit is required if the subrecipient expends $500,000 or more in federal assistance during its fiscal year and must be conducted in accordance with OMB Circular A-133. For fiscal years ending on or after December 25, 2015, a Single Audit is required if the subrecipient expends $750,000 or more in federal assistance during its fiscal year and must be conducted in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F. The Subrecipient Annual Report is required to be submitted within 45 days, whether or not a Single Audit is required.

**10. Records Available for Audit:** The Party shall maintain all records pertaining to performance under this agreement. “Records” means any written or recorded information, regardless of physical form or characteristics, which is produced or acquired by the Party in the performance of this agreement. Records produced or acquired in a machine readable electronic format shall be maintained in that format. The records described shall be made available at reasonable times during the period of the Agreement and for three years thereafter or for any period required by law for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**11. Fair Employment Practices and Americans with Disabilities Act:** Party agrees to comply with the requirement of Title 21V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. Party shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, as amended, that qualified individuals with disabilities receive equitable access to the services, programs, and activities provided by the Party under this Agreement. Party further agrees to include this provision in all subcontracts.

**12. Set Off:** The State may set off any sums which the Party owes the State against any sums due the Party under this Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.

**13. Taxes Due to the State:**

a. Party understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.

b. Party certifies under the pains and penalties of perjury that, as of the date the Agreement is signed, the Party is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.

c. Party understands that final payment under this Agreement may be withheld if the Commissioner of Taxes determines that the Party is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.

d. Party also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Party has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Party has no further legal recourse to contest the amounts due.

**14. Child Support:** (Applicable if the Party is a natural person, not a corporation or partnership.) Party states that, as of the date the Agreement is signed, he/she:

a. is not under any obligation to pay child support; or

b. is under such an obligation and is in good standing with respect to that obligation; or
c. has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Party makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Party is a resident of Vermont, Party makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

15. **Sub-Agreements**: Party shall not assign, subcontract or subgrant the performance of this Agreement or any portion thereof to any other Party without the prior written approval of the State. Party also agrees to include in all subcontract or subgrant agreements a tax certification in accordance with paragraph 13 above.

16. **No Gifts or Gratuities**: Party shall not give title or possession of any thing of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this Agreement.

17. **Copies**: All written reports prepared under this Agreement will be printed using both sides of the paper.

18. **Certification Regarding Debarment**: Party certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, neither Party nor Party’s principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in federal programs, or programs supported in whole or in part by federal funds.

   Party further certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, Party is not presently debarred, suspended, nor named on the State’s debarment list at: [http://bgs.vermont.gov/purchasing/debarment](http://bgs.vermont.gov/purchasing/debarment)

19. **Certification Regarding Use of State Funds**: In the case that Party is an employer and this Agreement is a State Funded Grant in excess of $1,001, Party certifies that none of these State funds will be used to interfere with or restrain the exercise of Party’s employee’s rights with respect to unionization.

20. **Internal Controls**: In the case that this Agreement is an award that is funded in whole or in part by Federal funds, in accordance with 2 CFR Part II, §200.303, the Party must establish and maintain effective internal control over the Federal award to provide reasonable assurance that the Party is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

21. **Mandatory Disclosures**: In the case that this Agreement is an award funded in whole or in part by Federal funds, in accordance with 2CFR Part II, §200.113, Party must disclose, in a timely manner, in writing to the State, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures may result in the imposition of sanctions which may include disallowance of costs incurred, withholding of payments, termination of the Agreement, suspension/debarment, etc.

22. **Conflict of Interest**: Party must disclose in writing any potential conflict of interest in accordance with Uniform Guidance §200.112, Bulletin 5 Section X and Bulletin 3.5 Section IV.B.

## Attachment VI

**Risk Based Assessment for Sub-Recipient Grantees**

**State of Vermont**

**Grantee Risk-Based Assessment**

<table>
<thead>
<tr>
<th>Organization Name:</th>
<th>Grant No.:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Grant Title/Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### ELIGIBILITY

<table>
<thead>
<tr>
<th></th>
<th>Eligible</th>
<th>Ineligible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Suspension &amp; Debarment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subrecipient Annual Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single Audit</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 1. Amount

<table>
<thead>
<tr>
<th>Amount</th>
<th>Small (&lt;$25,000)</th>
<th>Medium ($25,000 to $250,000)</th>
<th>Large (&gt;=$250,000)</th>
<th>Points Awarded</th>
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</thead>
<tbody>
<tr>
<td>Rate the organization based on the amount of the award</td>
<td>0</td>
<td>10</td>
<td>20</td>
<td></td>
</tr>
</tbody>
</table>

### 2. Accounting System

<table>
<thead>
<tr>
<th>System</th>
<th>Automated</th>
<th>Manual</th>
<th>Combination</th>
<th>Points Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rate the organization based on the type of accounting system they use</td>
<td>0</td>
<td>20</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

### 3. Program Complexity

<table>
<thead>
<tr>
<th>Complexity</th>
<th>Not Complex</th>
<th>Slightly Complex</th>
<th>Moderately Complex</th>
<th>Highly Complex</th>
<th>Points Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rate the complexity of the program</td>
<td>0</td>
<td>10</td>
<td>20</td>
<td>30</td>
<td></td>
</tr>
</tbody>
</table>

