



STATE OF
VERMONT

***SPECIAL INVESTIGATIONS UNITS
GRANT GUIDANCE HANDBOOK***

***FY-17
July 1st, 2016 ~ June 30th, 2017***

Law Enforcement Support Grants | *SIU Grants Program*

State of Vermont
Special Investigation Units (SIU)
Grant Handbook/Guidelines

Statutory Authority:

Title 24 § 1940. Special investigative units; boards; grants

(a) Pursuant to the authority established under section 1938 of this title, and in collaboration with law enforcement agencies, investigative agencies, victims' advocates, and social service providers, the Department of State's Attorneys and Sheriffs shall coordinate efforts to provide access in each region of the State to special investigative units which:

(1) ***Shall investigate:***

(A) an incident in which a child suffers, by other than accidental means, serious bodily injury as defined in 13 V.S.A. § 1021; and

(B) potential violations of:

- (i) 13 V.S.A. § 2602 (lewd or lascivious conduct with child);
- (ii) 13 V.S.A. chapter 60 (human trafficking);
- (iii) 13 V.S.A. chapter 64 (sexual exploitation of children);
- (iv) 13 V.S.A. chapter 72 (sexual assault); and
- (v) 13 V.S.A. § 1379 (sexual abuse of a vulnerable adult); and

(2) ***May investigate:***

(A) an incident in which a child suffers:

(i) bodily injury, by other than accidental means, as defined in 13 V.S.A. § 1021; or

(ii) death;

(B) potential violations of:

- (i) 13 V.S.A. § 2601 (lewd and lascivious conduct);
- (ii) 13 V.S.A. § 2605 (voyeurism); and
- (iii) 13 V.S.A. § 1304 (cruelty to a child); and

(3) ***May assist*** with the investigation of other incidents, including incidents involving domestic violence and crimes against vulnerable adults.

(b) A special investigative unit organized and operating under this section may accept, receive, and disburse in furtherance of its duties and functions any funds, grants, and services made available by the State of Vermont and its agencies, the federal government and its agencies, any municipality or other unit of local government, or private or civic sources. Any employee covered by an agreement establishing a special investigative unit shall remain an employee of the donor agency.

(c) A Special Investigative Unit Grants Board is created which shall comprise the Attorney General, the Secretary of Administration, the Executive Director of State's Attorneys and Sheriffs, the Commissioner of Public Safety, the Commissioner for Children and Families, a representative of the Vermont Sheriffs' Association, a representative of the Vermont Association of Chiefs of Police, the Executive Director of the Center for Crime Victim Services, and the Executive Director of the Vermont League of Cities and Towns. Special investigative units organized and operating under this section may apply to the Board for a grant or grants covering the costs of salaries and employee benefits to be expended during a given year for the performance of unit duties as well as unit operating costs for rent, utilities, equipment, training, and supplies. Grants under this section shall be approved by a majority of the entire Board and shall not exceed 50 percent of the yearly salary and employee benefit costs of the unit. Preference shall be given to grant applications which include the participation of the Department of Public Safety, the Department for Children and Families, sheriffs' departments, community victims' advocacy organizations, and municipalities within the region. Preference shall also be given to grant applications which promote policies and practices that are consistent across the State, including policies and practices concerning the referral of complaints, the investigation of cases, and the supervision and management of special investigative units. However, a sheriff's department in a county with a population of fewer than 8,000 residents shall upon application receive a grant of up to \$20,000.00 for 50 percent of the yearly salary and employee benefits costs of a part-time special investigative unit investigator which shall be paid to the department as time is billed on a per hour rate as agreed by contract up to the maximum amount of the grant.

(d) The Board may adopt rules relating to grant eligibility criteria, processes for applications, awards, and reports related to grants authorized pursuant to this section. The Attorney General shall be the adopting authority. (Added 2005, No. 83, § 12; amended 2005, No. 192 (Adj. Sess.), § 5, eff. May 26, 2006; 2009, No. 1, § 52a, eff. March 4, 2009; 2009, No. 156 (Adj. Sess.), § E.206; 2009, No. 157 (Adj. Sess.), § 15; 2015, No. 60, § 15.)

Section I: *Overview of Available Grants and General Guidelines*

Law Enforcement Grants are awarded to SIU(s) for pass-through to law enforcement department(s).

