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REP. DAVID SHARPE *ab*

**STATE OF VERMONT**  
LEGISLATIVE JOINT FISCAL COMMITTEE

Agenda

Tuesday, November 8, 2011

Room: 10, State House

- 9:30 a.m. Call Meeting to Order and Approve Minutes of September 13, 2011 and September 26, 2011 meetings
- 9:35 a.m. A. Fiscal Updates/Issues – Legislative Joint Fiscal Office
1. Fiscal Officer's Report - Stephen Klein, Chief Fiscal Officer [handout]
  2. Medicaid Update - Stephanie Barrett, Associate Fiscal Officer
  3. Education Fund Update – Mark Perrault, Fiscal Analyst
- 10:05 a.m. B. Fiscal Updates/Issues/Other
1. Budget Building Process Update - James Reardon, Commissioner, Department of Finance & Management
  2. Disaster Recovery Update
    - a. General Update – Neale Lunderville, Chief Recovery Officer
    - b. Housing Issues – Jennifer Hollar, Deputy Commissioner, Department of Economic Development, Housing & Community Affairs.
  3. FY 2013 Budget Gap Projection –Stephen Klein, Stephanie Barrett, and James Reardon [draft handout]
  4. Status Report on State and Teachers' Retirement Funds - Beth Pearce, State Treasurer
  5. Tax Related Issues
    - a. Tax Computer System Modernization Fund Receipts [Act 63, Sec. C.103 of 2011] Mary Peterson, Commissioner, Department of Taxes, and Richard Boes, CIO and Commissioner, Department of Information & Innovation [handout]
    - b. Tax Abatements – Mary Peterson [handout]
- 11:30 a.m. C. Administration Updates/Issues
1. LIHEAP Update –Richard Moffi, Assistance Program Chief, Department for Children & Families [2 handouts]
  2. Update on Exchange and Health Information Technology (HIT) Grants
    - a. HIT - Joe Liscinsky, HIT Project Manager, and Terry Bequette, Associate State HIT Coordinator, Department of Vermont Health Access [handout]
    - b. Exchange - Betsy Forrest, Health Care Affordability Director, DVHA [handout]
  3. Report of Proposed Distribution of Justice Reinvestment Funds [Act 63, Sec. E.338(c) of 2011] Andrew Pallito, Commissioner, and David Peebles, Restorative & Community Justice Executive, Department of Corrections [handout]
- 12:15 p.m. Adjourn

Other Reports/Information – Next Page



Other Reports/Information:

General Government:

- I. Report on allocation of funds contained in annual pay acts. [3 V.S.A. § 2281(4)] [Administration] [Received]
- II. Quarterly Report on excess receipts [32 V.S.A. § 511] [Administration] [Received]
- III. Report on special funds created and special fund balances [32 V.S.A. § 588(6)] [Administration] [Received]
- IV. FY 2012 Base Reductions Report [Act 63, Sec. B.1101(a) of 2011] [Administration] [Received]
- V. Challenges for Change – Quarterly Report and Implementation [Act 146, Sec. H4(a) of 2010] [Administration] [Letter to postpone the report – see letter from GAC to Clausen]

Human Services:

- I. Alcohol and Drug Abuse Programs - evidence-based prevention activities and a process for grantees performance evaluation. [Act 63, Sec. E.313(c) of 2011] [Department of Health] [Received]
- II. Quarterly Progress Report on securing participation in joint purchasing agreements for pharmacy best practices and cost control program. [33 V.S.A. § 1998 (c) (6)] [Department of Vermont Health Access] [Memo to waive the report requirement]
- III. Report on the federal "Money Follows the Person" grant for Independent Adult Living [Act 63, Sec. E.300(a) of 2011] [Agency of Human Services and Department of Aging and Independent Living] [Received]
- IV. Recommendation on base level funding for AIDS service organizations [Act 63, Sec. E.312(b)] [Department of Health] [Received]
- V. Tobacco Prevention, Cessation and Control Program Annual Budget Recommendations [18 V.S.A. § 9505 (9)] [TPCCP/AHS] [Received]
- VI. Quarterly Report on the progress for completion of the state hospital facility and development of residential recovery program. [Sec. 31 (f)(3) of Act 43 of 2009] [Department of Mental Health] [Received]

Legislative:

- I. Small Grants Quarterly Report [32 V.S.A. § 5(a)(3)] [Joint Fiscal Office] [Received]
- II. Tropical Storm Irene Temporary Expedited Grant Review Policy Report. [32 V.S.A. § 5] [Joint Fiscal Office] [Received]

Miscellaneous:

Progress Report reflecting the outcomes and measures as applied to the projects funded under this section. [Act 40, Sec. 49(i) of 2011] [Vermont Telecommunications Authority] [Received]

Natural Resources:

Report on the status of recruitment for vacant game warden positions. [Act 63, E.702(a) of 2011]  
[Department of Fish & Wildlife] [Received]

Protection:

- I. Quarterly Report to the Chair of JFC on status of training programs and expenditures of the Vermont Fire Service Training Council. [32 V.S.A. § 8557 (b)] [Executive Director, Division of Fire Safety, Department of Public Safety] [Received]
- II. Five-year projection of state trooper staffing needs [Act 63, Sec. E.209.1(a) of 2011] [Departments of Public Safety and Human Resources] [Received]
- III. Report on Effectiveness of Special Investigative Units [Act 63, E.206(a) of 2011] [State's Attorneys] [Letter of Extension] [Report Received]
- IV. Quarterly Report of costs and expenditures for proceedings of the Federal Energy Regulatory Commission. [30 V.S.A. § 20 (b)(9)] [Public Service Board and Department] [Received]

Joint Transportation Oversight Committee (JTOC) Reports

1. Report from Agency of Transportation [19 V.S.A. Sec. 12b(d)(1) and (2)] [Received]
2. Transportation – Supplemental Paving Spending [Act 62, Sec. 7a of 2011] [Received]



**STATE OF VERMONT**  
LEGISLATIVE JOINT FISCAL COMMITTEE

Tuesday, November 8, 2011

Minutes

Members present: Representatives Ancel, Branagan, Heath, and Sharpe, and Senators Cummings, Kitchel, and Snelling.

Other Attendees: Administration, Joint Fiscal Office, and Legislative Council staff, and various media, lobbyists, advocacy groups, and members of the public.

The Chair, Senator Ann Cummings, called the meeting to order at 9:34 a.m. Representative Ancel moved and Senator Kitchel seconded the approval of the September 13, 2011 and September 26, 2011 minutes. The Committee adopted the minutes.

**A.1. Fiscal Officers' Report**

Steve introduced Luke Martland, the new Director of Legislative Council, distributed and highlighted areas of the fiscal officer's report. The Joint Fiscal Office (JFO) is currently computing and compiling the legislative budgets. The administration had requested state budgets decrease by 4%, but due to already big spending cuts in the legislative budgets, a goal of zero growth across all budgets was targeted. Because Hans Kastensmith was not rehired by the legislature or the administration to assist with the Health Information Technology fund, those funds saved from that contract were used to meet the administration's target for a 4% budget reduction in the JFO budget. Senator Snelling asked why Mr. Kastensmith was not rehired, and Mr. Klein responded that Act 48 of 2011 called for an administration-led approach to health care. The administration was developing its own independent review protocols.

Mr. Klein stated that the Joint Fiscal Office was moving toward a more program-based budgeting methodology. The Pew Charitable Trust had approved an initiative to work with Vermont (JFO) on an evidence-based budget pilot with a focus on criminal justice. The Government Accountability Committee endorsed the hiring of a consultant to assemble the data needed to create the program-based budgeting pilot. FY2012 carryforward funds from the JFO budget would be used to compensate consultants.

Mr. Klein offered that other possible aspects of the FY2012 JFO office budget could include additional funds for the Education Finance Study and the Health Care study. The Education Finance Study's next public hearing is January 9, 2012 with ten schools participating through the Vermont Learning Network. Senator Kitchel stated that her constituents commented that there was not as broad an audience as anticipated at the September Education Finance Study hearings. Mr. Klein responded that the turn-out for the hearings was low due in part to the Tropical Storm Irene (Irene) disaster, but it was anticipated that the January hearings would have a bigger turnout. Representative Ancel inquired how information for the public hearings had been advertised. Mr. Klein explained that

press releases have gone out through the commissioner of education and the Vermont Superintendents Association in addition to the legislative press process and notification of legislators.

Mr. Klein continued his summary explaining that two grants were approved under the temporary approval process. The first was \$63,000 for clothing and furniture. The second was for the International Business Machines (IBM) space grant from the Federal Emergency Management Administration.

## **2. Medicaid Update**

Stephanie Barrett, Joint Fiscal Office, gave an update on Medicaid. Joint Fiscal Office staff met with the Administration fiscal staff to project the FY2012 and FY2013 Medicaid budget. A preliminary consensus was reached with caseload and projected expenditures. The FY2011 Medicaid budget ended significantly below expectation, and the caseload slightly below expectation. Newer data are anticipated prior to the administration-proposed FY2012 budget release. There may be some confusion due to Irene creating caseload figures that may not be trued up. Current projections show a relatively modest growth rate of Medicaid at just under 3% overall with caseload annualization from FY2012 to FY2013. The FY2012 Medicaid budget growth was decreasing.

Ms. Barrett identified all the areas of state Medicaid fund pressures. In addition to the FY2012 and FY2013 budget growth, there was an estimated \$20 million in Federal Medical Assistance Percentages (FMAP), and an estimated potential cost of \$10 million from the Autism mandate.

## **3. Education Fund Update**

Mark Perrault, Joint Fiscal Office, gave an update on the Education Fund. He stated that the base education tax rates would likely need to be raised in FY2013 by two cents. He also explained that the FY2012 property tax adjustment was \$10 million less than initially projected since there were 4,000 fewer claimants in FY2012 than in the previous year.

Representative Ancel inquired as to whether the increased number of Vermonters renting their homes might have reduced the number of claimants for the property tax adjustment in FY2012. Mr. Perrault stated that he was unsure of the cause of the reduction, but that the department of taxes was investigating.

## **B. Fiscal Updates/Issues/Other – 1. Budget Building Process Update**

James Reardon, Commissioner, Department of Finance & Management, affirmed that the administration was on target to deliver the proposed FY2012 Budget Adjustment bill (BAA) to the legislature on December 12, 2011. Possible areas that will be ongoing through the FY2013 budget process were the Irene recovery effort, including the Vermont State Hospital.

Commissioner Reardon set forth areas of budget pressures, including possible funding reductions to states due to decreased federal funding, Irene costs, and state employees' and teachers' retirement contracts. In addition, the General Fund portion of the Education Fund was proposed to increase by \$6.1 million. Due to the concerns from Irene, a financial team was meeting every two weeks on the costs associated with the recovery efforts and the development of good audit practices for anticipated federal audits. Senator Kitchel inquired of the estimated costs of auditing and whether some of the federal funding for Irene could be used to cover those costs. Commissioner Reardon

responded that the Federal Emergency Management Agency (FEMA) funding audit was estimated to cost \$50,000. The administration filed a claim to FEMA to include the audit as an allowable cost.

Representative Heath queried whether the administration would submit an addendum to the legislature after the budget submission if there were a change in the revenue forecast. Commissioner Reardon stated that was the probable plan.

## **2. Disaster Recovery Update – a. General Update and b. Housing Issues**

Neale Lunderville, Chief Recovery Officer, and Jennifer Hollar, Deputy Commissioner, Department of Economic, Housing & Community Development, gave an update on the recovery of Irene. Mr. Lunderville highlighted two main focuses in the recovery of Irene: the immediate needs of people and the recovery of the long-term needs for those individuals. Damaged state transportation infrastructure included 500 miles of closed roads at the beginning of the recovery effort, and now there were less than 10 miles to repair on Routes 106 and 107. There were originally dozens of closed bridges but currently only one is closed for repair. The town highway system sustained damage from Irene with towns reporting hundreds of roads closed at the start of the recovery and currently 66 are still closed.

Mr. Lunderville explained that after the infrastructure was made winter ready, continued finish work would follow in the out years. There are many issues with the rivers that the Agency of Natural Resources had been partnering with the Regional Planning Commissions to address through a survey. Mr. Lunderville stressed that it would be hard to predict how the rivers would react to the Spring melt and rains with the new dynamics of storm debris and their changed directions.

Mr. Lunderville stated that FEMA projected \$140 million in potential eligible costs to towns. While towns wait for federal funding assistance, the administration has been working with the state treasurer to expedite any state payments to towns and to be flexible in payments from towns to the state.

Mr. Lunderville announced early estimates for state- and town-eligible FEMA costs were \$175 to \$250 million. Representative Ancel inquired whether there was flexibility for the towns to delay paying its share of property tax payments. Mr. Lunderville responded that there were conversations on this issue within the administration, and a conclusion was anticipated this week.

Mr. Lunderville explained that the administration was working towards having the \$100 million federal funding cap in transportation expenditures waived by FEMA. In responding to Senator Kitchel, Mr. Lunderville explained that if unsuccessful, Vermont would have to find the difference of the \$150 million in damage to transportation infrastructure in the state. He further explained for Representative Sharpe's benefit that the towns were not subject to a cap and were set at a 75/25 federal transportation match. The state planned to split the federal match rate that towns would have to pay to further assist them with their financial burden. If Vermont met the \$80 million federal obligation threshold, it could then be eligible for a 90/10 match instead of the standard 80/20 match, and the same match would transfer to towns.

Representative Heath asked for clarification on how the state would pay for the estimated \$150 million if the waiver on the cap was not instituted. Mr. Lunderville explained that the options were that either the state raised the money or push back unrelated Irene transportation projects and instead focus

on the Irene-related projects. The latter approach would cause programmatic issues with the state transportation system due to delays in normal repair. In addition, a yearly draw of \$210 million from the federal highway funds toward normal repair would instead be used for Irene-related repairs.

Mr. Lunderville announced that the governor was poised to announce a long-term community recovery process. The administration planned to offer its own time and talent from its pool of state employees to develop future plans with towns. This would be by invitation only and towns are able to opt in at any time. Mr. Lunderville also pronounced that the deadline for FEMA registration for recovery funds was a week away for individuals. The state has received 6,800 registrants to date and FEMA has processed a total of \$20 million in direct aid to some of those individuals. The Small Business Administration has sent additional aid out to some applicants as well. Once the FEMA recovery application process is finished, other private resources would be offered to those individuals that filed. Currently, there have been 1,600 registrants for recovery aid. Senator Kitchel queried what the potential estimates of registrants would total, and whether all people affected by Irene would apply for recovery aid. Mr. Lunderville explained that during FEMA's rounds to Vermont neighborhoods to encourage individuals to register, they estimated 7,000 to 7,500 registrants but there are those individuals that may not want to apply.

Representative Branagan inquired what the long-term impacts were to Lake Champlain's water quality. Mr. Lunderville promised to have that information sent to the committee because of the complexity of many other factors, including the Spring flood and the effects on the Connecticut watershed. Representative Sharpe asked if the recent diverting of Vermont rivers to stem the flow of water through neighborhoods disallowed the eligibility of FEMA funding. Mr. Lunderville responded that FEMA was very particular about river management and cleanup after natural disasters but the administration was working with local people and FEMA to gain funding on the grounds that the rivers were threatening private property and public infrastructure. Senator Kitchel inquired about the details on Natural Resources Conservation Services (NRCS) funding for towns if FEMA funding was deemed ineligible. Mr. Lunderville explained it was match funding at a 75/25 split. The state has requested an increase in the match to 100%, and NRCS has stated it would mirror FEMA's match, which may allow for a 90/10 match.

Ms. Hollar highlighted the areas of Irene impacts in her other role as the Chair of the Irene Housing Task Force. There were 225 municipalities that were impacted by Irene with 45 severely impacted. More than 1,400 residential properties were affected by Irene. This number was determined by FEMA's data of total number of registered applicants (1,350) that were eligible for rental assistance. Another source of data was collected by the Department of Taxes through reporting of residential property damage (1,400). Senator Kitchel inquired about funding for mold issues within houses that experienced flooding. Ms. Hollar emphasized the importance of individuals to register for recovery assistance by the deadline.

Ms. Hollar remarked that the hardest hit counties for housing were Washington, Windham, Windsor, and Rutland with 70% of Vermonters impacted being homeowners, and 40% within the lower to moderate income range. A total of 433 mobile homes were significantly damaged or completely destroyed. Representative Sharpe offered that a destroyed mobile home park in the Town of Bristol was bought up by FEMA, and he asked whether there was an effort to make towns aware of the benefits from participating in the federal flood mitigation insurance. Ms. Hollar responded that the task force was communicating the benefits of applying for the insurance and that it was retroactive to the

application process. Senator Kitchel offered that the Vermont League of Cities and Towns was actively communicating with nonparticipating insurance towns about this opportunity.

Ms. Hollar stressed that the task force preferred individuals not relocate to flood plains but has challenged the state to find housing quickly in alternative areas. Representative Branagan showed concern for individuals found homeless due to Irene. Ms. Hollar offered that there was a variety of outreach campaigns to find those folks and settle them in temporary housing. Senator Cummings inquired whether there was a population that still needed resources. Mr. Hollar responded that there was no one broad area of need but rather case-by-case situations. Case management and flexibility were ingredients to recovery. Rental assistance from FEMA was provided for a couple of months at a time but an individual plan for permanent housing was required. Mr. Lunderville added that a task force designated by the legislature met the previous week for the first time and identified many key issues and some solutions to complex problems. It was anticipated that the task force would continue, and find even broader solutions to issues. Representative Ancel inquired where the case managers were delegated from. Mr. Lunderville responded that they came from many areas, such as the Community Action Program (CAP) agencies. Ms. Hollar finished by stating that there were existing and developing local task forces at the municipal level to identify and address any unmet needs.

### **3. FY2013 Budget Gap Projection**

Mr. Klein distributed a printed PowerPoint presentation “FY2012 & FY2013 Vermont Budget Development Context,” and gave a brief summary of the first part of the presentation. Ms. Barrett summarized the section of the presentation on the FY2012 Budget Adjustment Act. Commissioner Reardon in giving his presentation of the FY2013 budget gap projections cautioned the committee to view the figures as best estimates in a point in time and that they were subject to change. Representative Heath queried if there would be one-time funds in FY2012 for the FY2013 budget. Commissioner Reardon emphasized that due to the Irene recovery costs and the volatile federal budget discussion, one-time funds may be needed to support future budgets past FY2013.

### **4. Status Report on State and Teachers’ Retirement Funds**

Beth Pearce, State Treasurer, first complimented the administration for its work with communities, and for the banking community for inserting itself in the Irene disaster by offering loans in the 1% range. She then referred to the presentation from the gap projection testimony previously submitted and summarized the pension and retirement estimates.

### **5. a. Tax Related Issues – Tax Computer System Modernization Fund Receipts**

Mary Peterson, Commissioner, Department of Taxes, and Richard Boes, Commissioner, Department of Information and Innovation, provided a handout. Commissioner Peterson summarized the submission. Commissioner Peterson stated the next steps for retiring the Legacy tax processing systems would be presented to the legislature in the 2013 legislative session.

### **5. b. Tax Abatements**

Commissioner Peterson provided a handout and summarized its contents. She added that the House Committee on Ways & Means met and approved legislation for an abatement process to reimburse individuals affected by the Irene and/or the Spring flood of 2011. She anticipated the cost at the low end of \$2 to \$4 million. [Editor’s note: the final cost of the tax abatements was about one-half of a million dollars.]

### **C. Administration Updates/Issues – 1. Low Income Heating & Energy Assistance Program (LIHEAP) Update**

Richard Moffi, Assistance Program Chief, Department for Children & Families, provided a handout and summarized its contents. He explained the different scenarios of President Obama's, the U.S. House, and the U.S. Senate-proposed budgets. Commissioner Reardon inquired whether the Senate version would include additional funds due to how benefits are calculated. Mr. Moffi agreed and stated that the Senate version favors the Northeast and the House version of the budget favors the Southwest.