**Programs with complex compliance requirements have a higher risk of non-compliance. In your determination of complexity consider whether the program has complex grant requirements. The following are some examples of reasons a program would be considered more complex:**

- Complex programmatic requirements and/or must adhere to regulations
- Matching funds or Maintenance of Effort are required
- Various types of program reports are required
- The organization further subcontracts out the program

### 4. Organization Risk

<table>
<thead>
<tr>
<th>Rank the organization based on your knowledge of the following:</th>
<th>YES</th>
<th>NO</th>
<th>Points Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Question</td>
<td>Points</td>
<td>Score</td>
</tr>
<tr>
<td>---</td>
<td>---------------------------------------------------------------------------------------------</td>
<td>--------</td>
<td>-------</td>
</tr>
<tr>
<td>a</td>
<td>Is the organization receiving an award for the first time?</td>
<td>35</td>
<td>0</td>
</tr>
<tr>
<td>b</td>
<td>Did the organization adhere to all terms and conditions of prior grant awards?</td>
<td>0</td>
<td>30</td>
</tr>
<tr>
<td>c</td>
<td>Does the organization have adequate and qualified staff to comply with the terms of the agreement?</td>
<td>0</td>
<td>20</td>
</tr>
<tr>
<td>d</td>
<td>Does the organization have prior experience with similar programs?</td>
<td>0</td>
<td>15</td>
</tr>
<tr>
<td>e</td>
<td>Does the organization maintain policies which include procedures for assuring compliance with the terms of the award?</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>f</td>
<td>Does the organization have an accounting system that will allow them to completely and accurately track the receipt and disbursements of funds related to the award?</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>g</td>
<td>If staff will be required to track their time associated with the award, does the organization have a system in place that will account for 100% of each employee’s time?</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>h</td>
<td>Did the organization have one or more audit findings in their last single audit regarding program non-compliance?</td>
<td>30</td>
<td>0</td>
</tr>
<tr>
<td>i</td>
<td>Did the organization have one or more audit findings in their last single audit regarding significant internal control deficiency?</td>
<td>20</td>
<td>0</td>
</tr>
<tr>
<td>j</td>
<td>Other issues that may indicate high risk of non-compliance? Explain:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(Point value should be based on evaluator’s judgment)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Other issues** include but are not limited to: (1) having new or substantially changed systems (2) having new compliance personnel (3) external risks including: economic conditions, political conditions, regulatory changes & unreliable information (4) loss of license or accreditation to operate program (5) rapid growth (6) new activities, products, or services (7) organizational restructuring (8) where indirect costs are included, does the organization have adequate systems to segregate indirect from direct costs.

**TOTAL RISK POINTS:** 0

**Completed By:** ___________________________  **Date:** ___________________________

**Signature**

**Name:** ___________________________  **Title:** ___________________________
### Common Attributes of Grantees with Low, Moderate and High Risk:

<table>
<thead>
<tr>
<th>Low Risk</th>
<th>High Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Most of the following attributes must be present to be considered low risk</strong></td>
<td><strong>One or more of the following attributes may be present to be considered high risk</strong></td>
</tr>
<tr>
<td>▶ Organization has complied with the terms and conditions of prior grant awards.</td>
<td>▶ History of unsatisfactory performance or failure to adhere to prior grant terms and conditions</td>
</tr>
<tr>
<td>▶ No known financial management problems or financial instability</td>
<td>▶ Financial management problems and/or instability; inadequate financial management system</td>
</tr>
<tr>
<td>▶ High quality programmatic performance</td>
<td>▶ Program has highly complex compliance requirements</td>
</tr>
<tr>
<td>▶ No, or very insignificant, audit or other monitoring findings</td>
<td>▶ Significant findings or questioned costs from prior audit</td>
</tr>
<tr>
<td>▶ Timely and accurate financial and performance reports</td>
<td>▶ Untimely, inadequate, inaccurate reports</td>
</tr>
<tr>
<td>▶ Program likely does not have complex compliance requirements</td>
<td>▶ Recurring/unresolved issues</td>
</tr>
<tr>
<td>▶ Organization has received some form of monitoring (e.g., single audit, on-site review, etc.)</td>
<td>▶ Lack of contact with organization or any prior monitoring</td>
</tr>
<tr>
<td><strong>Moderate Risk</strong></td>
<td>▶ Agencies that fall between low risk and high risk are considered <strong>moderate risk.</strong></td>
</tr>
<tr>
<td>▶ Large award amount</td>
<td></td>
</tr>
</tbody>
</table>
Co-applicant Information Worksheet

Personnel Justification Budget Template is also required if application includes Co-applicants.

Co-applicant #1

Legal Name of Co-applicant: ________________________________________________________________

Physical Address: _______________________________________________________________________

Mailing Address (if different): ______________________________________________________________________

Person authorized to bind this organization to a contract: ______________________________ Title: _____________________________

Phone Number: ___________________________ Email: ______________________________ Type of Organization: _________________

Co-Applicant Federal Employee Tax Identification Number (FEIN): ______________________________________________________________________

Co-Applicant Vermont Vendor ID (if currently assigned and known): ______________________________________________________________________

DUNS Number: ___________________________

Who are the project/program leaders from this agency for VT ECPDS? Provide name, email, and telephone contact information:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________