- ❖ **\$60,000.00 grant (maximum award), to provide funding support for a fulltime law enforcement position that has been dedicated to an SIU**
- ❖ **The assigned law enforcement officer must currently hold a Level III officer certification from the VCJTC (Title 20 VSA § 2358)**
- ❖ **A Level II officer certification is permissible only with approved waiver by the VCJTC; effective while assigned to SIU duties**
- ❖ **The providing law enforcement agency agrees to have their officer investigate SIU specific crimes throughout the designated SIU region**
- ❖ **Law enforcement case activities will be recorded in NCATrak in accordance with SIU administrative procedures**
- ❖ **\$20,000.00 grant, hourly reimbursement to County Sheriffs with County population under 8,000 residents (Essex and Grand Isle Counties only).**

Grant Agreement Form

The State of Vermont Grant Agreement Form (GAF) is the official agreement between the awarded Special Investigative Unit (SIU) and the Vermont Special Investigative Unit Grants Board (VSIUGB). It acknowledges that the awarded SIU accepts the funding awarded by VSIUGB and will follow all requirements (i.e. procedures, state per diem rates and general guidelines outlined in the award letter and this VSIUGB “Grant Handbook”).

Carefully select the appropriate designee at your SIU; this person will receive all reporting materials, inquiries, and updates. All payments will be issued to the SIU name only. Payments will not be issued directly to those affiliated with the SIU including the contact person listed on the agreement, consultants or multidisciplinary team members.

The GAF should be filled out immediately. **An electronic copy of your signed GAF, in .pdf format, is the preferred method of return to the Grants Program Manager. You are responsible for providing the signed GAF in electronic form and maintaining the originally signed GAF in your SIU grant file for each grant awarded. Alternatively, you may mail the original signed copy of the GAF to the SIU Grants Program Manager and make a copy for your program files.**

The signed GAF must be received by the SIU Grants Program Manager within 15 days of the award to ensure timely receipt of the awarded funds. If, after submitting the GAF, any information changes, promptly notify the Vermont Special Investigative Grants Board in writing through the SIU Grants Program Manager.

Award Identification Number

Example – **2017-VTSIU-LE-xx**. (Name of SIU)

The Award Identification Number (AIN) was developed to assist program managers with tracking grant awards. Grant awardees can find this number on the GAF. This number should be filed in your records and be used with all correspondence in regards to your grant. **If you have more than one grant with VSIUGB, each grant will have a different AIN that should be used with all correspondence related to that specific grant award.**

Things to Remember

- VSIUGB anticipates that all grantees will expend and satisfactorily document their *full* grant award. All original invoices, receipts, bank account records and any other documents pertaining to the expenditure of Grant funds must be kept on file by the grantee for a minimum of three (3) years.
- The following SIU staff should have access to VSIUGB grant procedures:
 1. Staff members who hold positions funded by a SIU grant.
 2. Individuals that will use SIU grant funding for travel and/or other expenditures.
 3. Staff members that have administrative duties associated with SIU grants.
- Special Investigative Units are required to submit itemized account records of all expenditures of SIU grant funds. Expenditures that are not properly documented will not be allowed to be charged to the grant.
- SIU grant awardees will maintain on file, all original documents related grant expenditures for a minimum of three (3) years. These files will be made available for audit upon the request of the VSIUGB or Grants Program Manager.

Section II: Allowable and Unallowable Costs

Why are there restrictions on SIU funding?

The Vermont Special Investigative Unit Grants Board strongly believes that State funding for Special Investigative Units be first used as the “glue that holds an SIU together” i.e. salary and benefits for essential personnel and specific operating costs as outlined in Title 24 VSA § 1940.

Allowable Costs

Use the following list of allowable costs as a guideline. It does not mention every item that could be allowed for purchase with SIU grant funds. **Use the following list in conjunction with the list of unallowable costs.** Please direct questions about specific items to the SIU Program Grant Manager.

Please remember, by Statute, SIU Grant Funding “shall not exceed 50 percent of the yearly salary and employee benefit costs of the unit”.

Law Enforcement Investigators

- Salaries (excluding overtime)
- Fringe benefits
- Law Enforcement investigators’ salary & benefits (excluding overtime), must comply with the statutory limitations of Title 24 VSA §1940 (c).