Representative Heath asked whether there was carryforward from the previous year and if it had been included in the handout calculation for the current heating season. Mr. Moffi responded that there was about \$4 million in carryforward. Of that amount, \$3 million was funding the crisis fuel program and the remaining amount would carry into the current benefit year. Senator Kitchel queried what the CAP agencies costs were for administering the crisis fuel program. Mr. Moffi explained that the LIHEAP block grant to the CAP agencies has a separate category for direct services (administrative costs). The direct services funds total \$450K and are shared among the five CAP agencies. There is an additional \$50K available to the CAPs for after hour, nights, and weekend services. Mr. Moffi added that the \$450K has been in place for about two years and previously was \$350K for 13 years prior.

Representative Heath inquired what the administration had heard in regard to the legislature changing the asset test in 2009, and did it allow for more applications. Mr. Moffi responded that beginning in 2010, the income level was raised from 150% to 185% of gross income of the federal poverty level. The legislature also eliminated the resource test that determined benefits. Vermont was one of ten states still using that type of asset test. The two changes to the program increased the amount of participants, and the new higher income applicants account for 13% of the program case load. Representative Heath queried what the benefit percentage of the average bill paid was and what that number would need to be this year. Mr. Moffi distributed and referred to a second handout in anticipation of the question.

Senator Kitchel asked what the status was of the new utility-based systems program passed by the legislature, and for confirmation on whether Green Mountain Power (GMP) and Central Vermont Public Service (CVPS) were planning a January 1, 2012 implementation date. Mr. Moffi responded that he was a member of the working group and that the January 1 implementation date was very optimistic. He further stated that the positive news was that the model was developing and the conversations were moving forward, but the programs would probably not be implemented this 2011 - 2012 fuel season.

### **2. Update on Exchange and Health Information Technology (HIT) Grants – a. HIT**

Joe Liscinsky, HIT Project Manager, and Terry Bequette, Associate State HIT Coordinator, Department of Vermont Health Access (DVHA), provided a handout and summarized its contents. Senator Kitchel queried whether the department was following the recommendation by Hans Kastensmith to get an independent evaluation of all the HIT projects. Mr. Liscinsky stated a company called The Action Mill was hired to accomplish those high level goals.

Mr. Bequette finished the testimony with information in the handout on the Electronic Health Record Incentive Payment (EHRIP). The program was launched on October 17, 2011 and currently there are 250 registered providers, including 2 hospitals in Vermont.

**b. Exchange**

Betsy Forrest, Health Care Affordability Director, DVHA, provided a handout and summarized its contents. Representative Heath inquired whether the department was pleased with the progress to date. Ms. Forrest stated the plan will be very challenging to implement but the department had made good progress, and seemed to be ahead of most states in the design phase.

**3. Report of Proposed Distribution of Justice Reinvestment Funds**

Andrew Pallito, Commissioner, and David Peebles, Restorative & Community Justice Executive, Department of Corrections, provided a handout. Mr. Peebles summarized the contents of the handout. Senator Kitchel asked what the final count of beds would be upon completion of the transitional housing plan. Mr. Peebles stated that depending on how it is configured, there should be about 295 to 300 beds.

Senator Snelling inquired if there was progress in getting better communication tools and computers to parole personnel to better monitor individuals. Commissioner Pallito stated the department would be presenting a legislative-mandated report on a paperless endeavor in a couple of weeks. Officers had the benefit of new computers that were more portable from car to court but the department would also monitor the usage of the new equipment to determine if it is viable.

Representative Sharpe queried whether the department had considered the local efforts with community conflict and resolution. Mr. Peebles responded that through the significant network of the available community-based justice centers, the department was partnering to resolve conflicts before they escalate to police intervention. Representative Branagan asked if the results of the reinvestment funds show a level of success through an actual reduction of beds or budget allotment. Mr. Peebles answered yes with the caveat that the department works on a three-year rate of recidivism for cohorts, but it is already apparent that the trend is changing downward for incarceration rates. Commissioner Pallito offered that data collected were available on the department website. Representative Heath offered that the department would have a budget adjustment for FY2012 but that was due to an increase of detainees that was controlled by the court system and not the department, and the commissioner agreed.

The Committee adjourned at 12:25 p.m.

Respectfully Submitted,



Theresa Utton-Jerman  
Legislative Joint Fiscal Office

Legislative Joint Fiscal Committee  
November 8, 2011 Statutory Language

**Agenda Items:**

B.4.b. Tax Computer System Modernization Fund Receipts [Act 63, Sec. C.103 of 2011]

The tax commissioner shall report to the joint fiscal committee on fund receipts at or prior to the November joint fiscal committee meeting each year until the fund is terminated.

C.4. Report of Proposed Distribution of Justice Reinvestment Funds [Act 63, Sec. E.338(c) of 2011]

(c) The commissioner of corrections shall report to the joint corrections oversight committee and the joint fiscal committee by September 2011 on the proposed distribution of justice reinvestment funds.

**Other Reports/Information:**

Administration:

I. Report on allocation of funds contained in annual pay acts. [3 V.S.A. § 2281(4)]

The department of finance and management is created in the agency of administration and is charged with all powers and duties assigned to it by law, including the following:

(4) to **report on an annual basis to the joint fiscal committee at its November meetings on the allocation of funds contained in the annual pay acts and the allocation of funds in the annual appropriations act** which relate to those annual pay acts. The report shall include the formula for computing these funds, the basis for the formula, and the distribution of the different funding sources among state agencies. The report shall also be submitted to the members of the house and senate committees on government operations and appropriations;

II. Quarterly Report on excess receipts [32 V.S.A. § 511]

If any receipts including federal receipts exceed the appropriated amounts, the receipts may be allocated and expended on the approval of the commissioner of finance and management. If, however, the expenditure of those receipts will establish or increase the scope of the program, which establishment or increase will at any time commit the state to the expenditure of state funds, they may only be expended upon the approval of the legislature. Excess federal receipts, whenever possible, shall be utilized to reduce the expenditure of state funds. **The commissioner of finance and management shall report to the joint fiscal committee quarterly with a cumulative list and explanation of the allocation and expenditure of such excess receipts.**

III. Report on special funds created and special fund balances [32 V.S.A. § 588(6)]

All special funds shall be organized and managed in accordance with the provisions of this section.

(6) Accounting and reporting.

(A) Each special fund shall be accounted for under the direction of the commissioner, and the balance at the end of the prior fiscal year **shall be reported to the joint fiscal committee on or before December 1 of each year.**

(B) In addition, the commissioner shall annually report a list of any special funds created during the fiscal year. The list shall furnish for each fund: its name; authorization; and revenue source or sources. The report for the prior fiscal year **shall be submitted to the general assembly through the joint fiscal committee on or before December 1 of each year.**

IV. FY 2012 Base Reductions Report [Act 63, Sec. B.1101(a) of 2011]

(a) In fiscal year 2012, the secretary of administration is authorized to reduce appropriations for labor savings due to unfilled vacant positions, voluntary reduced workweeks, modified health insurance plans for active and retired state employees, reduced state costs in supporting retirement plans, close management of personal services contracts, reduced overtime costs, and for any other management initiatives within the executive branch, excluding reductions to grants, that are necessary to realize the base reductions. The executive branch shall provide status reports to the joint fiscal committee on achievement of this base reduction at meetings in July, September and November of 2011. The commissioner of finance and management is authorized to transfer other funds saved as a result of these initiatives to the general fund in fiscal year 2012: General fund \$12,000,000

V. Challenges for Change – Quarterly Report and Implementation [Act 146, Sec. H4(a) of 2010]

(a) On a quarterly basis, beginning with July 1, 2010, the administration shall report to the chairs of the house and senate committees of jurisdiction, the joint legislative government accountability committee, and the joint fiscal committee. Each report shall include a statement of the measures and milestones summarized by the government accountability committee for that Challenge, a brief summary of milestones met and progress made in that Challenge, and the data collected to measure that progress. Reports shall also include any modifications or additions proposed for the plan of implementation, and how these modifications or additions are designed to achieve the outcomes for that Challenge.

Human Services:

I. Alcohol and Drug Abuse Programs - Evidence-based prevention activities and a process for grantees performance evaluation. [Act 63, Sec. E.313(c) of 2011]

(c) In fiscal year 2012, all funding appropriated to the department of health for student assistance professionals shall be directly administered by the department. The grant funding for student assistance program counselors shall be distributed to school districts utilizing the same methodology as in fiscal year 2011. The department of health shall send a description of the allowable activities to be funded by the grant with the award and a notice that data on performance of the grantees in meeting program outcomes will be collected by the department in 2012. By November 2011 the department shall inform school districts, if funding is available in fiscal year 2013, it will be distributed competitively, based upon individual program performance measures and demonstrated outcomes. In fiscal year 2013, criteria for grant award shall include matching funds or in-kind services provided by the grantee as well as a determination of need, based on the youth risk behavior assessment survey. **The department shall develop evidence-based prevention activities and a process for evaluating the performance of the grantees which shall be submitted to the joint fiscal committee in November 2011.**

II. Quarterly progress report on securing participation in joint purchasing agreements for pharmacy best practices and cost control program. [33 V.S.A. § 1998(c)(6)]

(c)(1) The commissioner may implement the pharmacy best practices and cost control program for any other health benefit plan within or outside this state that agrees to participate in the program. For entities in Vermont, the commissioner shall directly or by contract implement the program through a joint pharmaceuticals purchasing consortium. The joint pharmaceuticals purchasing consortium shall be offered on a voluntary basis no later than January 1, 2008, with mandatory participation by state or publicly funded, administered, or subsidized purchasers to the extent practicable and consistent with the purposes of this chapter, by January 1, 2010. If necessary, the department of Vermont health access shall seek authorization from the Centers for Medicare and Medicaid to include purchases funded by

Medicaid. "State or publicly funded purchasers" shall include the department of corrections, the department of mental health, Medicaid, the Vermont Health Access Program (VHAP), Dr. Dynasa  
**(6)The commissioners and the secretary shall report quarterly to the health access oversight committee and the joint fiscal committee on their progress in securing Vermont's participation in such joint purchasing agreements.**

III. Report on the federal "Money Follows the Person" grant for Independent Adult Living [Act 63, Sec. E.300(a) of 2011]

The secretary and the commissioner of disabilities, aging, and independent living **shall provide a report to the joint fiscal committee in November 2011** on the status of the federal Money Follows the Person grant and how any state savings resulting from the grant will be used to strengthen the home and community-based services that allow eligible Vermonters to remain in their homes as well as the financial impact the grant may have on Vermont nursing homes.

IV. Recommendation on base level funding for AIDS service organizations [Act 63, Sec. E.312(b)]

The commissioner of health in consultation with AIDS service **organizations shall report to the joint fiscal committee by November 15, 2011** on whether the base level of funding for AIDS service organizations should be revised in lieu of providing supplemental funding to these organizations from unexpended AIDS/HIV medication allocations.

V. Tobacco Prevention, Cessation and Control Program Annual Budget Recommendations [18 V.S.A. § 9505 (9)]

The board shall have all the powers necessary and convenient to carry out and effectuate the purposes and provisions of this section, and shall:

(9) conduct jointly with the secretary a review of the department's proposed **annual budget for the program**, including funds contributed from any outside sources that are designated for purposes of reducing tobacco use, and submit independent recommendations to the governor, **joint fiscal committee and committee on appropriations** of the house of representatives and the senate by October 1 of each year;

VI. Quarterly Report on the progress for completion of the Vermont State Hospital facility and development of a Secure Residential Recovery Program [Act 43, Sec. 31(f)(3) of 2009]

(f) The agency of human services shall submit the response of CMS, if any, or the fact that CMS has not responded to the request, to the senate committee on institutions and the house committee on corrections and institutions, the senate and house committees on appropriations, the senate committee on health and welfare, the house committee on human services, the joint fiscal committee, and the mental health oversight committee.

**(3) Outside the legislative session, the department of mental health shall provide quarterly updates to the joint fiscal committee and the mental health oversight committee on the progress toward completing the facility and developing the residential recovery program.**

Legislative:

Small Grants Quarterly Report [32 V.S.A. § 5(a)(3)]

(3) This section shall not apply to the acceptance of grants, gifts, donations, loans, or other things of value with a value of \$5,000.00 or less, or to the acceptance by the department of forests, parks and recreation of grants, gifts, donations, loans, or other things of value with a value of \$15,000.00 or less,

provided that such acceptance will not incur additional expense to the state or create an ongoing requirement for funds, services, of facilities. The secretary of administration and joint fiscal office shall be promptly notified of the source, value and purpose of any items received under this subdivision.

**The joint fiscal office shall report all such items to the joint fiscal committee quarterly.**

Miscellaneous:

Progress Report reflecting the outcomes and measures as applied to the projects funded under this section. [Act 40, Sec. 49(i) of 2011]

(i) The VTA shall ensure that any investments made or grants awarded under this section are in furtherance of the goals stated in 30 V.S.A. § 8060(b) and shall use the telecommunications measures established pursuant to No. 146 of the Acts of the 2009 Adj. Sess. (2010) (an act relating to implementation of challenges for change) to track the progress made in attaining those goals through such investments and grants. Beginning October 1, 2011, and for the next succeeding two years, on a quarterly basis, the VTA **shall submit** to the house committees on commerce and economic development and on corrections and institutions, the senate committees on economic development, housing and general affairs and on finance, and the **joint fiscal committee a progress report reflecting the outcomes and measures** as applied to the projects funded under this section. This report shall include location-specific information on the progress of deployment of telecommunications technology that does not require the utilization of towers.

Natural Resources:

Report on the status of recruitment for vacant game warden positions. [Act 63, E.702(a) of 2011]

(a) The commissioner of fish and wildlife **shall report to the joint fiscal committee on November 15, 2011** on the status of recruitment for vacant game warden positions.

Protections:

I. VT Fire Service Training Council reporting on status of training programs and expenditures. [32 V.S.A. § 8557(b)]

(b) The executive director of the division of fire safety shall, at the end of each fiscal quarter, prepare a comprehensive written report on the status of training programs and expenditures to date. **The report shall be submitted to the commissioner of public safety, the chairperson of the legislative joint fiscal committee when the legislature is not in session, and the chairperson of the house appropriations committee when the legislature is in session.** The department of public safety shall continue to provide budgeting, accounting, and administrative support to the Vermont division of fire safety as such was originally described in Sec. 98 of No. 245 of the Acts of the 1991 Adj. Sess. (1992).

II. Five-year projection of state trooper staffing needs [Act 63, Sec. E.209.1(a) of 2011]

The commissioner of public safety and the commissioner of human resources **shall provide to the joint fiscal committee in November 2011 a five-year projection** of the state trooper staffing needs that shows year by year the potential retirement vacancies based on age and years of service of current troopers and an update on actions planned or already under way that will address these staffing needs through improved recruitment and retention of state troopers.

III. Report on Effectiveness of Special Investigative Units [Act 63, E.206(a) of 2011]

The director of the state's attorneys **shall report to the joint fiscal committee and the house and senate committees on judiciary and appropriations by November 15, 2011** on issues related to the effectiveness of the special investigation units (SIU). The report shall be made in consultation with the

state and local law enforcement agencies, the department for children and families, and victims' organizations. The report shall include information by SIU about the number of investigations and referrals; the number of reported claims of abuse, entity who first responded to the claim, response time, percentage of those cases that were referred to SIU; and total funding including state, county, and local direct and indirect support. The report shall also specifically report by SIU the region covered by each SIU and the support each county and community contribute to the SIU. The report shall make recommendations for changes in structure and practice that would increase SIU effectiveness.

IV. Quarterly Report of costs and expenditures for proceedings of the Federal Energy Regulatory Commission [30 V.S.A. § 20(b)(9)]

(b) Proceedings, including appeals therefrom, for which additional personnel may be retained are:

(9) proceedings at the Federal Energy Regulatory Commission which involve Vermont utilities or which may affect the interests of the state of Vermont. Costs under this subdivision shall be charged to the involved electric or natural gas companies pursuant to section 21(a) of this title. In cases where the proceeding is generic in nature the costs shall be allocated to electric or natural gas companies in proportion to the benefits sought for the customers of such companies from such advocacy. The public service board and the department of public service shall report quarterly to the joint fiscal committee all costs incurred and expenditures charged under the authority of this subsection, and the purpose for which such costs were incurred and expenditures made;

# Joint Fiscal Office

1 Baldwin Street • Montpelier, VT 05633-5701 • 802) 828-2295 • Fax: 802) 828-2483

## MEMORANDUM

To: Senator Ann Cummings, Chair; Representative Martha Heath,  
Vice Chair; and Members of the Joint Fiscal Committee

From: Stephen Klein, Chief Fiscal Officer

Date: November 1, 2011

Subject: November 2011 – Fiscal Officers' Report

What follows is an update of Fall developments – some of which will be part of the November Fiscal Committee meeting.

1. **FY 2012 Revenues.** After the first four months of the fiscal year, revenue collections in the General Fund have remained above forecast. Through October, the General Fund was up 2.5% or \$10 million with most of this due to strength in the corporate income tax. Some of this may be activity coupled with subsequent refunding. Meals and rooms revenues continue to exceed targets with sales and use tax just below targets. Income tax revenues continue tracking just above target with October seeing a weakening in withholding tax.

The Transportation Fund revenues are below forecast at \$1 million or 1.3%, which is primarily due to weakness in the purchase and use tax. The Education Fund revenues are below forecast at \$1.2 million or 2.3% - also due to purchase and use tax receipts being lower and lottery revenues not yet showing strength. However, this may change with the high prize levels which may boost sales.

Tom Kavet reviewed the November revenues and indicated that most of the corporate revenue “lead” will disappear in November, due to refund timing. For this reason he reads General Fund revenues through October should be considered as “up about \$2 million (not up \$10 million)” which is essentially right on target. He classifies the Transportation Fund and Education Fund as also essentially on target. Finally, he added “I am pleased that meals and rooms taxes stayed on or slightly above target, given the potential Hurricane losses to tourism, but weakness in consumption taxes such as motor vehicle purchase and use tax and sales and use tax bear close watching, given the negative economic externals right now.”

2. **Gap analysis.** In October we completed a consensus GAP analysis [http://www.leg.state.vt.us/JFO/appropriations/fy\\_2013/FY13\\_Gap\\_Oct\\_Consensus.pdf](http://www.leg.state.vt.us/JFO/appropriations/fy_2013/FY13_Gap_Oct_Consensus.pdf) with the Administration. We estimated a shortfall between expected revenues and actual projected expenditure pressures at \$74.5 million or 6

percent of our FY 2012 Budget. The estimate is a point of time in that numbers continue to change and will change up through January; while we will not be changing the gap the changes on the spending side have been problematical. Several are:

- a. The transfer from the General Fund to the Education Fund has been recalculated based on new state and local price index estimates and has risen to \$6.1 million from \$1.6 assumed in the gap sheet.
- b. The actuary's recommendation for state teachers' retirement and the estimates for teacher retiree health care were higher than anticipated. We will have the Treasurer at the meeting to talk about the pressures in this area.
- c. The annual cost of Irene flood-related building rentals is estimated at \$3.2 million, up from the estimate we used of \$2.5 million.
- d. On the other hand, the state is able to collect some Medicaid match with the closure of the state hospital and the alternative placements being Medicaid-eligible. This money is offsetting some of the transition cost.

Where no increases are mentioned in the gap analysis, it is assumed that the budgets will be level year over year. There is no trend growth in this analysis. Also, with the flood damage raising expenditure needs and possibly impacting revenues, and the uncertainty of federal participation and federal resources, this gap analysis is just a guide.

Some states have resolved their FY 2013 issues through their two-year budgets while other states have not made projections. In August, NCSL published a survey of states with total budget gap projections for FY 2012 of \$89 billion and for FY 2013 of \$32 billion. Of the 21 states reporting budget gaps for FY 2013, Vermont's estimate was the fourth lowest.

The Gap analysis also outlines the key FY 2012 budget adjustment pressures.

3. **Education Finance Study.** Larry Picus and Associates have made their first two visits to Vermont and have carried out three school case study visits. Two more are being scheduled at this time. The additional case studies are White River elementary and Bethel's Whitcomb High School. Allen Odden is the primary person in the case study work. The second of the public hearings is scheduled for November 15<sup>th</sup> and as with the previous one, it will involve school-based hearings in the afternoon at 7-10 sites and then a VIT hearing in the evening.
4. **Education Tax Rate Projection.** On December 1, the Commissioner of Taxes will release a projected tax rate for FY 2013. A number of changes in the Education Fund balance have helped reduce the potential increase of the tax rate. Based data at this point, the increase may be from \$.01 - \$.02. If the base on education payment does not rise as much as required by current law, a zero increase may be obtainable. Mark will go over this at the meeting.

5. **The tax abatement proposal.** The department of taxes has proposed a methodology for abatement of state education tax due to flood-related damage. The abatement would be targeted at individuals who had more than 50% loss of use for a period of three months. Details are available at <http://www.leg.state.vt.us/JFO/education/Irene%20Abatement%20Info%20Sheet.pdf> The House Committee on Ways and Means has taken a committee vote to allow the commissioner to put such an approach in place, and it will come before the legislature during the upcoming session.
  
6. **LIHEAP Funding.** We remain uncertain about the LIHEAP funding level. As of 10/3, The House funding would have brought an average full-season fuel oil benefit of \$711, the Senate \$765. Both are below last year's average full-season benefit of \$866. The estimates are that prices this heating season will be about 8% above last year.
  
7. **Vermont State Hospital Planning.** The administration appears to be moving forward with some medium term actions on the Vermont state hospital. Under consideration is an expansion of the capacity of the Brattleboro Retreat to a 14-bed facility. It has not signed a contract, but would like to reach an agreement relatively soon. To that end, it is trying to determine the role of the General Assembly and the Emergency Board in this process. There would be some capital costs involved, but FEMA funds might help to pay for these. It is also looking for interim secure residential units and is examining other options around the state.
  

**Act 48 Health Cost Study.** Act 48, the health care bill, requires BISHCA and the Legislative Joint Fiscal Office to issue a second report on cost estimates of the health care reform initiative in November. The report was issued as required on November 1 and is available on the Joint Fiscal Office Website. The report describes a health care base cost growth trend averaging 7.1% through 2020 with potential savings from that trend of up to 18.3%. The report is built with an analytical model we hope to make available on the web at some point. The report outlines the issues and estimate savings within ranges. Much of the actual savings amounts will depend on state and federal health care actions as the work on Act 48 progresses.

  
8. **Retirement costs.** Both the state teachers' and state employees' retirement systems made a number of changes this year which will have the impact of increasing payment obligations to the funds. First, mortality rates were updated to reflect the longer lives that participants are benefitting from. Second, the investment return assumptions were reduced to an average return of just below 8%. These changes were, in part, offset by strong market returns but in total they have dramatically increased the state's payment obligation. The teachers' fund will experience a \$9.1 million increase in the actuary's year over year request and a \$3 million increase in the need to pay in additional retiree health care costs. The state employee increases are less but still represent an upward

pressure. The funded ratio in the teachers' system has reached the lowest point in over 15 years at 63.6% funded. The state employees' system is just above FY 2009 levels at 79.6%. The practice of taking the retired teacher health care costs out of the annual payment to the system serves to retard the funding level. The Treasurer will be at the meeting to give the committee an update on this.

9. **Transportation Infrastructure Bond (TIB) capacity.** Based on lower interest rates for bond issuance and higher receipts and projections of the TIB funds, it is likely that there is an additional \$83.5 million in capacity for bond issuance from this source. This could prove a useful element of meeting the flood-related funding needs.
10. **November 10<sup>th</sup> legislative briefing.** As you are aware, there will be an all-legislature briefing on November 10<sup>th</sup>. The briefing will cover flood-related responses, the budget gap projection and budget building process, and updates on health care and energy-related issues. The briefing agenda is available at <http://www.leg.state.vt.us/JFO/misc/Legislative%20Briefing%20Preliminary%20Agenda.pdf>
11. **The PEW Foundation evidenced-base budgeting initiative.** The staff of the Joint Fiscal Office, some members of the administration, and members of the committees on appropriations has been meeting with the PEW foundation to potentially participate in the use of its evidence-based budgeting model initiative. Pew is developing a model, based on the work of the Washington State Institute for Public Policy to help state's estimate the effectiveness of programs and initiatives as part of the budget process. The appropriations committee chairs and key members are exploring the use of this system initially in the criminal justice area. The Pew team is scheduled to meet with the Committee on Government Accountability on November 7<sup>th</sup>. The administration does have a concern that it not interfere with what it perceives is a difficult year in that staff are dealing with the budget gap and the flood recovery. Assuming this project moves forward, we would most likely hire a consultant to help with this project and use existing Joint Fiscal Office carry-forward to do so. We expect to have more information available on this initiative shortly.
12. **Joint Fiscal Office Updates:**
  - a. Jeremy Fonte is back from Medical leave.
  - b. Maria, Stephanie, and Nathan of our staff continue to work with the fifth floor staff on the development of the new budget system. The hope is that we can integrate budget documents for both branches and have it be more useful to departments. We are also developing a program budget format for the Joint Fiscal Office as a test case to provide a sense of

what a program-based budget should look like. A draft should be ready by the end of November.

... B.3  
and last page  
B.4.

## *FY 2012 & FY 2013 Vermont Budget Development Context November 10, 2011*

*Legislative Joint Fiscal Office  
1 Baldwin Street  
Montpelier, Vermont 05633-5301*

*802-828-2295*

*<http://www.leg.state.vt.us/jfo/>*



## *The Budget Context*

*Floods, Feds & Fluctuations = Fiscal Fitfulness*

- ◆ *Budgeting in an uncertain environment*
- ◆ *The federal context is unclear*
- ◆ *We are not alone – most other states are in similar positions*

## Federal Uncertainty Remains

- ◆ Federal FY 2012 budget not in place
  - Operating under a continuing resolution through November 18th
- ◆ *Joint Select Committee on Deficit Reduction* has yet to report with a pre-Thanksgiving deadline
  - May take a while to enact
- ◆ Policy uncertainty in federal health care reform
- ◆ Uncertainty in federal transportation funding level – risk for VT

### ◆ The Federal Budget Deficit

- The FFY 2011 federal deficit was about \$1.3 trillion, the same dollar amount as in FFY 2010
- This represents 8.6% of GDP, down from 8.9% GDP in FFY 2010

### ◆ Federal Revenues

- In FFY 2011 federal revenues = \$2.303 trillion, \$141 billion more than last year... 6.5%
- Federal Income Tax Growth:
  - ◆ Income withholding and payroll taxes up 4% - even after payroll tax cut in January 2011
  - ◆ Paid income and payroll taxes up by 16%, most from higher final 2010 payments filed in early 2011
  - ◆ Unemployment insurance tax receipts up by \$12 billion as states replenished trust funds
  - ◆ Refunds of individual income taxes down by \$22 billion, or 8%

Source: CBO 11/7/2011



## Other States In Similar Position

- ◆ State year end balances
  - 5.5% with Alaska and Texas
  - 3.5% without
  - Vermont 5% plus 2.5% in caseload reserve
- ◆ State Budget Gaps declining (Aug 2011)
  - FY 2012 Gap \$91 billion
  - FY 2013 Gap \$32 billion
  - FY 2014 Gap \$12 billion
  - In NE 2-year budget states report FY 2013 gap resolved (CT, ME, NH), MA and RI report gaps
  - FY 2014 gaps in RI and VT, other states' gaps not yet reported

Source: NCSL Aug. 2011

## FY12 Budget Adjustment Act (BAA)

### Helped by:

- ◆ \$9-10 million in Medicaid utilization savings
- ◆ \$31 million avail. caseload reserve – **onetime!**
- ◆ \$10.9 million set aside for federal impacts

### BAA pressures include

- ◆ \$6.8 million onetime flood costs – **maybe more**
- ◆ \$3.6 million in ANR-related, F&W, PCF, other
- ◆ \$3.5 million corrections pressures
- ◆ \$6.2 million renter rebate/fund needs/unmet savings targets, other

## FY13 Projected GF Budget Gap \$74.5 million

- ◆ FY13 revenue is \$41.6m more than FY12
- ◆ Spending demands total \$116m
  - \$13m in FY12 base expense increase
  - \$13.6m annualization of FY12 onetime fund usage (\$7.6m medical SF, \$6m tobacco funds)
  - \$19.6m related to FMAP rate change
  - \$26m related to Medicaid program costs: base growth and autism mandate
  - \$25m retirement obligations & state personnel costs
  - \$ 7m technology replacement
  - \$ 8m required transfers (\$6m EF, \$2m reserves)
  - \$ 4m rest area funding pressure

## The Education Fund and the Decreasing Grand List

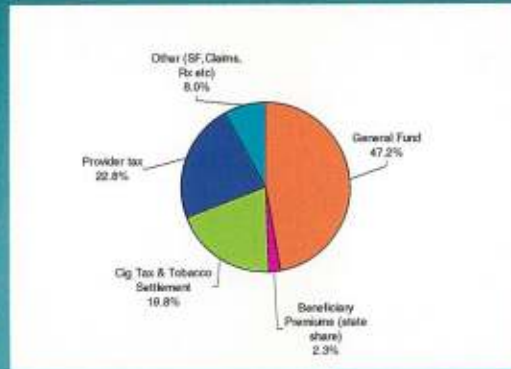
- ◆ Through FY 2014 Vermont continues to see declining grand lists
- ◆ Student counts continue to decline through 2015
- ◆ Due to onetime revenues and lower costs, and depending on base payment change it is possible the property tax increase can be kept to between flat and two cents
- ◆ As the grand list falls, tax rate increases will not impact taxpayers. To the extent any rate change is due grand list change, it is a wash in terms of total taxes paid



# Medicaid

- ◆ Medicaid is a joint federal and state program
- ◆ Covers health care, long term care, mental health, developmental services, and other services for low income and disabled populations
- ◆ Vermont total program expenditure in FY12 is approx. \$1.4 billion
- ◆ In FY12, the state share is 42% (\$571m + certified)
- ◆ In FY13, state share will rise to 43.5%

FY12 As Passed  
Medicaid State Funding Sources



# Medicaid

- ◆ While total health care costs in Vermont are expected to grow by an average 7.1% rate, the Medicaid program has seen program expenditure growth below expectation at 4.25% in FY10 and 3.11% in FY11
- ◆ The FY12 BAA anticipates reducing appropriations as a result of the new lower base
- ◆ The projected growth in the program for FY13 is just under 3% for caseload and utilization combined
- ◆ Funding pressures persist in FY13 and beyond:
  - A change in the match rate is shifting \$20 million of cost to the state from the fed's share with no program change
  - Vermont's autism mandate will add \$10 million in state cost
  - The program relies on tobacco-related funds projected to decrease and provider taxes under pressure from the feds



## Pensions and Retirement (1)

- ◆ Investment returns for FY11 for the combined pension funds: 20.9% for FY2011
  - Actuarial smoothing defers some of the positive return to later years
  - Market values of assets exceeded actuarial value of assets as of 6/30/11 which provides a cushion for lower returns in upcoming years
- ◆ This year, experience studies “reset” actuarial assumptions, increasing FY13 contributions. The assumed interest rate moved down from 8.25% (effective rate for VSERS 8.1%, 7.9% for VSTRS)

### State employees (VSERS):

- ◆ Using revised assumptions, the FY10-funded percentage is 82.1%. FY11 results are 79.6%
- ◆ The actuarial request went up, largely due to interest rate assumptions 2/3 impact and demographic changes 1/3 impact
- ◆ Employee contributions were raised by an additional 1.3% for all plan members in FY 2011, and are projected to raise an additional \$5.3 million in employee contributions, reducing the growth employer contributions accordingly
- ◆ The FY 2013 recommended is \$37,081,933 as compared with \$31,287,864 in FY 2012 - an increase of 18.5% year over year

## Pensions and Retirement (2)

### State Teachers (VSTRS)

- ◆ Using revised assumptions, the FY11-funded percentage is 65.1%. FY12 results are 63.8%
- ◆ The funded ratio change is largely due to the interest rate changes; actual retirement experience; and the method of funding retiree health care
  - Retirements increased. In all there are 860 more retirees and beneficiaries than last year
  - Retiree health care costs continue to come from retirement contributions lessening the impact of the state contribution to the retirement fund
- ◆ Teachers absolute numbers are declining: The number of active teachers as of June 30th of each year reached a high of 10,799 in 2009, declining to 10,123 in 2011
- ◆ The FY 2013 recommend is \$60,182,755 as compared to \$51,242,932 in FY 2012 - an increase of 17.5% year over year
- ◆ Long-term funding for state employee's & teacher's retiree health care costs remains a major issue



November 8, 2011  
Joint Fiscal Committee

### **Tax Computer System Modernization Fund**

Modernized compliance projects dramatically reduce tax gap and 80% of the net receipts fund modernized efficiencies in tax processing.

#### **Overview**

- Original four-year in-house non-filer program funded first phase of cutting edge enterprise tax management (ETM) platform.
- Transitioning to vendor data warehouse to fund additional implementation towards goal of retiring the Department's legacy processing systems.

#### **Tax Processing Systems Circa 2010**

- 1980 mainframe: corporate income tax, 22 miscellaneous taxes
- 1998 advantage revenue: personal income tax, business trust taxes
- 1998 CACS-G: collections

#### **2007-2011 Department of Labor Non-Filer Program/Oracle ETM Purchase**

- Matching DOL data brings over 7,450 non-filers into compliance
- \$12.3M in taxes, interest and penalties
  - \$3.5M (20%) to GF
  - \$7.8M fixed price contract Oracle ETM platform, conversion of corporate and collection processing
  - \$2M forward to support new data warehouse, ETM upgrade in FY12
- ETM went live in fall of 2010
  - Corporate return processing 11 months (from 18 months); CACS-G retired

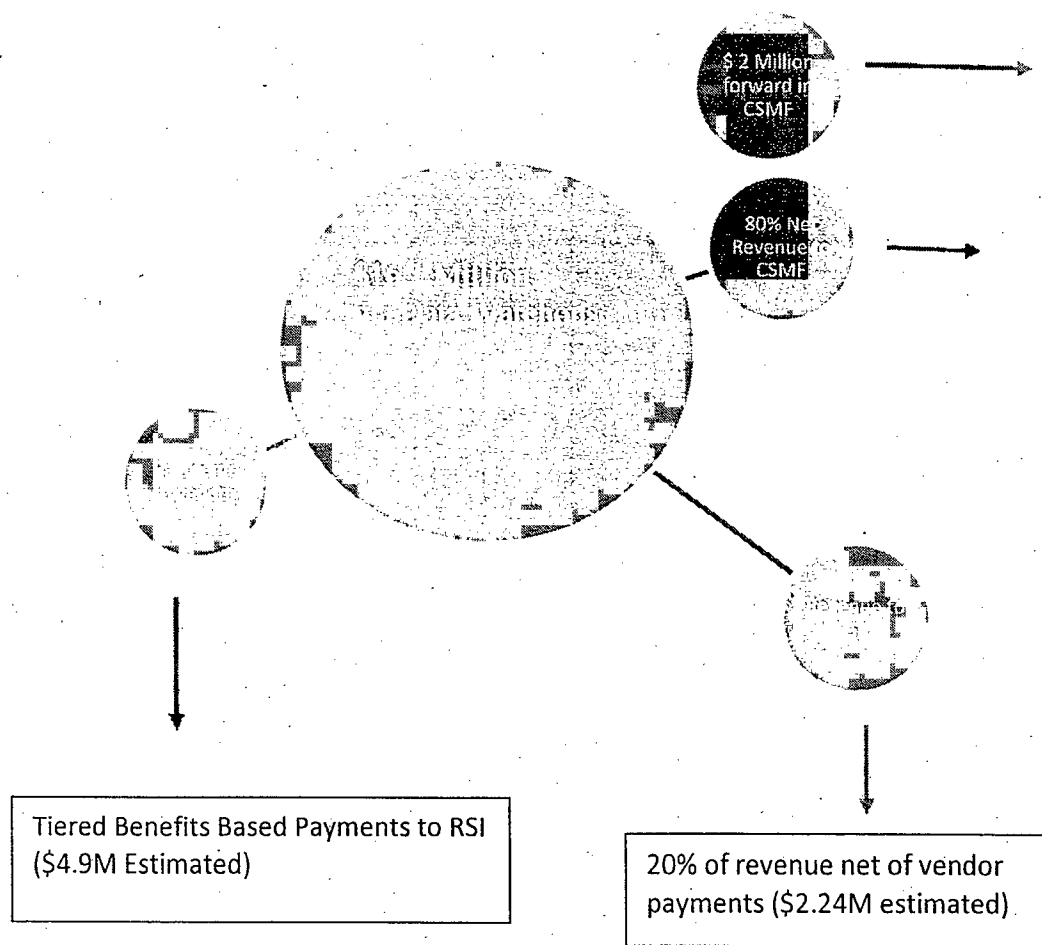
#### **2012-2016 Data Warehouse Program/ETM Upgrade FY12**

- RSI brings best practice from numerous other states, Discover Tax Software
  - non-filer, refund review, audit selection, collection scoring, filing discrepancies
- Live in January 2012
- est. \$16.1M through 2016
  - est. \$4.9M in tiered benefit based payments to RSI
  - est. \$2.24M to GF through 2016
- Expenditures towards data warehouse
  - DII equipment purchases (\$316,000 plus annual)
  - DII telecom, including additional ACD lines and recording (\$85,000)
- Expenditures toward ETM upgrade
  - Oracle service contract pending recruit of 3 IT FTEs
  - DII equipment purchases (est. \$300,000 plus annual)
  - Technical upgrade to latest version of ETM (est. \$300,000)

#### **Next Steps Towards Retiring Legacy Tax Processing systems**

A functional upgrade in FY13 will implement the latest features of ETM. The Department will consult with DII to review the current ETM plan for other tax types, as well as alternatives, and return to the legislature in 2013 session for next appropriation.

## Tax Computer System Modernization Fund Present State after Passage of Act 63 of 2011



- ❖ System Enhancements to Further Data Warehouse
  - DII equipment purchases to support data warehouse (\$316,000 plus annual)
  - DII telecom, including additional ACD lines and recording (\$85,000)
- ❖ ETM Upgrade
  - Oracle service contract pending recruitment of 3 IT FTEs
  - DII equipment purchases to support technical upgrade (est. \$300,000 plus annual)
  - Technical upgrade to latest version of ETM (est. \$300,000)
  - Functional upgrade to implement newest features of ETM (est. \$300,000 FY13)
- ❖ Next Steps Towards Retiring Legacy Processing Systems
  - In FY 13, consult with DII to review current ETM implementation plan for other tax types and alternatives
  - Return to Legislature 2013 session with plan and request for appropriation from fund for FY14 through FY18 sunset

Note: \$7.5M appropriation to Tax Department through FY13 includes vendor payments under data warehouse contract

## Reimbursement for Abatements within Federally Declared Disaster Zones

Mary Peterson  
11/8/2011  
5.b.

### Abatement Process for Taxpayers

- Taxpayer applies for abatement through traditional local abatement procedure.
- Abatement granted by the local jurisdiction.
  - Taxpayer does not owe portion of tax abated.

### Abatement Process for Boards of Abatement

- Local Boards of Abatement must make four findings in order to receive State reimbursement for abatement of the State Education Property Tax. These findings involve four questions, and each must be answered yes for the abatement to be reimbursed.
  - Is the property damage due to the 2011 federally declared disasters?
  - Did the local board of abatement proportionately abate city/town municipal taxes on the property?
  - Did the primary structure on the property suffer at least a 50% loss in value?
  - Did the property owner lose use of the primary structure for at least 90 days?
- Abatement must occur by April 15, 2012

### What may be Abated

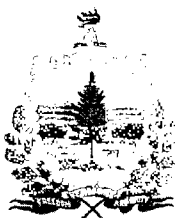
- The abatement must be on the net taxes due after State property tax adjustments. The abatement can only cover what the taxpayer would have paid.
- The abatement must only cover the taxes for the portion of the tax year during which the use was lost.