Supplies/Equipment

- General Office Supplies
- Office Equipment (purchase or lease)
- Computer Equipment
- Interviewing/Recording Equipment
- Photography Equipment
- Storage Equipment
- Furniture (i.e. desks, chairs, tables, cabinets)

Other

- Postage
- Printing
- Dues/Subscriptions
- Publications/Periodicals
- Membership Fees
- Publicity (i.e. brochures, ads, signs)
- Recording and Transcription Services
- Insurance, Liability

Training (Instate)

- Registration Fees
- Travel (as listed below)
- Meals (as listed below)
- Rental of Conference Rooms and Meeting Spaces
- Equipment Rental

Travel (Instate)

- Airfare, Railway, Bus Fare (most economical coach class)
- Shuttle Service and Taxicab Fares (to/from/between airports, hotels and conference centers only)
- Tolls
- Parking Fees

Meals (Instate)

- Up to the Maximum of the Current Vt. State Per Diem Rates, for Each Meal (as established through collective bargaining agreements).

Mileage (Instate)

- Auto Travel to Meetings, Trainings and Work Related Events/Activities
- Up to Maximum Federal/State Mileage Rate. (Visit the IRS web page for current rate which are normally update every six months for, Jan. – June and July – Dec.)

Unallowable Costs

Any expenditure that is not directly related to the Special Investigative Unit and its mission is unallowable.

Travel

- **Out of State, unless authorized by the SIU Grants Program Manager or VSIUGB**
- Recreational Trips During Conferences (from training center to restaurant, mall etc)
- Cancellation Fees or Ticket Change Fees

Lodging

- **Out of State, unless authorized by the SIU Grants Program Manager or VSIUGB**
- Telephone Calls
- Laundry
- Movie Rental Fees
- Bar Charges

Training

- **Out of State, unless authorized by the SIU Grants Program Manager or VSIUGB**
- Entertainment
- Sporting Events
- Passport Charges or Visa Fees
- Bar Charges/Alcoholic Beverages
- Laundry Charges
- Cancellation Fees

Meals & Incidentals

- **Out of State, unless authorized by the SIU Grants Program Manager or VSIUGB**
- Tips or Gratuity Charges
- Compensation when Conference Includes Meals in the Registration Costs
- Working Receptions
- Working Breakfasts, Lunches, or Dinners
- Snack Foods for the SIU
- Alcoholic Beverages

Mileage

- Gas Reimbursements (only prevailing federal/state mileage per diem allowed)

Personnel

- Dual Compensation for Salaried Employees
- Stipends for Attending Training
- Bonuses
- **Overtime**
- Salary for Employees or Consultants, for Time Spent Lobbying or Fundraising

Other

- Land Acquisitions
- Corporation Formation Fees
- Non-Profit Incorporation Fees
- New Construction
- Renovation/Remodeling
- Capital Campaigns
- Vehicle Purchases, Insurances, Registrations
- Basic Law Enforcement Equipment, to include:
 - Firearms & ammunition
 - Uniforms
 - Radio communications equipment
 - Dry cleaning/laundry services
- Alcohol Purchases
- Artwork (paintings, murals, frames, sketches, sculptures)
- Web Design and/or Support
- Giveaways – not limited to the following:
 - Teddy bears
 - Toys
 - Clothing
 - Food and Beverages
 - Flowers, Awards, Plaques, etc.
 - Gift Cards, Receipts, or Gifts of Any Kind

Section III: Grant Monitoring Procedures

Grantee Programmatic and Fiscal Responsibilities

Quarterly Reports for [Law Enforcement Grants](#):

All law enforcement grant awardees are required to submit quarterly reports. These reports consist of a ***Narrative Reporting Form*** and a ***Fiscal Documentation Form*** with the **appropriate fiscal documents** illustrating how grant dollars were spent. Statistical reporting is completed during the Program Support Grant reporting cycle, but requires timely activity reporting from participating law enforcement agencies.

These reports are due on or before the following dates:

- 1st Quarter: October 15th (documenting July 1st, – September 30th, activities and expenditures)**
- 2nd Quarter: January 15th (documenting October 1st, – December 31st, activities and expenditures)**
- 3rd Quarter: April 15th (documenting January 1st, – March 31st, activities and expenditures)**
- 4th Quarter: July 15th (documenting April 1st, - June 30th, activities and expenditures)**

Appropriate Fiscal Documentation

Appropriate documentation is defined as documentation that will provide a *clear accounting* and *accurately portray* your grant expenditures. For the quarterly reports VSIUGB will accept general ledger logs from your SIU's accounting system (i.e. QuickBooks, Quicken, Peachtree, etc.) that clearly document the: check number, date of expenditure, amount expended and a detailed explanation of the expenditure. **If** the SIU's accounting system is not capable of generating a general ledger log, copies of cancelled checks and/or copies of credit card statements for all purchases/expenditures must be submitted with an explanation of what the expenditure was for. The original documents must be kept on file, at the SIU, for a minimum of three (3) years. The following are some examples of appropriate receipts/invoices:

Travel: airline/train tickets (no boarding passes), printed internet receipts, cab/shuttle receipts, credit card statements.