### Abatement Reimbursement Process for Local Jurisdictions

- The Tax Department will provide local jurisdictions with the forms to apply for reimbursement.
- Local jurisdictions must attach written findings made by the local Board of Abatement to the application, and these findings must reflect all four requirements. The Director of PVR will certify from the written decision whether the criteria were met in each case, and such certification is final.
- Reimbursement will only be available for abatements granted by local jurisdictions by April 15, 2012, and application forms must be received by the Tax Department by May 1, 2012.
- A town may submit an application for reimbursement prior to April 15; however, you may only file once. Amendments will not be accepted.
- The Tax Department will rule on reimbursement within 30 days of receipt of the application, and payment will issue no later than 60 days after receipt of the application.

### Special Note for Local Jurisdictions on Education Payments and Interest

- Towns are required to make all regularly scheduled education payments for this year pursuant to 16 VSA Section 426 and 32 VSA Section 5402.
- The application forms additionally will provide for towns to demonstrate unanticipated loan interest incurred due to a disruption in collections related to the extraordinary abatements. The Tax Department will include in its reimbursement approved interest, not to exceed 3% interest on the reimbursed abatement amount, for a period not to exceed 7 months.



## State of Vermont

## AGENCY OF HUMAN SERVICES

Department for Children and Families  
Economic Services Division  
OFFICE of HOME HEATING FUEL ASSISTANCE  
103 South Main Street  
Waterbury, VT 05671-1201  
1-800-479-6151  
(802) 241-1165  
FAX: (802) 241-1394

# MEMORANDUM

**To:** State of Vermont Joint Fiscal Committee  
**From:** Richard Moffi, Fuel Assistance Program Chief  
**Subject:** LIHEAP Seasonal Fuel Assistance Projections for FFY2012  
**Date:** November 8, 2011

### LIHEAP Funding Proposals and Average Full Season SF Benefit

Obama Budget:	National \$1.9 billion	Vermont \$11.6 million	Avg. Benefit \$373
House Budget:	National \$3.4 billion	Vermont \$18.7 million	Avg. Benefit \$694
Senate Budget:	National \$3.4 billion	Vermont \$20.0 million	Avg. Benefit \$750
VT Wx Loan	Obama \$11.6 billion	+ Wx Loan \$2.5 million	Avg. Benefit \$474

### "What If" ... Additional Block Grant Funding

#### If House Budget:

Return \$2.5 million to Wx Trust Fund

Issue Fuel Liability Bonus Benefit of \$220    **Total Benefit = \$694**

#### If Senate Budget:

Return \$2.5 million to Wx Trust Fund

Issue Fuel Liability Bonus Benefit of \$276    **Total Benefit = \$750**

### Economic Services Division Fuel Application Processing

Applications and Eligibility. From early July to close-of-business November 1, 2011:

ESD had received 39,498 applications    (now receiving about 900 per week)

Processed 36,870 (93%)    (now processing over 1,100 per week)

Eligible 31,234 (85%)

Denied 5,636 (15%)

Pending 2,628

### November Benefit Issuance

The Fuel Office will issue benefits to fuel suppliers Tuesday night November 15.

An estimated 21,000+ households will receive a benefit in that run. Client lists are mailed to dealers Wed Nov 16 and benefit letters are mailed to the clients two days later.

11/8/2011

R.Moffi ESD Fuel Office  
November 7, 2011

**Representative Heath Asked:** *How much is needed under the various Washington budget scenarios to get the average benefit to last year's amount of \$866?*

Obama Budget - need \$11.7 million

House Budget - need \$4.0 million

Senate Budget - need \$2.7 million

**Follow-Up Question by Fuel Chief Moffi:** *How much is needed to equal the "purchasing power" of last year's average benefit?*

\$866 average benefit in the winter of 2010-2011 purchased 262 gallons  
Average winter price per gallon was \$3.30 after 5 cent discount

\$1,022 average benefit for the winter of 2011-2012 to purchase 262 gallons  
Average winter price per gallon projected at \$3.90 after 10 cent discount

Obama Budget - need \$14.9 million

House Budget - need \$7.8 million

Senate Budget - need \$6.4 million

State of Vermont  
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312 Hurricane Lane, Suite 201  
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Agency of Human Services  
dvha.vermont.gov

**Health Reform Request for Proposals (RFP)  
and Electronic Health Record Incentive Payment (EHRIP) Program**  
*Update for Joint Fiscal Committee – November 8, 2011*

- Medicaid Enterprise Solution (MES)
  - Formerly called: Medicaid Management Information System (MMIS)
- Health Benefit Exchange – aka Health Insurance Exchange (HIX)
- Vermont's Integrated Eligibility Workflow System (VIEWS)
  - Replacement of the Agency's legacy financial & benefit eligibility system, ACCESS
  - Will address the functional needs of our Health Insurance Exchange (HIX)
- Health Reform IT & Health IT Portfolio Management ("the Portfolio")
  - State has partnered with The Action Mill working on change management, communication planning, and development of a "Roadmap" detailing IT and business requirements, system interdependencies, timing, sequencing, and decision points.
  - An early iteration of the Roadmap will be included as part of the Act 48, Sec. 10 requirement for an updated Vermont Health IT Plan, due January 15, 2012.
  - RFP(s) for HIX and VIEWS will be released during calendar quarter 1 of 2012
    - This is when AHS will have required information and guidance from CMS
    - AHS will have information from Fed/State partners in regard to leveraging services
  - RFP(s) for one or more components of the MES will be issued based on identified timing issues and decisions made through the Roadmap process.
- Centers for Medicare and Medicaid (CMS) approved Vermont's initial Planning Advance Planning Document (PAPD) for MES and Portfolio work. This PAPD was recently updated and submitted to CMS and that approval is pending.
  - Funding for MES components & implementation is a 90/10 Federal/State match rate
  - Funding for Portfolio work is paid for from the MES PAPD that was already approved
- CMS previously approved an Implementation Advance Planning Document (IAPD) for VIEWS work. This IAPD is in the process of being updated.
  - Funding for VIEWS was originally at a 48/52 Federal/State match rate
  - Recent Centers for Medicare and Medicaid (CMS) rules increased this rate to 90/10 for eligibility system development and implementation
  - Portions of Insurance Exchange work is 100% Federal match
- CMS approved our Implementation Advance Planning Document (IAPD) for the Electronic Health Record Incentive Payment (EHRIP) program. (\$3,664,326 at 90/10)
  - Projected incentive payments to be paid out in the amount of \$32,330,000 at 100% Federal Financial Participation (FFP))
  - Department of Vermont Health Access (DVHA) needs approval by Joint Fiscal Committee (JFC) to begin making these payments
    - Governor is planning a press conference to announce the payments
- CMS is reviewing our complete State Medicaid Health Information Technology Plan (SMHP) Implementation Advance Planning Document (IAPD) which includes funding to expand the Health Information Exchange; to develop a Provider Directory; for a Public Health Data Warehouse; for an Immunization Registry and Syndromic Surveillance; for Telemedicine development; and for Medicaid support of e-Prescriptions.

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Agency of Human Services

**Health Benefits Exchange Planning Grants  
Update for Joint Fiscal Committee  
November 8, 2011**

**FFY 11 Exchange Grant: Complete Background Research**

- DVHA received \$1 million in federal funds for Exchange planning activities from 10/1/10 through 9/30/11
- DVHA received approval for a no-cost extension through 3/31/12 to complete additional tasks

**FFY 12 Exchange Grant: Design Systems & Processes**

- DVHA applied for a Level 1 Establishment Grant on 9/28/11 in the amount of \$18 million
- DVHA submitted answers to questions from the Department of Health & Human Services (HHS) on 11/1/11
- HHS will issue their decision before the end of November
- DVHA released a Request for Proposals on 10/27/11; bids from vendors are due 11/30/11
- Tasks to be funded under this grant include the design of:
  - Exchange business functions, including a call center and financial management
  - IT systems
  - Small Business Options Program (SHOP) Exchange
  - Certification process for Qualified Health Plans
  - Risk-leveling programs for private insurance plans
  - Outreach, education, and marketing plan
  - Navigator program
  - Stakeholder input
  - Administrative simplification plan
  - Quality program and rating system for plans to be offered on the Exchange
  - Wellness programs

The grant application also includes funds for positions in DVHA and other departments.

**FFY 13-15 Exchange Grant: Build & Implement the Exchange**

- DVHA will apply for a Level 2 Establishment Grant in June of 2012
- Funding under this grant will extend through 12/31/14
- The Exchange must be self-sustaining beginning 1/1/15



## DEPARTMENT OF CORRECTIONS DISTRIBUTION OF REINVESTMENT FUNDS

Dated: November 8, 2011

During Fiscal Years 2009 through 2011 the legislature made \$6,350,500 available for programmatic reinvestment to help reduce the needs for out of state beds and reduce recidivism. The following outlines where the Department has invested these funds:

- \$2,674,000 – Transitional Housing These funds enabled the Department, in collaboration with community partners, to provide the following services:
  - ✓ Work with twelve partners – some participating in more than one project.
  - ✓ When all projects are fully implemented the Department's transitional bed capacity will be increased by a minimum of 151 beds.
  - ✓ The Department was able to increase Housing Specialist resources resulting in additional help to offenders in finding suitable housing.
  - ✓ The Department was able to increase the amount of housing assistance for individuals in the form of rent subsidies.
- \$650,000 – Invest in Community Justice Centers and like programs. Below is the breakdown:
  - ✓ Grant funding to 17 communities – The needs of the community determines the services funded. Types of services supported by these funds are as follows:
    - ❖ Reparative Probation Services
    - ❖ Circle of Support and Accountability
    - ❖ Classroom employment readiness training
    - ❖ Case management and community resource navigation
    - ❖ Establish Reentry Resource Centers
    - ❖ Housing referral, coordination and supports
    - ❖ Establish Restorative Citizen Boards
- \$2,116,000 – Program Services These funds enabled the Department to expand and/or initiate new programs in the areas of substance abuse, vocational training, treatment programs within our facilities, and increase community service providers. The following identifies these initiatives:
  - ✓ A Discovery Program is now located at Northern State for 26 males under the age of 28. We continue to provide substance abuse services at both Caledonia and Southeast.
  - ✓ Contract parity for VTPSA therapists was achieved, as necessary, to obtain and retain qualified professionals.
  - ✓ Program Services is working with Transitional Housing in exploring the placement of 20 female beds in the Franklin County area for a residential treatment component for ISAP.

- ✓ The Department has entered into agreements with Department of Health/ADAP for the following services:
    - ❖ Increase substance abuse treatment providers in the Burlington, Rutland, Newport, and Barre areas;
    - ❖ Develop additional public inebriate beds in Lamoille and Washington counties; and
    - ❖ Additional funding for Recovery Centers.
  - ✓ The Department has also entered into agreements with the Court Administrator's Office to provide the following:
    - ❖ Support/Increase community service providers to include diversion and case management in Washington County
    - ❖ To support the Sparrow Project
      - The department has increased its Cognitive Self Change and Incarcerated Domestic Abuse programming at Northern State by 2 group tracks for each program.
  - \$910,500 – Invest in electronic monitoring equipment and increase Field Service Staff. Below is the breakdown:
    - ✓ \$360,000 – Purchase and rental of electronic equipment;
    - ✓ The remaining funding supports the following positions:
      - ❖ 3 FTEs – Correctional Service Team Leaders – Barre, Burlington, and St. Albans
      - ❖ 1 FTE – Correctional Services Specialist I – St. Johnsbury
      - ❖ 1 FTE – Field Services Compliance Monitor – Central Office
      - ❖ 1 FTE – Corrections Program Supervisor – Barre
      - ❖ 1 FTE – Community Re-Entry Coordinator – Sex Offenders – Burlington
-



**Department of Finance & Management**  
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*Agency of Administration*

## MEMORANDUM

**To:** Joint Fiscal Committee; House and Senate Committees on Government Operations and on Appropriations.  
**From:** James Reardon, Commissioner of Finance & Management  
**Date:** October 27, 2011  
**Subject:** Report on FY 2012 Pay Act Allocations (per 3 VSA Sec 2281(4))

The FY 2012 Pay Act included \$556,500 for non-salary items specified in the FY 2011-2012 State of Vermont/VSEA labor agreements (dependent care, tuition reimbursement) and contract implementation costs, as well as \$350,000 for costs incurred from health insurance claims assessments, pursuant to 8 VSA Sec. 4089l. The FY 2012 Pay Act total of \$906,500 general fund was appropriated in 2011 Act 63 Sec. B. 1102 (a).

\$556,500 was approved for distribution to the Department of Human Resources on July 27<sup>th</sup>, 2011. There are sufficient funds in the employee medical and dental insurance programs to cover the costs of the health insurance claims assessments and the Administration will propose in the FY 2012 Budget Adjustment that the \$350,000 appropriated for this purpose revert to the General Fund.



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*Jim Reardon, Commissioner*

## MEMORANDUM

**TO:** Joint Fiscal Committee  
**FROM:** Jim Reardon, Commissioner of Finance & Management  
**DATE:** October 26, 2011  
**RE:** Excess Receipts Report – 32 VSA Sec 511

In accordance with 32 VSA Sec 511, please find attached the report on Excess Receipts approved for the first quarter of FY 2012.

Attachment



EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO SEPT 30 2011							
VT_EXCESS_RECEIPT_RPT	80						
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Buildings & Gen Serv-Capital	Vet's Home-HVAC Renovations	082000200	7/26/2011	22005	Federal Revenue Fund	1,236,609.76	This is to re-establish spending authority for the unspent balance as of 6/30/11.
Buildings & Gen Serv-Capital	Public Safety-Various Projects	0904300110	7/22/2011	21500	Inter-Unit Transfers Fund	614,414.41	This request is to re-establish spending authority for the unspent balance as of June 30, 2011.
Buildings & Gen Serv-Capital	State Buildings-Various Proj	1016100010	7/26/2011	21502	ARRA Inter-Unit Subaward Fund	1,799,567.43	This request is to re-establish spending authority for the unspent balance as of 6/30/11.
Agency of Admin Sec Office	Secretary of Administration	1100020000	7/19/2011	22005	Federal Revenue Fund	17,073,832.08	Additional money for the Education Jobs Fund grant. Act 3 Sec 56 FY11 BAA
Agency of Admin Sec Office	Secretary of Administration	1100020000	7/19/2011	22040	ARRA Federal Fund	2,091,455.29	ARRA - Funds were provided by the fed Gov't as part of the American Recovery & Reinvestment Acts of 2009 to stabilize state and local gov'ts. This request is to re-establish the spending authority for the unspent balance as of June 30, 2011.
Finance & Management	Dept of Finance and Management	1110000000	9/15/2011	21975	Armed Services Scholarship Fnd	4,358.00	Some of the money is transferred in from the MIL dept and the rest is transferred from VSAC's Next Generation approp. Spending Authority is approved solely through excess receipts.
Finance & Management	Budget Development System	1110003500	7/19/2011	21005	FMS System Development Fund	350,000.00	Act 3 of 2011 Sec B.1103(a) \$3,500,000 in GF were designated for implementation of the new Budget Development System w/additional \$1,222,158 other funds. Spend. Auth. required to pay current obligations.
Finance & Management	Vt Council on the Arts	1110013000	8/9/2011	21445	Art Acquisition Fund	36,500.00	Requested amt based on expected expenses.
Finance & Management	VEDA Grants	1110022000	9/22/2011	21555	Emergency Relief & Assist Fd	800,000.00	For transfer to the Vermont Arts Council.
Finance & Management	VEDA Grants	1110022000	8/9/2011	21555	Emergency Relief & Assist Fd	1,000,000.00	Per E-Board minutes of 9/13/11, the board voted to expend \$800,000 from the ERAF for the tropical storm Irene loan program to be administered by VEDA in accordance with 20 VSA 45 (b).
Finance & Management	VEDA Grants	1110022000	8/8/2011	21555	Emergency Relief & Assist Fd	1,000,000.00	FY2012 BAA transfer from GF
Libraries	Department of Libraries	1130030000	7/18/2011	21015	Elva S Smith Bequest	27,000.00	Per e-board minutes of 6/14/2011 the board voted to expend \$1 mil from ERAF for a flooding loan assistance program to be administered by VEDA in accordance with 20 VSA sec 45(b0)
Tax	Tax Computer Systems	1140891101	7/19/2011	21909	Tax Computer Sys Modernization	(7,500,000.00)	Funds are available due to a \$41,032 overpayment of funds in FY09 and FY10 by Citizens Investment Management Services, the organization in charge of distribution of the Elva S Smith Fund.
Tax	Tax Computer Systems	1140891101	7/19/2011	21909	Tax Computer Sys Modernization	7,500,000.00	Funds were appropriated in the FY12 budget bill but took effect upon passage. This ERR is needed to establish the funding for FY12.
Buildings & Gen Serv-Gov'tal	BGS- BTS Marketing Costs	1150050000	7/12/2011	21599	BGS-BTS Marketing Costs	77,152.46	Funds were appropriated in the FY12 budget bill but took effect upon passage. This ERR is needed to establish the funding for FY12.
Buildings & Gen Serv-Gov'tal	BGS- Recycling Efforts	1150060000	7/12/2011	21604	BGS-Recycling Efforts	66,479.57	Funds are received through the ongoing sale of units of the Brandon Training School. Funds are from the recent sale of unique parcels.
Buildings & Gen Serv-Gov'tal	BGS-Administrative Services	1150100000	7/12/2011	22005	Federal Revenue Fund	16,362.00	Funds are collected from the disposition of recycling materials. The proceeds are deposited into the fund and can only be used for recycling efforts statewide.
Buildings & Gen Serv-Gov'tal	BGS-Sarcoidosis Claims	1150110000	7/12/2011	21911	Sarcoidosis Benefit Trust Fund	225,340.48	Federal grant from the federal agency for Housing and Urban Development for war memorials in various VT communities. This grant is a continuation from FY11.

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO SEPT 30 2011

VT\_EXCESS\_RECEIPT\_RPT

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Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	7/12/2011	21503	Motorist Aid Refreshment Prog	128,257.07	Funds are paid by motorists at the Information Centers by donation for coffee. Funds are authorized for use to both offset the cost of the coffee mess as well as for the costs associated with running the Information Centers.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	7/12/2011	21822	ACCD Tourism & Marketing Broch	167,479.90	Vendors pay BGS to store and display their business brochures at the State Information Centers. The amount charged is now part of the annual fee bill request.
Judiciary	Judiciary Appropriation	2120000000	7/28/2011	21502	ARRA Inter-Unit Subaward Fund	9,318.65	ARRA - This is a 2009 ARRA gran from CCVS that has been extended in to FY12.
Military Department	ADMINISTRATION/TAG	2150010000	9/22/2011	21555	Emergency Relief & Assist Fd	1,569,951.27	Emergency Relief and Assistance Fund
Center of Crime Victims' Serv	Victims Compensation	2160010000	7/20/2011	22040	ARRA Federal Fund	212,116.00	ARRA - CCVS received an extension on the FY09 STOP ARRA grant until April 30, 2012 because spending has been slower than expected.
Agriculture, Food & Markets	Food Safety/Consumer Assurance	2200020000	7/20/2011	21500	Inter-Unit Transfers Fund	21,000.00	Act 158 Sec 8 Leg Session 2010. Authorized up to \$50K transfer from ACCD to cover VT slaughterhouse employee training which AGR is conducting in summer of CY2011.
Agriculture, Food & Markets	Food Safety/Consumer Assurance	2200020000	8/25/2011	21889	Risk Manage Ag Producers	11,814.00	Portion of CF special funds from FY11. Received from UVM. Original grant JFO #2434 in April 2010.
Agriculture, Food & Markets	Ag Development Division	2200030000	7/19/2011	21671	AF&M-Agricultural Fees	31,375.00	These are CF special funds from FY11 which were not expended. Act 78 of 2010 (Sec 6a(c)), \$1,000,000 was awarded to VEDA. \$50,000 was to be transferred to AGR for review of the VT Seal of Quality program.
Agriculture, Food & Markets	Ag Development Division	2200030000	8/25/2011	21889	Risk Manage Ag Producers	48,800.00	Portion of CF special funds from FY11 which were not fully expended. Dairy Revitalization (JFO#2295 plus ER); Farm First Program (jfo #2440 plus donations); New England Dairy Beef (CF, JFO #2473 plus donations).
Public Service Department	Regulation & Energy Efficiency	2240000000	8/17/2011	22041	ARRA-SEP-Revolving Loan	1,302,770.00	Revolving Loan ARRA fund - not all loans were disbursed in FY11 - so need spending authority in FY12 to disburse remaining loans.
Public Service Department	Consumer Affairs & Public Info	2240010000	8/11/2011	22041	ARRA-SEP-Revolving Loan	(1,302,770.00)	Revolving Loan ARRA fund - not all loans were disbursed in FY11 - so need spending authority in FY12 to disburse remaining loans.
Public Service Department	Consumer Affairs & Public Info	2240010000	8/11/2011	22041	ARRA-SEP-Revolving Loan	1,302,770.00	Revolving Loan ARRA fund - not all loans were disbursed in FY11 - so need spending authority in FY12 to disburse remaining loans.
Liquor Control	DLC - Enforcement & Licensing	2300002000	8/22/2011	21500	Inter-Unit Transfers Fund	8,750.00	VDH/ADAP has made available EULA/OJJDP funds to help with START monitoring and to support VTLSP trainings at Governor's Youth Conference and other collaborations.
Liquor Control	DLC - Enforcement & Licensing	2300002000	8/22/2011	21500	Inter-Unit Transfers Fund	26,250.00	VDH/ADAP has made available EULA/OJJDP funds to help with START monitoring and to support VTLSP trainings at Governor's Youth Conference and other collaborations.
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/28/2011	21500	Inter-Unit Transfers Fund	5,000.00	Homeland Security (FY10) program Enforcement has been asked to help with FY12 Operation Stonegarden activities when personnel is available.
Liquor Control	DLC - Enforcement & Licensing	2300002000	9/14/2011	21870	Misc Special Revenue	2,689.30	This is anticipated receipts request.
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/28/2011	21870	Misc Special Revenue	22,305.00	Reimbursements are from NABCA for expenses related to approved conferences paid for with DLC PCard or cash by employees.
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/28/2011	21870	Misc Special Revenue	22,305.00	LC has accepted a Pacific Institute for Research and Evaluation grant for studying the effectiveness of LC's compliance checks. PIRE will reimburse LC for expenses related to compliance checks and data collection. JFO# 2505

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VT_EXCESS_RECEIPT_RPT	80						
Agency/Dept Name	Appropriation Name	Appropriation DeptId	Date	Fund	Fund Name	Amount	Comments
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/19/2011	21870	Misc Special Revenue	10,000.00	Grant is from National Alcohol Beverage Control Assoc to be used for designing, producing and purchasing community outreach and educational materials.
Liquor Control	DLC - Administration	2300003000	9/14/2011	50300	Liquor Control Fund	4,703.72	Reimbursements are from NABCA for expenses related to approved conferences paid for with DLC PCard or cash by employees.
Liquor Control	DLC - Administration	2300003000	8/22/2011	21500	Inter-Unit Transfers Fund	5,000.00	VDH/ADAP has made available EULA/OJDP funds to help with START monitoring and to support VTLSP trainings at Governor's Youth Conference and other collaborations.
Liquor Control	DLC - Administration	2300003000	9/20/2011	21525	Conference Fees & Donations	6,916.71	Conference fees not spent at 6/30/11 for Federal Fiscal period ending 9/30/11. Plus additional deposits to fund since then.
Liquor Control	Warehousing & Distribution	2300007000	9/14/2011	50300	Liquor Control Fund	704.33	Reimbursements are from NABCA for expenses related to approved conferences paid for with DLC PCard or cash by employees.
Vermont Veterans' Home	VERMONT VETERANS' HOME	3300010000	8/4/2011	21782	Vermont Medicaid	430,000.00	Retroactive rate increases and timing of project spending.
Children and Family Services	DCFS Admin & Support Services	3440010000	7/6/2011	21965	Animal Spay/Neutering Fund	225,000.00	Taking over program from VT Agency of Agriculture in SFY12 per Act 57 (S.0074)
Aging and Independent Living	Administration & Support	3460010000	8/11/2011	22040	ARRA Federal Fund	934.00	remaining amount of stimulus awards that were awarded some time ago.
Aging and Independent Living	Vocational Rehab Grants	3460040000	8/11/2011	22040	ARRA Federal Fund	115,350.00	remaining amount of stimulus awards that were awarded some time ago.
Aging and Independent Living	Vocational Rehab Grants	3460040000	8/11/2011	22040	ARRA Federal Fund	97,816.00	remaining amount of stimulus awards that were awarded some time ago.
VT Department of Labor	VT Department of Labor	4100500000	7/12/2011	22040	ARRA Federal Fund	2,787,407.00	ARRA - Funds were to be expended in FY11 but were not, so we are asking to CF spending authority to FY12.
VT Department of Labor	Youth at Risk	4100890702	7/12/2011	21992	Next Generation Initiative Fnd	10,987.00	Funds were to be expended in FY11 but were not, so we are asking to CF spending authority to FY12.
Education	Administration	5100010000	8/18/2011	20405	Global Commitment Fund	135,000.00	Global Fund
Education	Administration	5100010000	8/18/2011	21764	ED-Medicaid Reimb-Admin	400,000.00	Medicaid Special Funds
Education	Education Grant	5100090000	8/26/2011	21502	ARRA Inter-Unit Subaward Fund	1,577,821.00	ARRA State Fiscal Stabilization Funds
Education	Education Jobs Fund	5100891101	8/18/2011	21500	Inter-Unit Transfers Fund	17,703,832.08	Education Job Funds
Forest, Parks & Recreation	Administration	6130010000	7/18/2011	21550	Lands and Facilities Trust Fd	50,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property
Forest, Parks & Recreation	Administration	6130010000	7/18/2011	21525	Conference Fees & Donations	7,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property
Forest, Parks & Recreation	Administration	6130010000	7/18/2011	22040	ARRA Federal Fund	5,000.00	ARRA - Remaining ARRA funding from the US Forest Service invasive species education, survey and control grant.
Forest, Parks & Recreation	Forestry	6130020000	9/29/2011	21525	Conference Fees & Donations	15,000.00	The receipts in the donation fund (21525) are available from a grant from the Wildlife Management Institute. Funds in 21779 are available because of a cash assistance MOA between VYCC and FPR.
Forest, Parks & Recreation	Forestry	6130020000	7/18/2011	21525	Conference Fees & Donations	5,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO SEPT 30 2011

VT_EXCESS_RECEIPT_RPT		80					
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Forest, Parks & Recreation	Forestry	6130020000	7/18/2011	22040	ARRA Federal Fund	143,000.00	ARRA - Remaining ARRA funding from the US Forest Service Invasive species education, survey and control grant.
Forest, Parks & Recreation	Parks	6130030000	7/18/2011	21584	Surplus Property	18,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property
Forest, Parks & Recreation	Parks	6130030000	9/28/2011	22040	ARRA Federal Fund	40,000.00	ARRA - Remaining ARRA funding from the US Forest Service Invasive species education, survey and control grant.
Forest, Parks & Recreation	Parks	6130030000	7/18/2011	22040	ARRA Federal Fund	65,000.00	ARRA - Remaining ARRA funding from the US Forest Service Invasive species education, survey and control grant.
Forest, Parks & Recreation	Vt Youth Conservation Corps	6130080000	9/29/2011	21779	FPR-Youth Conservation Corps	100,000.00	The receipts in the donation fund (21525) are available from a grant from teh Wildlife Management Institute. Funds in 21779 are available because of a cash assistance MOA between VYCC and FPR.
Environmental Conservation	Management & Support Services	6140060000	8/4/2011	22040	ARRA Federal Fund	2,550,000.00	ARRA - Unspent grant funds for Clean Water and Drinking Water State Revolving Loan Programs (SRF's). [NOTE: VISION reports "Petroleum Cleanup Fund" - incorrect]
Housing & Comm Affairs	Downtown Transp. & Capital Imp	7110080000	7/13/2011	21575	Downtown Trans & Capital Impro	120,986.84	FY11 unexpended balances to be used for project and admin costs
Housing & Comm Affairs	SE VT Economic Dev Strategy	7110891203	8/17/2011	21500	Inter-Unit Transfers Fund	25,000.00	Jobs Bill Act 52 Sec 100(d)(2)
Tourism & Marketing	Dept. of Tourism & Marketing	7130000000	7/28/2011	21500	Inter-Unit Transfers Fund	3,895.50	CF from FY11
Agency of Transportation	Aviation	8100000200	8/2/2011	20140	Transportation FAA Fund	14,777,250.00	Funds are available from Burlington Airport grants.
Agency of Transportation	Aviation	8100000200	8/17/2011	20181	ARRA FAA-Fund	120,000.00	ARRA - Funds are available from Knapp Airport Runway project AIR 04-3216
Agency of Transportation	Transportation Buildings	8100000700	7/12/2011	20135	Transportation FHWA Fund	760,000.00	Funds are available for Berlin shared use facility earmark project.
Agency of Transportation	Program Development	8100001100	7/22/2011	20160	Transportation Local Fund	3,000,000.00	NY state (local) reimbursement to VT for costs of Lake Champlain Bridge project temporary ferry service. Estimate through 12/31/11.
Agency of Transportation	Maintenance	8100002000	9/21/2011	20135	Transportation FHWA Fund	37,000,000.00	Funds are available from formula funds that have been redirected to Tropical Storm Irene related ER projects.
Agency of Transportation	Maintenance	8100002000	9/9/2011	20135	Transportation FHWA Fund	5,000,000.00	Funds are available from a VT Request for Quick Response allocation of \$5,000,000 of Emergency Relief funds dated 8/31/11 in response to Tropical Storm Irene, disaster code VT11-2.
Agency of Transportation	Rail	8100002300	8/2/2011	20155	Transportation-FRA Fund	440,000.00	Funds are available for the NY-VT Bi-State Intercity Passenger Rail Study
Agency of Transportation	Rail	8100002300	8/2/2011	20160	Transportation Local Fund	220,000.00	Funds are available for the NY-VT Bi-State Intercity Passenger Rail Study
Agency of Transportation	Town Highway Bridge	8100002800	8/17/2011	20180	ARRA FHWA Fund	150,000.00	ARRA - Funds are available from several Town Highway Bridge ARRA projects.
Agency of Transportation	Public Assistance Program	8100005500	9/21/2011	21555	Emergency Relief & Assist Fd	1,155,000.00	FEMA disaster declaration FEMA-4022-DR-VT. ERAF funds provide state match for the FEMA funds.
Agency of Transportation	Public Assistance Program	8100005500	9/20/2011	21555	Emergency Relief & Assist Fd	780,294.00	FEMA disaster declarations FEMA-1995-DR-VT and FEMA-4001-DR-VT. ERAF funds provide state match for the FEMA funds.
Agency of Transportation	Public Assistance Program	8100005500	7/12/2011	21555	Emergency Relief & Assist Fd	92,970.72	ERAF funds provide state match for FEMA funds (disaster declarations). Request is for the remaining ERAF fund balance.
AOT Proprietary Funds	Central Garage	8110000200	7/12/2011	57100	Highway Garage Fund	1,074,424.29	Funds are the unexpected balance in the equipment replacement account at the end of FY11. Funds will be used for equipment purchahses per Title 19 Sec 13 (c).
Buildings & Gen Serv-Capital	State House Restore Donations	9109300210	7/19/2011	21612	BGS-Donations-St House Restore	2,805.01	Friends of the Statehouse donations. Sec 21 of No 93 Acts of 1991

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO SEPT 30 2011							
VT_EXCESS_RECEIPT_RPT		80					
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Buildings & Gen Serv-Capital	Duxbury/Moretown Land Sale	9610200000	7/22/2011 21600	BGS-Duxbury/Moretown		25,000.00	Additional spending authority request for advertising, appraisals, recording fees, environmental studies in anticipation of selling the property.
						121,244,045.86	

State of Vermont  
Agency of Administration  
Department of Finance & Management  
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Jim Reardon, Commissioner

## MEMORANDUM

**TO:** Joint Fiscal Committee  
**FROM:** Jim Reardon, Commissioner of Finance & Management  
**DATE:** January 30, 2012  
**RE:** Excess Receipts Report – 32 VSA Sec 511

In accordance with 32 VSA Sec 511, please find attached the report on Excess Receipts approved for the first two quarters of FY 2012.

Attachment

Q2  
Q1

Added Later  
to this File



EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO DECEMBER 31 2011 (FY 2012 Cumulative incl Q1 and Q2)							
VT_EXCESS_RECEIPT_RPT							
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Buildings & Gen Serv-Capital	Vet's Home-HVAC Renovations	0820000200	7/26/2011	22005	Federal Revenue Fund	1,236,609.76	This is to re-establish spending authority for the unspent balance as of 6/30/11.
Buildings & Gen Serv-Capital	State Buildings-Various Proj	0804300010	10/6/2011	21584	Surplus Property	5,860.00	Surplus property fund for sale of beams and wire decks from teh Archives project and a metal brake used on the Waterbury roofing project.
Buildings & Gen Serv-Capital	State Buildings-Various Proj	0904300010	10/6/2011	21584	Surplus Property	5,860.00	Surplus property fund for sale of beams and wire decks from teh Archives project and a metal brake used on the Waterbury roofing project.
Buildings & Gen Serv-Capital	Plymouth Notch Visitor Center	0904300042	10/6/2011	21584	Surplus Property	1,500.00	Surplus property fund for sale of shed at the Calvin Coolidge Historic Site.
Buildings & Gen Serv-Capital	Public Safety-Various Projects	0904300110	7/22/2011	21500	Inter-Unit Transfers Fund	614,414.41	This request is to re-establish spending authority for the unspent balance as of June 30, 2011.
Buildings & Gen Serv-Capital	State Buildings-Various Proj	1016100010	10/6/2011	21584	Surplus Property	3,000.00	Surplus property fund for sale of street lights from the capital grounds.
Buildings & Gen Serv-Capital	State Buildings-Various Proj	1016100010	7/26/2011	21502	ARRA Inter-Unit Subaward Fund	1,799,567.43	This request is to re-establish spending authority for the unspent balance as of 6/30/11
Agency of Admin Sec Office	Secretary of Administration	1100020000	7/19/2011	22005	Federal Revenue Fund	17,073,832.08	Additional money for the Education Jobs Fund grant. Act 3 Sec 56 FY11 BAA
Agency of Admin Sec Office	Secretary of Administration	1100020000	7/19/2011	22040	ARRA Federal Fund	2,091,455.29	ARRA - Funds were provided by the fed Gov't as part of the American Recovery & Reinvestment Acts of 2009 to stabilize state and local gov'ts. This request is to re-establish the spending authority for the unspent balance as of June 30, 2011.
Agency of Admin Sec Office	Green Mountain Care Board	1100891201	12/15/2011	21500	Inter-Unit Transfers Fund	857,146.00	Funds were budgeted in BISHCA to pay salary, benefits and operating costs associated with 12 positions. Wehn the GMCB was created the positions were transferred to GMCB.
Finance & Management	Dept of Finance and Management	1110000000	9/15/2011	21975	Armed Services Scholarship Fnd	4,358.00	Some of the money is transferred in from the MIL dept and the rest is transferred from VSAC's Next Generation approp. Spending Authority is approved solely through excess receipts.
Finance & Management	Budget Development System	1110003500	7/19/2011	21005	FMS System Development Fund	350,000.00	Act 3 of 2011 Sec B.1103(a) \$3,500,000 in GF were designated for implementation of the new Budget Development System w/additional \$1,222,158 other funds. Spend. Auth. required to pay current obligations. Requested amt based on expected expenses.
Finance & Management	Vt Council on the Arts	1110013000	8/9/2011	21445	Art Acquisition Fund	36,500.00	For transfer to the Vermont Arts Council.
Finance & Management	VEDA Grants	1110022000	9/22/2011	21555	Emergency Relief & Assist Fd	800,000.00	Per E-Board minutes of 9/13/11, the board voted to expend \$800,000 from the ERAF for the tropical storm Irene loan program to be administered by VEDA in accordance with 20 VSA 45 (b).
Finance & Management	VEDA Grants	1110022000	8/9/2011	21555	Emergency Relief & Assist Fd	1,000,000.00	FY2012 BAA transfer from GF
Finance & Management	VEDA Grants	1110022000	8/8/2011	21555	Emergency Relief & Assist Fd	1,000,000.00	Per e-board minutes of 6/14/2011 the board voted to expend \$1 mil from ERAF for a flooding loan assistance program to be administered by VEDA in accordance with 20 VSA sec 45(b0)
Personnel-Proprietary	Emp Ben/Wellness Int Svc Funds	1125070000	10/6/2011	22040	ARRA Federal Fund	80,883.09	ARRA - Reimbursement for federal share of COBRA payments for laid off employees.
Libraries	Department of Libraries	1130030000	7/18/2011	21015	Elva S Smith Bequest	27,000.00	Funds are available due to a \$41,032 overpayment of funds in FY09 and FY10 by Citizens Investment Management Services, the organization in charge of distribution of the Elva S Smith Fund.
Libraries	Department of Libraries	1130030000	11/21/2011	21883	Gates Foundation Grants	249,825.00	Remaining amount of Opportunity Online Broadband Grant from the Bill & Melinda Gates Foundation from FY11.

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO DECEMBER 31 2011 (FY 2012 Cumulative incl Q1 and Q2)							
VT_EXCESS_RECEIPT_RPT							
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Tax	Tax Computer Systems	1140891101	7/19/2011	21909	Tax Computer Sys Modernization	(7,500,000.00)	Funds were appropriated in the FY12 budget bill but took effect upon passage. This ERR is needed to establish the funding for FY12.
Tax	Tax Computer Systems	1140891101	7/19/2011	21909	Tax Computer Sys Modernization	7,500,000.00	Funds were appropriated in the FY12 budget bill but took effect upon passage. This ERR is needed to establish the funding for FY12.
Buildings & Gen Serv-Gov'tal	BGS- BTS Marketing Costs	1150050000	7/12/2011	21599	BGS-BTS Marketing Costs	77,152.45	Funds are received through the ongoing sale of units of the Brandon Training School. Funds are from the recent sale of unique parcels.
Buildings & Gen Serv-Gov'tal	BGS- Recycling Efforts	1150060000	7/12/2011	21604	BGS-Recycling Efforts	66,479.57	Funds are collected from the disposition of recycling materials. The proceeds are deposited into the fund and can only be used for recycling efforts statewide.
Buildings & Gen Serv-Gov'tal	BGS-Administrative Services	1150100000	7/12/2011	22005	Federal Revenue Fund	16,362.00	Federal grant from the federal agency for Housing and Urban Development for war memorials in various VT communities. This grant is a continuation from FY11.
Buildings & Gen Serv-Gov'tal	BGS-Sarcoidosis Claims	1150110000	7/12/2011	21911	Sarcoidosis Benefit Trust Fund	225,340.48	The fund was established by the General Assembly to handle special payments to claimants of Sarcoidosis attributed to the Bennington State Office Building. Funding will be from future general fund appropriations.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	7/12/2011	21603	Motorist Aid Refreshment Prog	128,257.07	Funds are paid by motorists at the Information Centers by donation for coffee. Funds are authorized for use to both offset the cost of the coffee mess as well as for the costs associated with running the Information Centers.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	7/12/2011	21822	ACCDITourism & Marketing Broch	167,479.90	Vendors pay BGS to store and display their business brochures at the State Information Centers. The amount charged is now part of the annual fee bill request.
Buildings & Gen Serv-Prop	BGS-Fee For Space	1160550000	10/18/2011	58800	Facilities Operations Fund	25,000,000.00	Insurance/FEMA reimbursement for Tropical Storm Irene is expected to cover the stabilization costs of the August 28-29 storm destruction to state facilities.
Office of the Defender General	Public Defense	2110000100	11/7/2011	21500	Inter-Unit Transfers Fund	3,940.00	ODG obtained approval for Children's Justice Act Funding through the DCF to provide training to attorneys who provide services in juvenile cases in June 2011.
Judiciary	Judiciary Appropriation	2120000000	7/28/2011	21502	ARRA Inter-Unit Subaward Fund	9,318.65	ARRA - This is a 2009 ARRA grant from CCVS that has been extended in to FY12.
State's Attorneys and Sheriffs	State's Attorneys	2130100000	10/6/2011	21500	Inter-Unit Transfers Fund	42,000.00	CCVS Awarded funds to Bennington County State's Attorney's Office
State's Attorneys and Sheriffs	State's Attorneys	2130100000	10/6/2011	21502	ARRA Inter-Unit Subaward Fund	24,437.00	ARRA - Additional ARRA funds were made available for FY12 to CCVS.
State's Attorneys and Sheriffs	SIUS Parent Account	2130400000	10/19/2011	22005	Federal Revenue Fund	41,466.67	This is the third year of a three year grant.
Public Safety	DPS-State Police	2140010000	12/15/2011	21908	Misc Grants Fund	8,509.00	VSP received grant from Commonwealth of Massachusetts.
Military Department	ADMINISTRATION/TAG	2150010000	9/22/2011	21555	Emergency Relief & Assist Fd	1,569,951.27	Emergency Relief and Assistance Fund
Center of Crime Victims' Serv	Victims Compensation	2160010000	7/20/2011	22040	ARRA Federal Fund	212,116.00	ARRA - CCVS received an extension on the FY09 STOP ARRA grant until April 30, 2012 because spending has been slower than expected.
Agriculture, Food & Markets	Food Safety/Consumer Assurance	2200020000	7/20/2011	21500	Inter-Unit Transfers Fund	21,000.00	Act 158 Sec 8 Leg Session 2010. Authorized up to \$50K transfer from ACCD to cover VT slaughterhouse employee training which AGR is conducting in summer of CY2011.
Agriculture, Food & Markets	Food Safety/Consumer Assurance	2200020000	8/25/2011	21889	Risk Manage Ag Producers	11,814.00	Portion of CF special funds from FY11. Received from UVM. Original grant JFO #2434 in April 2010.
Agriculture, Food & Markets	Ag Development Division	2200030000	7/19/2011	21671	AF&M-Agricultural Fees	31,375.00	These are CF special funds from FY11 which were not expended. Act 78 of 2010 (Sec 6a(c)), \$1,000,000 was awarded to VEDA. \$50,000 was to be transferred to AGR for review of the VT Seal of Quality program.