Training: registration forms with the registration cost clearly outlined.

Meals and incidental expenses: per-diem reimbursement or *itemized* receipt with diner's initials.

Mileage: travel logs – documenting the person who made the trip, purpose of the trip, points of travel and mileage.

Personnel: itemized account ledger, copies of pay checks, invoices.

Rent/Mortgage/Utilities: bill/invoice from vender/utility companies.

Equipment: invoices from vender.

Lodging, consultant fees, printing, supplies/equipment, or “other” receipts or invoices

Disbursement of Grant Award Funds

Grant Award funding will be disbursed in quarterly payments from the SIU to the partnering law enforcement agency. To be eligible for the quarterly payments, the law enforcement agency must agree to the following criteria:

- Signed MOU/LOA between the SIU and the agency
- Provide for the availability of a fulltime law enforcement position (Level III certification) that is dedicated to duties within the geographic area of responsibility of the SIU
- Provide statistical information necessary for completing NCATrak data entry
- Failure to provide fulltime law enforcement service, or failure to provide quarterly statistical information will be considered cause for withholding quarterly payments until such time as full service and full reporting are resumed

Recommended payment dates are July 15th, October 15th, January 15th, and April 15th.

Grant Close-Out

The end date for VSIUGB Grants, unless otherwise specified, will be June 30th of each year (the end of the State’s Fiscal Year). Please ensure that all expenses are incurred prior to the end of the grant award expiration date and liquidated (paid) no more than 10 days after the grant expiration date.

Programmatic Audits

The VSIUGB requires an annual onsite programmatic audit to be conducted by the Grants Program Manager of each Special Investigation Unit receiving SIU grant funds. Audits of the previous year grant award will be conducted between September and February of the current grant year. By September 1st of each calendar year, SIUs will receive written notice requiring them to schedule said Audit with the Grants Program Manager.

Use of VSIUGB Award Funds for Travel

The Vermont Special Investigative Unit Grants Board recognizes that members of Special Investigation Units will need to travel both in-state and out of state to conduct investigations, attend meetings and training seminars, as well as other SIU related business. It is VSIUGB's desire to support those who have a legitimate need to travel and to fairly reimburse them for out-of-pocket expenses incurred during travel. It is also VSIUGB's policy that such travel will be done in the most economical manner and reimbursement for travel will be performed within the guidelines established through the State of Vermont's collective bargaining process.

Persons traveling utilizing VSIUGB funds will limit their expense claims to the period of the meeting or training. If a participant finds it necessary to arrive the evening before an event, VSIUGB will provide reimbursement for the expenses related to the evenings accommodations. Similarly, if an evening session commences an event, expenses will be reimbursed for travel that day.

Dates, Destination and Purposes

Please submit documentation of dates, arrival and departure times, final destination, and the purpose of each trip on the State of Vermont Reimbursement of Travel Expenses Form. All trips paid with VSIUGB funds must be SIU related. The State's Travel Reimbursement Form is available through any state employee assigned to your SIU.

Since no policy can cover every conceivable circumstance, it is anticipated that on occasion, unique situations will occur. These situations should be directed to the attention of the Grants Program Manager for resolution.

Transportation

1. Air Travel will be reimbursed at the most economical fare (coach fare).
2. Airfare will only be reimbursed for business-related travel. Individuals combining personal and business travel are responsible for the difference in ticket price.
3. Expenses for mileage by auto will be reimbursed at the current state (federal) per-diem rate. This rate is determined by the IRS and is available at www.gsa.gov .
4. When traveling by auto (by choice rather than necessity), no reimbursement will be made for lodging or meals expenses beyond those that would have occurred using air travel.
5. Ground transportation to and from social activities, including meals, will not be reimbursed.
6. **Auto Rentals require approval from the Grants Program Manager prior to travel.**

Meals and Incidentals

Please refer to the current state of Vermont collective bargaining agreement for guidance regarding reimbursement for meals and incidental expenses.