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO DECEMBER 31 2011 (FY 2012 Cumulative incl Q1 and Q2)							
VT_EXCESS_RECEIPT_RPT							
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Agriculture, Food & Markets	Ag Development Division	2200030000	8/25/2011	21889	Risk Manage Ag Producers	48,600.00	Portion of CF special funds from FY11 which were not fully expended. Dairy Revitalization (JFO#2295 plus ER); Farm First Program (Jfo #2440 plus donations); New England Dairy Beef (CF; JFO #2473 plus donations).
Banking Ins Sec Hlth Care Adm	Insurance Division	2210011000	11/15/2011	22005	Federal Revenue Fund	600,134.00	Federal Grant Award
Banking Ins Sec Hlth Care Adm	Insurance Division	2210011000	11/4/2011	22005	Federal Revenue Fund	650,543.00	Federal Grant Award
Banking Ins Sec Hlth Care Adm	Health Care Admin. Division	2210040000	11/4/2011	22005	Federal Revenue Fund	330,446.00	Federal Grant Award
Public Service Department	Regulation & Energy Efficiency	2240000000	8/17/2011	22041	ARRA-SEP-Revolving Loan	1,302,770.00	Revolving Loan ARRA fund - not all loans were disbursed in FY11 - so need spending authority in FY12 to disburse remaining loans.
Public Service Department	Regulation & Energy Efficiency	2240000000	12/13/2011	21452	Fuel Efficiency Fund	851,337.00	In 2008 the VT General Assembly established a HEating & Process Fuel Efficiency Program through Act 92 (30 VSA 235). The source of funding is revenue from the sale of credits under the Regional Greenhouse Gas Initiative cap and trade program.
Public Service Department	Consumer Affairs & Public Info	2240010000	8/11/2011	22041	ARRA-SEP-Revolving Loan	(1,302,770.00)	Revolving Loan ARRA fund - not all loans were disbursed in FY11 - so need spending authority in FY12 to disburse remaining loans.
Public Service Department	Consumer Affairs & Public Info	2240010000	8/11/2011	22041	ARRA-SEP-Revolving Loan	1,302,770.00	Revolving Loan ARRA fund - not all loans were disbursed in FY11 - so need spending authority in FY12 to disburse remaining loans.
Human Rights Commission	Human Rights Commission	2280001000	11/18/2011	21692	Human Rights Commission	3,500.00	Settlement funds from a lawsuit against a newspaper company that had claimed to have made a payment to a Holyoke, MA company, but had not.
Liquor Control	DLC - Enforcement & Licensing	2300002000	8/22/2011	21500	Inter-Unit Transfers Fund	8,750.00	VDH/ADAP has made available EULA/OJJDP funds to help with START monitoring and to support VTLPSP trainings at Governor's Youth Conference and other collaborations.
Liquor Control	DLC - Enforcement & Licensing	2300002000	8/22/2011	21500	Inter-Unit Transfers Fund	26,250.00	VDH/ADAP has made available EULA/OJJDP funds to help with START monitoring and to support VTLPSP trainings at Governor's Youth Conference and other collaborations.
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/28/2011	21500	Inter-Unit Transfers Fund	5,000.00	Homeland Security (FY10) program Enforcement has been asked to help with FY12 Operation Stonegarden activities when personnel is available. This is anticipated receipts request.
Liquor Control	DLC - Enforcement & Licensing	2300002000	11/15/2011	21870	Misc Special Revenue	7,695.00	Grant from PIRE in FY11 to be used over two years. Approval process not completed until late June so funds were not used in FY11. This ER is requested in order to use these funds in FY12.
Liquor Control	DLC - Enforcement & Licensing	2300002000	10/31/2011	21870	Misc Special Revenue	855.00	County START and Travel Reimbursements
Liquor Control	DLC - Enforcement & Licensing	2300002000	10/31/2011	21870	Misc Special Revenue	1,134.97	County START and Travel Reimbursements
Liquor Control	DLC - Enforcement & Licensing	2300002000	9/14/2011	21870	Misc Special Revenue	2,689.30	Reimbursements are from NABCA for expenses related to approved conferences paid for with DLC PCard or cash by employees.
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/28/2011	21870	Misc Special Revenue	22,305.00	LC has accepted a Pacific Institute for Research and Evaluation grant for studying the effectiveness of LC's compliance checks. PIRE will reimburse LC for expenses related to compliance checks and data collection. JFO# 2505
Liquor Control	DLC - Enforcement & Licensing	2300002000	7/19/2011	21870	Misc Special Revenue	10,000.00	Grant is from National Alcohol Beverage Control Assoc to be used for designing, producing and purchasing community outreach and educational materials.
Liquor Control	DLC - Administration	2300003000	9/14/2011	50300	Liquor Control Fund	4,703.72	Reimbursements are from NABCA for expenses related to approved conferences paid for with DLC PCard or cash by employees.

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO DECEMBER 31 2011 (FY 2012 Cumulative incl Q1 and Q2)							
VT_EXCESS_RECEIPT_RPT							
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Liquor Control	DLC - Administration	2300003000	8/22/2011	21500	Inter-Unit Transfers Fund	5,000.00	VDH/ADAP has made available EULA/OJJD funds to help with START monitoring and to support VTLPSP trainings at Governor's Youth Conference and other collaborations.
Liquor Control	DLC - Administration	2300003000	10/31/2011	21870	Misc Special Revenue	965.68	County START and Travel Reimbursements
Liquor Control	DLC - Administration	2300003000	9/20/2011	21525	Conference Fees & Donations	6,916.71	Conference fees not spent at 6/30/11 for Federal Fiscal period ending 9/30/11. Plus additional deposits to fund since then.
Liquor Control	Warehousing & Distribution	2300007000	9/14/2011	50300	Liquor Control Fund	704.33	Reimbursements are from NABCA for expenses related to approved conferences paid for with DLC PCard or cash by employees.
Vermont Veterans' Home	VERMONT VETERANS' HOME	3300010000	12/27/2011	21782	Vermont Medicaid	120,000.00	Retro-active rate increases and timing of projects.
Vermont Veterans' Home	VERMONT VETERANS' HOME	3300010000	8/4/2011	21782	Vermont Medicaid	430,000.00	Retroactive rate increases and timing of project spending.
Department of VT Health Access	DVHA	3410010000	11/10/2011	22040	ARRA Federal Fund	1,300,000.00	ARRA - ONC 3013 award - Expenditures sped up to take advantage of match rate.
Children and Family Services	DCFS Admin & Support Services	3440010000	7/6/2011	21965	Animal Spay/Neutering Fund	225,000.00	Taking over program from VT Agency of Agriculture in SFY12 per Act 57 (S.0074)
Children and Family Services	DCFS - LIHEAP	3440090000	12/27/2011	22005	Federal Revenue Fund	7,700,000.00	Federal release of LIHEAP block grant.
Children and Family Services	DCFS - LIHEAP	3440090000	11/28/2011	22005	Federal Revenue Fund	3,000,000.00	Home Heating Fuel Assistance/LIHEAP
Aging and Independent Living	Administration & Support	3460010000	8/11/2011	22040	ARRA Federal Fund	934.00	remaining amount of stimulous awards that were awarded some time ago.
Aging and Independent Living	Vocational Rehab Grants	3460040000	8/11/2011	22040	ARRA Federal Fund	115,350.00	remaining amount of stimulous awards that were awarded some time ago.
Aging and Independent Living	Vocational Rehab Grants	3460040000	8/11/2011	22040	ARRA Federal Fund	97,816.00	remaining amount of stimulous awards that were awarded some time ago.
VT Department of Labor	VT Department of Labor	4100500000	7/12/2011	22040	ARRA Federal Fund	2,787,407.00	ARRA - Funds were to be expended in FY11 but were not, so we are asking to CF spending authority to FY12.
VT Department of Labor	Youth at Risk	4100890702	7/12/2011	21992	Next Generation Initiative Fnd	10,987.00	Funds were to be expended in FY11 but were not, so we are asking to CF spending authority to FY12.
Education	Administration	5100010000	8/18/2011	20405	Global Commitment Fund	135,000.00	Global Fund
Education	Administration	5100010000	8/18/2011	21764	ED-Medicaid Reimb-Admin	400,000.00	Medicaid Special Funds
Education	Education Grant	5100090000	8/26/2011	21502	ARRA Inter-Unit Subaward Fund	1,577,821.00	ARRA State Fiscal Stabilization Funds
Education	Education Jobs Fund	5100891101	8/18/2011	21500	Inter-Unit Transfers Fund	17,703,832.08	Education Job Funds
Forest, Parks & Recreation	Administration	6130010000	12/12/2011	21500	Inter-Unit Transfers Fund	1,000,000.00	Receipts in the Interdepartmental transfer fund are available because of FEMA disaster assistance received from VTrans for the spring flooding event.
Forest, Parks & Recreation	Administration	6130010000	7/18/2011	21550	Lands and Facilities Trust Fd	50,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property
Forest, Parks & Recreation	Administration	6130010000	7/18/2011	21525	Conference Fees & Donations	7,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property
Forest, Parks & Recreation	Administration	6130010000	7/18/2011	22040	ARRA Federal Fund	5,000.00	ARRA - Remaining ARRA funding from the US Forest Service invasive species education, suvey and control grant.
Forest, Parks & Recreation	Forestry	6130020000	9/29/2011	21525	Conference Fees & Donations	15,000.00	The receipts in the donation fund (21525) are available from a grant from teh Wildlife Management Institute. Funds in 21779 are available because of a cash assistance MOA between VYCC and FPR.

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO DECEMBER 31 2011 (FY 2012 Cumulative incl Q1 and Q2)							
VT_EXCESS_RECEIPT_RPT							
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Forest, Parks & Recreation	Forestry	6130020000	7/18/2011	21525	Conference Fees & Donations	5,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21534/Sale of surplus property
Forest, Parks & Recreation	Forestry	6130020000	7/18/2011	22040	ARRA Federal Fund	143,000.00	ARRA - Remaining ARRA funding from the US Forest Service invasive species education, survey and control grant.
Forest, Parks & Recreation	Parks	6130030000	7/18/2011	21584	Surplus Property	18,000.00	21550/Lands & Facilities Trust Fund receipts available from unexpended balances from PY's. 21525/Donation fund receipts are available from multiple sources. National Project Learning Tree & Wildlife Management Institute. 21584/Sale of surplus property
Forest, Parks & Recreation	Parks	6130030000	9/28/2011	22040	ARRA Federal Fund	40,000.00	ARRA - Remaining ARRA funding from the US Forest Service invasive species education, survey and control grant.
Forest, Parks & Recreation	Parks	6130030000	7/18/2011	22040	ARRA Federal Fund	65,000.00	ARRA - Remaining ARRA funding from the US Forest Service invasive species education, survey and control grant.
Forest, Parks & Recreation	Vt Youth Conservation Corps	6130080000	9/29/2011	21779	FPR-Youth Conservation Corps	100,000.00	The receipts in the donation fund (21525) are available from a grant from the Wildlife Management Institute. Funds in 21779 are available because of a cash assistance MOA between VYCC and FPR.
Environmental Conservation	Petroleum Cleanup Fund	6140060000	8/4/2011	22040	ARRA Federal Fund	2,550,000.00	ARRA - Unspent grant funds for Clean Water and Drinking Water State Revolving Loan Programs (SRFs)
Commerce & Community Dev Admin	Environmental Engineering Init	7100890702	11/18/2011	10000	General Fund	29,989.00	Grant to UVM ended in FY11 with unexpended funds that were returned in FY12 to the agency.
Housing & Comm Affairs	Housing & Community Affairs	7110010000	10/19/2011	21500	Inter-Unit Transfers Fund	75,000.00	Transfer from Secretary Admin.
Housing & Comm Affairs	Housing & Community Affairs	7110010000	12/7/2011	21919	EB-5 Enterprise Fund	25,000.00	Jobs Bill Act 52 Chapter 3 Sec 21(a)
Housing & Comm Affairs	Downtown Transp. & Capital Imp	7110080000	7/13/2011	21575	Downtown Trans & Capital Impro	120,986.84	FY11 unexpended balances to be used for project and admin costs
Housing & Comm Affairs	SE VT Economic Dev Strategy	7110891203	8/17/2011	21500	Inter-Unit Transfers Fund	25,000.00	Jobs Bill Act 52 Sec 100(d)(2)
Tourism & Marketing	Dept. of Tourism & Marketing	7130000000	7/28/2011	21500	Inter-Unit Transfers Fund	3,895.50	CF from FY11
Agency of Transportation	Aviation	8100000200	8/2/2011	20140	Transportation FAA Fund	14,777,250.00	Funds are available from Burlington Airport grants.
Agency of Transportation	Aviation	8100000200	11/15/2011	20181	ARRA FAA-Fund	120,087.00	ARRA - Funds are available from an amended Knapp Airport grant.
Agency of Transportation	Aviation	8100000200	8/17/2011	20181	ARRA FAA-Fund	120,000.00	ARRA - Funds are available from Knapp Airport Runway project AIR 04-3216
Agency of Transportation	Transportation Buildings	8100000700	7/12/2011	20135	Transportation FHWA Fund	760,000.00	Funds are available for Berlin shared use facility earmark project.
Agency of Transportation	Program Development	8100001100	7/22/2011	20160	Transportation Local Fund	3,000,000.00	NY state (local) reimbursement to VT for costs of Lake Champlain Bridge project temporary ferry service. Estimate through 12/31/11.
Agency of Transportation	Maintenance	8100002000	12/22/2011	20135	Transportation FHWA Fund	15,373,056.00	Funds are available from two DOT grants.
Agency of Transportation	Maintenance	8100002000	9/21/2011	20135	Transportation FHWA Fund	37,000,000.00	Funds are available from formula funds that have been redirected to Tropical Storm Irene related ER projects.
Agency of Transportation	Maintenance	8100002000	9/9/2011	20135	Transportation FHWA Fund	5,000,000.00	Funds are available from a VT Request for Quick Response allocation of \$5,000,000 of Emergency Relief funds dated 8/31/11 in response to Tropical Storm Irene, disaster code VT11-2.
Agency of Transportation	Rail	8100002300	8/2/2011	20155	Transportation-FRA Fund	440,000.00	Funds are available for the NY-VT Bi-State Intercity Passenger Rail Study
Agency of Transportation	Rail	8100002300	8/2/2011	20160	Transportation Local Fund	220,000.00	Funds are available for the NY-VT Bi-State Intercity Passenger Rail Study
Agency of Transportation	Town Highway Bridge	8100002800	8/17/2011	20180	ARRA FHWA Fund	150,000.00	ARRA - Funds are available from several Town Highway Bridge ARRA projects.

EXCESS RECEIPTS REQUESTS - REPORT - JULY 1 TO DECEMBER 31 2011 (FY 2012 Cumulative incl Q1 and Q2)							
VT_EXCESS_RECEIPT_RPT							
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Agency of Transportation	Public Assistance Program	8100005500	12/16/2011	20150	Transportation FEMA Fund	833,333.00	FEMA disaster declaration FEMA-4022-DR-VT. ERAF funds provided state match for the FEMA funds.
Agency of Transportation	Public Assistance Program	8100005500	12/16/2011	21555	Emergency Relief & Assist Fd	15,000,000.00	FEMA disaster declaration FEMA-4022-DR-VT. ERAF funds provided state match for the FEMA funds.
Agency of Transportation	Public Assistance Program	8100005500	9/21/2011	21555	Emergency Relief & Assist Fd	1,155,000.00	FEMA disaster declaration FEMA-4022-DR-VT. ERAF funds provide state match for the FEMA funds.
Agency of Transportation	Public Assistance Program	8100005500	9/20/2011	21555	Emergency Relief & Assist Fd	780,294.00	FEMA disaster declarations FEMA-1995-DR-VT and FEMA-4001-DR-VT. ERAF funds provide state match for the FEMA funds.
Agency of Transportation	Public Assistance Program	8100005500	7/12/2011	21555	Emergency Relief & Assist Fd	92,970.72	ERAF funds provide state match for FEMA funds (disaster declarations). Request is for the remaining ERAF fund balance.
AOT Proprietary Funds	Central Garage	8110000200	7/12/2011	57100	Highway Garage Fund	1,074,424.29	Funds are the unexpected balance in the equipment replacement account at the end of FY11. Funds will be used for equipment purchases per Title 19 Sec 13 (c).
Buildings & Gen Serv-Capital	State House Restore Donations	9109300210	7/19/2011	21612	BGS-Donations-St House Restore	2,805.01	Friends of the Statehouse donations. Sec 21 of No 93 Acts of 1991
Buildings & Gen Serv-Capital	Duxbury/Moretown Land Sale	9610200000	7/22/2011	21600	BGS-Duxbury/Moretown	25,000.00	Additional spending authority request for advertising, appraisals, recording fees, environmental studies in anticipation of selling the property.

State of Vermont  
Agency of Administration  
Department of Finance & Management  
Pavilion Office Building  
109 State Street  
Montpelier, VT 05609-0201  
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*Jim Reardon, Commissioner*

## MEMORANDUM

**TO:** Joint Fiscal Committee  
**FROM:** James B. Reardon, Commissioner of Finance & Management *JR*  
**DATE:** November 1, 2011  
**RE:** Special Funds Created in FY2011; Special Fund Balances at End of FY2011

---

Pursuant to 32 VSA Sec. 588(6), I am herewith submitting to the Joint Fiscal Committee the list of Special Funds created in FY2011, with name, authorization and revenue source; and the list of Special Funds and their balances at the end of FY2011.

Attachment

keep:Special Funds created FY11

8/3/11 5:00 PM

**Report on Special Funds created in FY 2011**

**Submitted to the Joint Fiscal Committee pursuant to 32 VSA Sec 588(6)**

**Dept/Name of Fund**

**Authorization**

**Revenue Source**

**Dept of Economic, Housing and Community Development -  
Division for Historic Preservation**

Archeological Operations Special Fund

22 VSA Sec 724(b)

Fees for electronic access to the non-public archeological inventory database; and one-time fee for care and maintenance of archeological collections.

keep: Special Fund Summary EOFY  
2011 - for JFC report 8-4-11

## Special Fund Summary EOFY 2011

Special Fund Name	SF #	Fund Net Assets 7/1/10	All Revenues	All Expenses	Other Financing (Uses) Sources	Fund Net Assets 6/30/11
Financial Literacy Trust Fund	21001	28,512.73	535.50	(11,014.01)	0.00	18,034.22
FMS System Development Fund	21005	(2,996,195.86)	599,951.00	(53,667.00)	0.00	(2,449,911.86)
Elva S Smith Bequest	21015	43,151.06	39,671.00	(25,022.63)	0.00	57,799.43
Lw-IV Radioactive Waste Cmpct	21020	(62,915.92)	1,872.52	(102,250.40)	0.00	(163,293.80)
Radiological Emerg Response	21025	(278,625.78)	2,080,695.85	(1,950,328.96)	(14,122.00)	(162,380.89)
Public Defender Special Fund	21050	133,497.27	435,086.70	(431,887.79)	0.00	136,696.18
Misc Fines & Penalties	21054	591,106.83	311,355.40	(255,772.93)	0.00	646,689.30
Vt Dairy Promotion Fund	21060	287,061.11	2,601,612.35	(2,616,166.14)	0.00	272,507.32
VDPC State Portion	21061	26,938.46	257,205.93	(133,395.52)	0.00	150,748.87
Financial Institut Supervision	21065	0.00	1,607,619.86	(1,783,997.25)	176,377.39	0.00
Health Care Suprv & Reg	21070	252,484.42	1,502,467.22	(1,529,454.60)	0.00	225,497.04
Insurance Regulatory & Suprv	21075	0.00	20,822,673.80	(5,450,941.60)	(15,145,558.20)	226,174.00
Securities Regulatory & Suprv	21080	0.00	6,411,569.25	(1,485,384.84)	(4,926,184.41)	0.00
Captive Insurance Reg & Suprv	21085	0.00	4,891,392.79	(4,314,175.98)	(577,216.81)	0.00
VOHI Wk Cmp Self-Ins Corp Trst	21090	50,237.92	81.88	0.00	0.00	50,319.80
Passenger Tramways	21095	(11,306.14)	379,356.68	(382,166.18)	14,115.64	(0.00)
Elevator Safety Fund	21097	61,996.43	83,740.00	(58,860.00)	0.00	86,876.43
Licensing & Inspection Spec Fd	21099	46,206.99	0.00	0.00	(46,206.99)	0.00
Worker's Comp Admin Fund	21105	(499,489.97)	2,127,264.89	(1,728,487.91)	0.00	(100,712.99)
Employee Leasing Companies	21110	14,115.64	38,600.00	(5,579.15)	(14,115.64)	33,020.85
Crim Justice Training Council	21115	(100,834.87)	398,399.44	(398,388.19)	100,834.87	11.25
Fire Service Training Council	21120	174,755.55	857,251.07	(910,475.07)	30,000.00	151,531.55
Haz Chem & Subst Emerg Resp	21125	483,651.63	581,171.25	(687,104.93)	(1,444.00)	376,273.95
Criminal History Records Check	21130	6,151.79	199,069.02	(204,315.39)	0.00	905.42
VI Law Telecommunications	21135	13,147.64	148,405.04	(112,896.52)	0.00	48,656.16
DUI Enforcement Special Fund	21140	11,191.00	1,505,390.56	(1,498,110.55)	0.00	18,471.01
Victims Compensation Fund	21145	1,400,665.95	2,877,508.50	(2,762,909.85)	0.00	1,515,264.60
Prof Regulatory Fee Fund	21150	4,985,880.65	4,412,035.87	(4,230,017.05)	0.00	5,167,899.47
Rulemaking Advertising Fund	21155	43,988.73	54,000.00	(79,794.69)	0.00	18,194.04
Vermont Campaign Fund	21160	154,119.16	649,978.82	(533,615.68)	0.00	270,482.46
Funeral & Burial Service Trust	21165	235,610.77	384.03	0.00	0.00	235,994.80
Children's Trust Fund	21185	85,008.80	4,022.21	(66,965.84)	0.00	22,065.17
Correctional Facilities Rec Fd	21190	431,999.89	753,277.31	(803,007.67)	(8,567.00)	373,702.53
Catamount Fund	21196	881,685.80	23,291,834.91	(21,961,190.50)	0.00	2,212,330.21
Home Heating Fuel Asst Trust	21210	121,754.61	198.44	0.00	0.00	121,953.05
PATH-Civil Monetary Fund	21213	289,279.55	12,732.50	(160,252.75)	0.00	141,759.30
Robert Wood Johnson Fund	21215	29,100.99	17.61	(29,118.60)	0.00	0.00
Mental Health Risk Pool	21220	258,498.96	421.34	0.00	0.00	258,920.30
Vermont State Hospital Canteen	21225	5,000.00	0.00	0.00	0.00	5,000.00
Home Weatherization Assist	21235	1,443,858.82	5,334,835.03	(5,104,255.48)	(965.00)	1,673,473.37
VT Healthcare Ed Loan Repaymnt	21238	73,627.37	93.75	(73,721.12)	0.00	0.00
Teacher Licensing Fund	21240	1,025,766.33	1,007,332.00	(935,651.69)	0.00	1,097,446.64
Post Secondary Certification	21245	8,028.41	5,500.00	(13,528.41)	0.00	0.00
General Education Development	21250	2,126.24	2,002.00	(3,000.00)	0.00	1,128.24
Petroleum Cleanup Fund	21255	1,787,595.47	5,631,514.26	(5,312,282.19)	300,000.00	2,406,827.54
Act 250 Permit Fund	21260	(732,203.05)	1,488,394.03	(1,988,829.53)	0.00	(1,232,638.55)
State Forest Parks Fund	21270	892,781.21	7,752,629.09	(8,119,032.36)	0.00	526,377.94
Environmental Contingency Fund	21275	1,973,524.69	421,510.80	(376,979.42)	600,000.00	2,618,056.07
Mitec Settlement Fund	21280	157.12	0.26	0.00	0.00	157.38
Waste Management Assistance	21285	2,130,959.33	3,731,276.63	(3,305,041.60)	(600,000.00)	1,957,194.36
Hazardous Waste Fund	21290	225,263.10	205,519.99	(76,020.31)	0.00	354,762.78
FPR - Land Acquisitions	21293	23,610.68	31,000.00	(556.79)	0.00	54,053.89
Environmental Permit Fund	21295	740,064.36	5,025,717.23	(4,947,121.68)	0.00	818,659.91
Hydroelectric Licensing Fund	21300	25,736.90	7,095.40	0.00	0.00	32,832.30
Sunderland Landfill	21315	14,465.27	23.58	0.00	0.00	14,488.85
Central Vt Shopping Ctr	21320	154,784.94	252.29	0.00	0.00	155,037.23
Historic Sites Special Fund	21325	58,820.06	424,074.10	(460,191.94)	0.00	22,702.22
Municipal & Regional Planning	21330	190,740.53	4,315,623.24	(3,231,888.35)	(997,867.40)	276,608.02
Insurance Reserve Fund	21335	140,421.54	642,766.82	(841,127.83)	69,204.00	11,264.53
Unorganized Towns-Bennington	21345	34,685.91	71,555.90	(76,839.85)	0.00	29,401.96
Unorganized Towns-Chittenden	21350	(22,490.22)	31,712.18	(40,790.06)	0.00	(31,568.10)
Unorganized Towns-Windham	21355	14,927.96	118,339.04	(107,789.99)	0.00	25,477.01
Tobacco Litigation Settlement	21370	0.00	33,853,291.31	(41,574,721.78)	7,701,054.22	(20,376.25)
AG-Tobacco Settlement	21372	334,531.97	0.00	(42,413.47)	0.00	292,118.50
Tobacco Trust Fund	21375	22,537,723.55	2,422,484.26	(116,284.57)	(7,719,049.22)	17,124,874.02

## Special Fund Summary EOFY 2011

Special Fund Name	SF #	Fund Net Assets 7/1/10	All Revenues	All Expenses	Other Financing (Uses) Sources	Fund Net Assets 6/30/11
Williamstown Env & Public Hlth	21390	192,239.52	313.35	0.00	0.00	192,552.87
State Register Publications Fd	21397	1,364.53	109.00	0.00	0.00	1,473.53
Bond Investment Earnings Fund	21405	0.70	23,120.30	0.00	(23,120.30)	0.70
Flexible Spending	21430	47,581.00	2,083,056.87	(1,971,505.30)	0.00	159,132.57
AHS Administrative Fund	21435	7,329.25	0.00	(7,329.25)	0.00	0.00
All Terrain Vehicles	21440	82,674.53	308,884.63	(377,800.68)	0.00	13,758.48
Art Acquisition Fund	21445	77,500.00	0.00	0.00	0.00	77,500.00
Gross Revenue Fund	21450	660.20	(660.20)	0.00	0.00	0.00
Fuel Efficiency Fund	21452	2,487,965.64	3,451.04	(826,912.74)	0.00	1,664,503.94
Vt Recreational Trails Fund	21455	194,234.11	0.00	(362,640.35)	370,000.00	201,593.76
Laboratory Services	21460	37,663.21	948,587.91	(969,682.20)	0.00	16,568.92
Medical Practice	21470	918,163.79	1,718,369.42	(1,029,575.60)	0.00	1,606,957.61
Hospital Licensing Fees	21471	0.00	140,222.00	(140,222.00)	0.00	0.00
Natural Resources Mgmt	21475	15,536.53	424,021.85	(405,378.45)	0.00	34,179.93
Otto Johnson Fund	21480	0.00	8,336.02	(8,336.02)	0.00	0.00
PILOT	21485	1,066,205.96	5,633,438.83	(5,874,000.00)	0.00	825,644.79
Rabies Control	21490	4,591.00	79,275.00	(34,615.80)	(42,308.20)	6,942.00
Snowmobile Trails	21495	108,834.25	872,735.42	(792,018.79)	0.00	189,550.88
Inter-Unit Transfers Fund	21500	1,814,120.71	45,931,641.05	(45,517,368.23)	73,906.78	2,302,300.31
ARRA Inter-Unit Subaward Fund	21502	(212,269.36)	39,487,867.98	(39,280,036.36)	0.00	(4,437.74)
Boating Safety	21505	44,915.23	0.00	(116,600.00)	144,766.09	73,081.32
Treas Retirement Admin Cost	21520	6,488.16	1,979,135.88	(1,979,135.89)	0.00	6,488.15
Conference Fees & Donations	21525	106,872.47	169,219.84	(159,861.35)	(48,586.52)	67,644.44
School Match	21535	61,173.27	11,651,916.14	(11,451,917.00)	0.00	261,172.41
Lands and Facilities Trust Fd	21550	4,054,807.17	1,026,017.98	(617,778.25)	0.00	4,463,046.90
Emergency Relief & Assist Fd	21555	25,583.72	0.02	(17,560.30)	0.00	8,023.44
Public Assistance Recoveries	21560	11,391.47	11,415.80	(21,536.39)	0.00	1,270.88
PATH-Donations	21565	0.00	134,500.00	(134,500.00)	0.00	0.00
Food Stamp Recoveries	21570	158,242.82	125,827.15	(128,278.00)	0.00	155,791.97
Downtown Trans & Capital Impro	21575	1,075,629.24	0.00	(174,631.90)	382,128.00	1,283,125.34
Surplus Property	21584	377,464.98	470,089.08	(368,435.63)	0.00	479,118.43
Pers-Human Resourc Development	21585	103,500.59	66,297.50	(69,533.02)	(51,325.09)	48,939.98
Tax-Miscellaneous Fees	21590	221,747.42	210,547.70	(349,707.34)	0.00	82,587.78
Tax-Local Option Process Fees	21591	4,463.79	655,233.00	(614,864.64)	0.00	44,832.15
Tax-Current Use Admin	21594	0.00	256,428.60	(230,797.21)	(23,428.60)	2,202.79
Public Records Special Fund	21595	146,746.52	8,766.17	0.00	0.00	155,512.69
BGS-BTS Marketing Costs	21599	80,065.15	0.00	(2,912.70)	0.00	77,152.45
BGS-Duxbury/Moretown	21600	16,660.58	0.00	(18,182.04)	0.00	(1,521.46)
Vital Records Special Fund	21602	137,834.79	88,053.16	0.00	0.00	225,887.95
Motorist Aid Refreshment Prog	21603	83,449.29	115,070.66	(66,489.79)	0.00	132,030.16
BGS-Recycling Efforts	21604	40,799.78	41,890.95	(16,211.16)	0.00	66,479.57
BGS-Newport Office	21606	2,500.00	0.00	0.00	0.00	2,500.00
BGS-Donations-St House Restore	21612	(1,194.99)	0.00	0.00	0.00	(1,194.99)
BGS-Sale of State Land	21613	1,623.59	225,008.00	(3,387.50)	(100,001.00)	123,243.09
Leg-State House Sick Room	21626	1,197.90	0.00	0.00	0.00	1,197.90
Leg-Sgt at Arms-Use of St Hous	21627	2,197.26	0.00	0.00	0.00	2,197.26
St Labor Relations Bd-Misc Rec	21633	8,581.68	1,830.03	(1,028.19)	0.00	9,383.52
AG-Consumer Fraud Restitution	21634	632,624.27	24,218.62	(34,466.59)	0.00	622,376.30
AG-Fees & Reimburs-Court Order	21638	36,116.90	610,000.00	(586,611.57)	0.00	59,505.33
AG-Court Diversion	21639	527.59	610,553.72	(610,553.18)	(528.13)	(0.00)
SA-Windsor Comm Prosecution Gr	21646	(2,583.57)	0.00	0.00	0.00	(2,583.57)
PS-Highway Safety	21649	10,485.00	0.00	0.00	0.00	10,485.00
PS-Sale of Photos	21651	3,577.85	16,896.75	(15,167.35)	0.00	5,307.25
PS-Explosive Handlers	21659	(8,678.00)	0.00	0.00	8,678.00	0.00
Mil-Armory Rentals	21660	3,652.11	430.00	0.00	0.00	4,082.11
Mil-Sale of Burl Armory & Othe	21661	106,449.59	0.00	0.00	0.00	106,449.59
Mil-Vets Cemetary Contribution	21662	93,415.90	60,047.07	(83,529.00)	0.00	69,933.97
AF&M-Agricultural Events	21666	34,183.54	12,254.86	(14,430.72)	0.00	32,007.68
AF&M-Laboratory Testing	21667	16,670.25	13,914.61	0.00	0.00	30,584.86
AF&M-Feed Seeds & Fertilizer	21668	459,061.37	1,182,627.68	(1,151,592.99)	0.00	490,096.06
AF&M-Pesticide Monitoring	21669	397,123.86	1,051,964.00	(1,077,522.06)	0.00	371,565.80
AF&M-Apple Marketing Board	21670	11,304.55	1,625.74	(6,367.00)	0.00	6,563.29

## Special Fund Summary EOFY 2011

Special Fund Name	SF #	Fund Net Assets 7/1/10	All Revenues	All Expenses	Other Financing (Uses) Sources	Fund Net Assets 6/30/11
AF&M-Agricultural Fees	21671	52,036.68	7,785.00	(20,240.77)	0.00	39,580.91
AF&M-Terminal Mkts-Ship Insp	21672	5,138.78	0.00	(114.23)	0.00	5,024.55
AF&M-Weights & Measures-Testin	21673	17,556.28	385,756.10	(360,664.84)	0.00	42,647.54
AF&M-Livestock Dealers/Transpo	21676	75,454.37	18,134.50	(8,006.52)	0.00	85,582.35
AF&M-Mosquito Control	21678	86,020.35	0.00	(77,746.70)	96,510.72	104,784.37
AF&M-Housing & Conservation Bd	21680	(27,721.90)	1,030,682.18	(1,041,380.76)	0.00	(38,420.48)
AF&M-Eastern States Building	21682	88,305.00	136,023.99	(114,896.08)	0.00	109,432.91
AF&M-Dairy Receipts	21684	13,129.03	27,397.00	(11,766.00)	0.00	28,760.03
AF&M-Meat Handlers	21685	15,061.44	10,750.00	(11,028.40)	0.00	14,783.04
AF&M-Pesticide Control	21686	3,408.21	72,089.84	(67,021.51)	0.00	8,476.54
AF&M-Promotional Activities	21687	1,337.46	31,477.00	(22,054.75)	0.00	10,759.71
AF&M-West Nile Virus	21688	52.00	0.00	0.00	(52.00)	0.00
BISHCA-Docket	21690	24,422.95	3,209.00	(3,209.00)	0.00	24,422.95
Human Rights Commission	21692	18,316.91	18,008.09	0.00	0.00	36,325.00
PSD-Regulation/Energy Efficient	21698	(31,752.81)	10,889,115.89	(6,203,387.80)	(2,994,558.54)	1,659,416.74
PSD-Telecomm Serv for Deaf	21703	33,427.22	416,707.73	(415,527.86)	0.00	34,607.09
PSD-Rate & Tariff Power	21706	(14,273.59)	2,518,395.80	(2,475,016.42)	0.00	29,105.79
PSB-Special Fds	21709	597,253.14	486,269.87	(2,684,082.02)	2,926,015.54	1,325,456.53
Enhanced 9-1-1 Board	21711	1,759,159.10	4,605,803.04	(4,493,456.75)	(18,899.00)	1,852,606.39
OCS-Child Supp Collect-ANFC	21721	89,490.20	435,466.00	(524,956.20)	0.00	0.00
HE-Food & Lodging Fees	21731	(3,441.37)	908,550.00	(905,108.63)	0.00	0.00
GCW-Misc	21748	12,670.36	364.61	0.00	0.00	13,034.97
DET-Adm Rec/Fac Admin Other Fd	21749	0.38	0.00	0.00	(0.38)	0.00
DET-Apprenticeship Train OFS	21752	550.06	174,833.98	(173,624.04)	0.00	1,760.00
ED-Health-Infants & Toddlers	21763	490.00	(490.00)	0.00	0.00	0.00
ED-Medicaid Reimb-Admin	21764	3,807,369.85	0.00	(15,734,774.46)	14,193,755.15	2,266,350.54
Vets Home-Private Pay	21767	(746,250.69)	2,064,937.81	(2,144,587.00)	0.00	(825,899.88)
Vets Home-Dom Applied Income	21768	83,616.35	68,405.03	(49,275.00)	0.00	102,746.38
Local Comm Implementation Fund	21772	86,830.86	141.51	0.00	0.00	86,972.37
Impaired Water Restoration Fnd	21773	568,754.65	55,973.36	(13,475.65)	0.00	611,252.36
Pollution Prevention Plans Fee	21776	16,962.41	49,200.00	(63,676.44)	0.00	2,485.97
FPR-Laura Burnham Estate	21778	10,402.90	0.00	0.00	0.00	10,402.90
FPR-Youth Conservation Corps	21779	3,593.00	337,005.92	(337,005.92)	0.00	3,593.00
FPR-Earth People's Park	21781	2,383.74	(102.66)	(2,249.00)	0.00	32.08
Vermont Medicaid	21782	4,823,636.28	5,839,225.38	(6,596,799.53)	(139,657.00)	3,926,405.13
New York Medicaid	21785	2,134,551.09	2,070,786.87	(2,007,500.00)	0.00	2,197,837.96
Streamgauging Fees	21786	55,749.00	15,400.00	(7,793.00)	0.00	63,356.00
EC-Geological Publications	21787	5,396.17	3,691.00	0.00	0.00	9,087.17
Miscellaneous Settlement Fund	21788	2,970,753.11	667,500.00	(334,014.83)	0.00	3,304,238.28
EC-Tax Loss-Conn Riv Flood Ctl	21789	0.00	31,230.00	(31,230.00)	0.00	0.00
EC-Aquatic Nuisance Control	21790	(27,124.74)	0.00	0.00	0.00	(27,124.74)
EC-VT Poll Control 24VSA4753	21793	115,346.98	575,912.33	(550,694.67)	0.00	140,564.64
SRS-Social Security	21809	0.00	1,043,480.45	(1,043,480.45)	0.00	0.00
SRS-Parental Child Support	21810	0.00	214,825.11	(214,825.11)	0.00	0.00
Attorney Admission,Licensing,&	21811	751,372.17	662,413.00	(653,894.43)	0.00	759,890.74
VR Fees	21813	0.00	1,126,468.71	(1,126,468.71)	0.00	0.00
DAD-Vending Facilities	21815	23,577.99	163,221.46	(186,799.45)	0.00	(0.00)
ACCD-Mobile Home Park Laws	21819	0.00	59,760.00	(59,760.00)	0.00	0.00
ACCD-Miscellaneous Receipts	21820	0.00	27,454.01	(22,451.01)	0.00	5,003.00
BGS ACCD Tourism & Marketing Broch	21822	185,693.14	182,582.36	(200,795.60)	0.00	167,479.90
Sale of Copies/Publications	21824	483.29	4,849.00	(2,059.23)	0.00	3,273.06
Memorial Gifts	21825	5,453.84	35.00	(1,000.00)	0.00	4,488.84
HE-Lead Abatement Fees	21828	0.00	41,296.00	(41,296.00)	0.00	0.00
HE-Third Party Reimbursement	21829	0.00	2,023,485.92	(1,501,010.92)	0.00	522,475.00
HE-Asbestos Fees	21832	0.00	150,162.00	(150,162.00)	0.00	0.00
HE-Medicaid in Schools	21834	(216,000.00)	0.00	0.00	0.00	(216,000.00)
HE-AIDS Medication Rebates	21836	0.00	842,372.58	(823,478.58)	0.00	18,894.00
HE-ADAP DDRP Fees	21837	0.00	167,080.00	(167,080.00)	0.00	0.00
CORR-Supervision Fees	21843	1,750,676.84	943,233.95	(889,577.00)	0.00	1,804,333.79
PERS-Recruitment Services	21844	12,831.34	100,777.38	(103,448.85)	0.00	10,159.87
Chitt-Women Help Battered Wome	21846	(17,971.17)	8,400.00	(17,363.00)	0.00	(26,934.17)
Windsor-Armory Square Project	21847	10,000.00	0.00	0.00	(10,000.00)	0.00
ED-Private Sector Grants	21848	67,470.93	(515.01)	(802.31)	0.00	66,153.61
PS-Law Enforcement Services	21851	(11,696.59)	538,195.50	(532,496.29)	0.00	(5,997.38)
PS-VAST	21852	40,578.73	33,591.34	(74,170.07)	0.00	0.00