Lodging

1. VSIUGB grant funds may be used for lodging expenditures when needed for legitimate SIU related activities.
2. Individuals are responsible for incidental expenses charged to their hotel room (i.e. movies, telephone, laundry, valet, bar etc.)

Section IV: Mandatory Grant Forms (All grant reports must be received prior to the issuance of award payments).

All SIU Grants Program Forms and Grant Guidance can be viewed and downloaded for use at: <http://prosecutors.vermont.gov/siu>

Narrative Report

A narrative report will be included as part of the quarterly reporting requirements due on or before October 15th, January 15th, April 15th, and July 15th.

Statistical Data

A statistical report will be included as part of the quarterly reporting requirements due on or before October 15th, January 15th, April 15th, and July 15th.

NCATrak is the standard system used to record statistical information for all SIU grant funded projects. To qualify for SIU Grant Awards, the applicant must validate the ability to report unit activity using NCATrak. This may be accomplished through a partnership agreement with another SIU. Beginning in FY16, use of NCA's Outcome Measurement System (OMS) is required and, when fully implemented, will replace the two (2) annual deliverable reports.

Fiscal Documentation Reports

A fiscal report will be included as part of the quarterly reporting requirements due on or before October 15th, January 15th, April 15th, and July 15th.

Certificates of Insurance

Certificates of Insurance for all policies providing SIU coverage must be included each year with the Program Support Grant Application.

Budget Modification

The Vermont Special Investigative Unit Grants Board recognizes that in the development of SIU budgets and grant requests, it is nearly impossible to anticipate exact amounts for all line item expenses. It is the desire of the VSIUGB to give some fiscal latitude to grantees by allowing SIUs to move up to 5% of their total grant award between authorized line items, during a given grant period, without pre-authorization from the Grants Program Manager.

Example: A SIU receives a \$50,000.00 award for a given year. During the grant period, the SIU may move up to a total of \$2,500.00 between approved funded line items.

If during a grant period an SIU is faced with an unexpected expense and wishes to utilize current grant funds, a written request must be submitted to, and approval received from, the Grants Program Manager. This request must include a detailed explanation of the expense, the total amount of funds to be utilized, and how the SIU will cover expenses the grant was originally provided for.

Section V: Important Dates for Grantees

2016

April 15th By April 15th of the calendar year, each County Prosecutor and SIU Director will be notified of VT SIU grant opportunities and receive grant applications.

May 15th By May 15th of the calendar year, grant applications must be received by Grants Program Manager.

June 1st By June 1st of the calendar year, the Grants Program Manager will forward Completed Grant Applications to Members of the VSIUGB.

June 27th By June 27th of the calendar year, VSIUGB completes their review of grant applications and award funds.

July 1st By July 1st of the calendar year, grant applicants receive notification of awards.

July 15th By July 15th of the calendar year, current year grant recipients receive the first (50%) installment of their Program Support Grant award and first installment (50%) of their Law Enforcement Grant award.

July 30th By July 30th of the calendar year, close-out grant reports (if applicable) for previous year grants covering the period of (January 1st through June 30th) must be received by the Grants Program Manager.

a.) If a previous year grant recipient ***does not*** receive a current year grant award, all unspent previous year grant funds must be returned with the close-out grant report. Checks shall be made payable to, and mailed to, the following address:

**VT Department of States Attorneys, SIU Fund
12 Baldwin Street, Drawer # 33
Montpelier, VT 05633-6401**

b.) If a previous year grant recipient is the recipient of a current year grant, all unspent funds from the previous year grant will be kept by the recipient. The amount of unspent funds from the previous year grant will then be deducted from the second installment of the current year grant.

October 15th By October 15th, the 1st quarterly reports (**Fiscal, Narrative and Statistical**) covering the period of July 1st through September 30th must be received by the Grants Program Manager.

2017

January 15th By January 15th, the 2nd quarterly reports (**Fiscal, Narrative and Statistical**) covering the period of October 1st through December 31st must be received by the Grants Program Manager.

January 15th By January 15th of the calendar year, current year grant recipients receive their second (50%) installment minus all unspent previous year grant funds kept. (Refer to July 30th, section b).

April 15th By April 15th, the 3rd quarterly reports (**Fiscal, Narrative and Statistical**) covering the period of January 1st through March 31st must be received by the Grants Program Manager. **Deliverable Reports** are also due on this date.

July 15th By July 15th, the 4th quarterly reports (**Fiscal, Narrative and Statistical**) covering the period of April 1st through June 30th must be received by the Grants Program Manager.

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