## Special Fund Summary EOFY 2011

Special Fund Name	SF #	Fund Net Assets 7/1/10	All Revenues	All Expenses	Other Financing (Uses) Sources	Fund Net Assets 6/30/11
PS-Fingerprint Fees	21856	37,417.49	201,776.80	(184,679.25)	0.00	54,515.04
PS-VIBRS	21857	81,727.20	1,130,831.81	(896,526.66)	0.00	316,032.35
SRS-Build Bright Spaces/Future	21858	23,943.44	18,502.85	(23,909.00)	0.00	18,537.29
EC-Laboratory Receipts	21861	75,154.34	42,979.60	(20,821.86)	0.00	97,312.08
EC-Motorboat Registration Fees	21862	695,756.82	0.00	(354,593.41)	474,241.82	815,405.23
Special Funds Debt Service	21868	1,125.85	0.00	(1,026,225.00)	0.00	(1,025,099.15)
Misc Special Revenue	21870	23,058.87	230,560.80	(100,729.65)	(8,678.00)	144,212.02
Gates Foundation Grants	21883	91.03	275,353.45	(25,175.00)	0.00	250,269.48
Emerg Pers Survivor Benefit Fd	21884	36,758.96	46.40	(100,000.00)	70,000.00	6,805.36
Judicial Project Support	21885	0.33	0.00	0.00	(0.33)	0.00
Treas-Refunding Bond Issue	21886	36,425.69	0.00	0.00	0.00	36,425.69
Risk Manage Ag Producers	21889	12,517.22	103,508.52	(67,763.65)	0.00	48,262.09
State's Att & Sheriff-Misc	21891	45,335.08	22,812.63	(22,724.80)	0.00	45,422.91
Green Mtn Cons Camp Endowment	21894	60,306.67	4,039.81	0.00	0.00	64,346.48
Upper Valley Regional Landfill	21895	255,681.02	411.29	(10,401.11)	0.00	245,691.20
Waterfront Preservation	21896	190,000.00	0.00	0.00	0.00	190,000.00
Fire Prev/Bldg Inspect Sp Fund	21901	874,334.10	4,193,013.86	(3,853,750.33)	46,206.99	1,259,804.62
Health Department-Special Fund	21902	71,511.00	707,241.27	(778,752.27)	0.00	0.00
PATH-Misc Fund	21903	581,291.98	3,258,262.47	(23,275,166.38)	20,150,919.16	715,307.23
Securities Investor Education	21906	113,819.93	43,233.55	0.00	0.00	157,053.48
Misc Grants Fund	21908	3,403.48	231,394.03	(231,479.17)	0.00	3,318.34
Tax Computer Sys Modernization	21909	836,539.26	2,748,755.16	(2,233,576.76)	(739.20)	1,350,978.46
Counselor Regulatory Fee Fund	21910	0.00	42,780.00	(42,780.00)	0.00	0.00
Sarcoidosis Benefit Trust Fund	21911	298,292.41	0.00	(473,239.43)	46,000.00	(128,947.02)
Evidence-Based Educ & Advertis	21912	1,074,950.40	205,427.45	(250,000.00)	0.00	1,030,377.85
Workforce Ed & Training Fund	21913	(8,365.86)	0.00	(1,453,999.64)	2,650,975.00	1,188,609.50
Crime Victims Restitution Fund	21915	1,202,831.40	2,286,065.84	(2,360,554.15)	0.00	1,128,343.09
Vermont Health IT Fund	21916	2,656,497.96	2,877,846.67	(589,401.74)	0.00	4,944,942.89
Public Funds Investigation	21917	100,000.00	0.00	0.00	0.00	100,000.00
Archeology Operations	21918	0.00	2,000.00	0.00	38,550.42	40,550.42
VOL Membership/Dues	21920	98,837.43	111,738.68	(104,642.87)	0.00	105,933.24
Restitution Special Fund	21925	0.00	589.42	(503.95)	0.00	85.47
Information Center Revenues	21936	0.00	23,206.19	0.00	0.00	23,206.19
Court Technology Fund	21941	2,271,435.48	1,687,165.73	(2,865,115.70)	0.00	1,093,485.51
Municipal Tkt Repay Revolving	21942	179,301.11	97,687.48	(97,687.48)	0.00	179,301.11
DOC-Corrections Donations	21945	1,102.00	300.00	0.00	0.00	1,402.00
Property Assessment Fund	21955	0.61	0.00	0.00	(0.61)	0.00
Unsafe Dam Revolving Loan Fund	21960	32,900.00	11.35	0.00	0.00	32,911.35
Animal Spay/Neutering Fund	21965	214,485.35	234,035.54	(274,821.30)	0.00	173,699.59
Registration Fees Fund	21970	9,032.71	36,957.59	(25,357.03)	0.00	20,633.27
Armed Services Scholarship Fnd	21975	21,087.72	39.21	(12,975.00)	16,484.00	24,635.93
Indemnification Fund	21980	370,185.57	1,077.05	(1,962.16)	0.00	369,300.46
State Health Care Resources Fd	21990	3,904,454.49	181,630,333.24	(180,441,590.00)	0.00	5,093,197.73
VT Clean Energy Dev Fund	21991	7,881,518.33	5,021,966.59	(3,539,774.46)	994,183.00	10,357,893.46
Next Generation Initiative Fnd	21992	2,397,568.07	2,220.58	(3,690,092.88)	2,056,475.00	766,170.77
VT Traumatic Brain Injury Fund	21994	1,244.46	2.05	0.00	0.00	1,246.51
<b>Totals Special Funds</b>		<b>101,782,100.06</b>	<b>520,710,924.96</b>	<b>(535,955,351.00)</b>	<b>20,218,202.22</b>	<b>106,755,876.24</b>

**State of Vermont**

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

*Agency of Administration*

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**MEMORANDUM**

**TO:** The Legislative Joint Fiscal Committee  
**CC:** Administration Secretary Jeb Spaulding, Administration Deputy Secretary Michael Clasen; Sue Zeller and Matt Riven  
**FROM:** Jim Reardon, Commissioner Finance & Management  
**RE:** Fiscal Year 2012 Base Reduction  
**DATE:** November 21, 2011

During the 2011 legislative session, a \$12 million reduction in FY 2012 base General Fund (GF) appropriations was enacted in 2011 Act 63 § B.110(a) (the Act). In accordance with the reporting requirements included in the Act language, a summary of how the reductions were or were not achieved is provided below.

On behalf of the Secretary of Administration, we hereby report that, of the total \$12 million, \$8.164 million in GF appropriation reductions were distributed; \$1.254 million in appropriation reductions were made in funds other than GF - the savings from which were transferred (direct applications) to GF; and \$2.582 million in savings were not achieved.

Allocation of Saving Reduction Achieved per 2011 Act 63 Sec. B.1101	Retirement Savings	Furlough Days	Health Plan Savings	Hiring Freeze	Total Savings Allocated
General Fund Appropriation Reductions	(2,000,000)	(57,570)	(2,519,982)	(3,586,000)	(8,163,552)
Other Funds Appropriation Reductions (direct applications to GF)	-	-	-	(1,254,000)	(1,254,000)
Net Savings Achieved/Allocated	(2,000,000)	(57,570)	(2,519,982)	(4,840,000)	(9,417,552)
Original Savings Target					(12,000,000)
Grand Total Net General Fund - 2011 Act 63 Sec. B.1101 (Savings Not Achieved/Allocated)					2,582,448

A detailed list of reductions by department and fund is attached. Should you require additional information, I will be happy to provide it.



**Allocation of FY 2012 Saving Reduction, per 2011 Act 63 Sec. B.1101**

	Retirement Savings	Furlough Days	Health plan savings	Hiring Freeze	Total Savings Allocated
<b>GENERAL FUND</b>					
<b>Appropriation Changes</b>					
<b>GENERAL GOVERNMENT</b>					
Administration - secretary's office	(3,786)	-	(5,906)	-	(9,692)
Information and innovation	-	-	(109)	-	(109)
Finance and management	(3,926)	-	(5,325)	(25,000)	(34,251)
Human resources	(37,343)	(1,046)	(16,616)	(55,000)	(110,005)
Libraries	(13,478)	(3,130)	(13,870)	(20,000)	(50,478)
Tax	(80,966)	-	(108,582)	(250,000)	(439,548)
Buildings and general services	(4,802)	(9,617)	(25,213)	-	(39,632)
Sub-total Agency of Administration	(144,301)	(13,793)	(175,621)	(350,000)	(683,715)
Executive office - governor's office	-	-	(5,781)	(10,000)	(15,781)
Legislative council	(11,855)	-	(21,509)	(15,000)	(48,364)
Legislature	(5,005)	-	(9,742)	-	(14,747)
Legislative information technology	(2,286)	-	(4,803)	-	(7,089)
Joint fiscal committee	(6,135)	-	(10,046)	(10,000)	(26,181)
Sergeant at arms	(1,732)	-	(4,224)	-	(5,956)
Lieutenant governor	(812)	-	(74)	-	(886)
Auditor of accounts	(1,708)	-	(1,101)	(15,000)	(17,809)
State treasurer	(5,560)	-	(9,486)	(25,000)	(40,046)
State labor relations board	(1,015)	-	(2,276)	-	(3,291)
VOSHA review board	-	-	(7)	-	(7)
Homeowner rebate	-	-	-	-	-
Renter rebate	-	-	-	-	-
Use tax reimbursement fund - municipal current use	-	-	-	-	-
Sub-total General Government	(180,409)	(13,793)	(244,670)	(425,000)	(863,872)
<b>PROTECTION OF PERSONS &amp; PROPERTY</b>					
Attorney general	(41,365)	(3,094)	(32,533)	(35,000)	(111,992)
Vermont court diversion	-	-	-	-	-
Defender general	(32,384)	-	(58,399)	(25,000)	(115,783)
Judiciary	(157,451)	-	(214,058)	-	(371,509)
State's attorneys	(58,209)	-	(79,639)	(65,000)	(202,848)
Special investigative units	-	-	-	-	-
Sheriffs	(18,605)	-	(35,719)	(25,000)	(79,324)
Public safety	(344,739)	(1,546)	(378,697)	(446,000)	(1,170,982)
Military	(14,130)	-	(21,918)	(50,000)	(86,048)
Center for crime victims services	-	-	-	-	-
Criminal justice training council	(4,685)	-	(5,745)	-	(10,430)
Agriculture, food and markets	(47,464)	(286)	(28,177)	(25,000)	(100,927)
Secretary of state	(9,148)	(1,786)	(10,198)	(30,000)	(51,132)
Human rights commission	(2,131)	-	(3,044)	-	(5,175)
Sub-total Protection of Persons & Property	(730,311)	(6,712)	(868,127)	(701,000)	(2,306,150)
<b>PROTECTION OF PERSONS &amp; PROPERTY</b>					
AHS - secretary's office	(16,286)	-	(24,032)	-	(40,318)
Secretary's office - Global Commitment	-	-	-	-	-
Department of Vermont health access - administration	(558)	(610)	(2,009)	-	(3,177)
Health	(44,608)	(5,841)	(39,601)	-	(90,050)
Mental health	(105,854)	-	(140,385)	(2,000,000)	(2,246,239)
Department for children and families	(186,644)	(4,071)	(217,924)	-	(408,639)
Disabilities, aging and independent living	(36,741)	(3,865)	(49,121)	-	(89,727)
Corrections	(513,016)	(3,014)	(722,519)	-	(1,238,549)
Sub-total Agency of Human Services	(903,707)	(17,401)	(1,195,591)	(2,000,000)	(4,116,699)
Commission on women	(1,776)	-	(2,380)	-	(4,156)
Retired senior volunteer program	-	-	-	-	-
Sub-total Human Services	(905,483)	(17,401)	(1,197,971)	(2,000,000)	(4,120,855)
<b>LABOR</b>					
Labor - administration	(10,851)	(2,556)	(11,428)	(50,000)	(74,835)
Sub-Total Labor	(10,851)	(2,556)	(11,428)	(50,000)	(74,835)

**Allocation of FY 2012 Saving Reduction, per 2011 Act 63 Sec. B.1101**

	Retirement Savings	Furlough Days	Health plan savings	Hiring Freeze	Total Savings Allocated
<b>GENERAL EDUCATION</b>					
Education - finance/administration/ed services	(29,684)	(7,975)	(31,790)	(100,000)	(169,449)
Appropriation and transfer to education fund	-	-	-	-	-
State teachers' retirement system	-	-	-	-	-
<b>Sub-Total General Education</b>	<b>(29,684)</b>	<b>(7,975)</b>	<b>(31,790)</b>	<b>(100,000)</b>	<b>(169,449)</b>
<b>HIGHER EDUCATION</b>					
University of Vermont	-	-	-	-	-
Vermont public television	-	-	-	-	-
Vermont state colleges	-	-	-	-	-
Vermont state colleges - allied health	-	-	-	-	-
Vermont interactive television	-	-	-	-	-
Vermont student assistance corporation	-	-	-	-	-
New England higher education compact	-	-	-	-	-
University of Vt - Morgan Horse Farm	-	-	-	-	-
<b>Sub-Total Higher Education</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NATURAL RESOURCES</b>					
Agency of natural resources - administration	(16,265)	-	(24,574)	(37,712)	(78,551)
Fish and wildlife - support and field services	-	-	(6,116)	(58,317)	(64,433)
Forests, parks and recreation - administration	(27,296)	(3,110)	(40,023)	-	(70,429)
Environmental conservation - management and support services	(40,329)	(607)	(50,547)	(143,971)	(235,454)
<b>Sub-Total Agency of Natural Resources</b>	<b>(83,890)</b>	<b>(3,717)</b>	<b>(121,260)</b>	<b>(240,000)</b>	<b>(448,867)</b>
Natural resources board	(16,692)	(2,549)	(7,335)	(10,000)	(36,576)
<b>Sub-Total Natural Resources</b>	<b>(100,582)</b>	<b>(6,266)</b>	<b>(128,595)</b>	<b>(250,000)</b>	<b>(485,443)</b>
<b>COMMERCE &amp; COMMUNITY DEVELOPMENT</b>					
Agency of commerce and community development - administration	(12,436)	-	(16,171)	-	(28,607)
Economic, housing, and community development	(18,569)	(2,867)	(14,737)	(60,000)	(96,173)
Tourism and marketing	(11,675)	-	(6,493)	-	(18,168)
<b>Sub-Total Agency of Commerce</b>	<b>(42,680)</b>	<b>(2,867)</b>	<b>(37,401)</b>	<b>(60,000)</b>	<b>(142,948)</b>
Vermont council on the arts	-	-	-	-	-
Vermont symphony orchestra	-	-	-	-	-
Vermont historical society	-	-	-	-	-
Vermont humanities council	-	-	-	-	-
<b>Sub-Total Commerce</b>	<b>(42,680)</b>	<b>(2,867)</b>	<b>(37,401)</b>	<b>(60,000)</b>	<b>(142,948)</b>
<b>TRANSPORTATION</b>					
All Transportation	-	-	-	-	-
<b>Sub-Total Debt Service</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>DEBT SERVICE</b>					
Debt service	-	-	-	-	-
<b>Sub-Total Debt Service</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Sub-Total General Fund Appropriation Reductions</b>	<b>(2,000,000)</b>	<b>(57,570)</b>	<b>(2,519,982)</b>	<b>(3,586,000)</b>	<b>(8,163,552)</b>
<b>Direct Applications from Other Funds To GF</b>					
Agency of Transportation - Transportation Fund				(750,000)	(750,000)
Insurance Regulatory and Supervision Fund (BISHCA)				(85,000)	(85,000)
Attorney General Inter-Unit Fund				(25,000)	(25,000)
Public Safety - Fingerprint Fees				(54,000)	(54,000)
Liquor Control Enterprise Fund				(40,000)	(40,000)
BGS Facilities Operations Fund				(300,000)	(300,000)
<b>Sub-Total General Fund Direct Applications from Other Funds</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>(1,254,000)</b>	<b>(1,254,000)</b>
<b>Net Savings Achieved/Allocated</b>	<b>(2,000,000)</b>	<b>(57,570)</b>	<b>(2,519,982)</b>	<b>(4,840,000)</b>	<b>(9,417,552)</b>
<b>2011 Act 63 Sec. B.1101 Reduction Target</b>					<b>12,000,000</b>
<b>Grand Total General Fund - 2011 Act 63 Sec. B.1101 (Savings Not Achieved/Allocated)</b>					<b>2,582,448</b>

## M E M O R A N D U M

TO: Michael Clasen, Deputy Secretary of Administration  
 CC: Secretary Jeb Spaulding, Commissioner Jim Reardon,  
 Deputy Commissioner Susan Zeller, Senate President *Pro Tempore*  
 John Campbell, and House Speaker Shap Smith  
 FROM: Representative Donna Sweaney, Chair, and Senator Diane Snelling, Vice  
 Chair, Government Accountability Committee  
 RE: Quarterly Outcome and Measures Reporting  
 DATE: October 21, 2011

The Government Accountability Committee (GAC) has received your memorandum on behalf of the agencies and departments involved in the quarterly progress reporting (required for the last six quarters by 2010's Act No. 146) to temporarily suspend these reports until the Administration has completed its consolidated Strategic Planning Initiative. The Committee gratefully acknowledges the work of many who have helped create the quarterly reports, and who have also recently added responsibilities following the damage and dislocation of Tropical Storm Irene.

On behalf of the Legislature, we welcome the news of the Administration's government-wide strategic planning process to develop measurable outcomes in alignment with the Governor's priorities. Beginning in 2008, the legislative branch, via the Government Accountability Committee, has endeavored to collaborate with the executive branch in developing methods to measure the results of policy choices and inform long-term planning.

The Government Accountability Committee accepts the request to temporarily suspend the quarterly progress reports with the following agreements:

- The mutual goal of the Legislature and the Administration is an accessible system of data collection that objectively measures outcomes.
- A results-based system will serve any Governor, any General Assembly, and the public by clearly showing progress on all stated priorities.
- The Administration will continue to share updates with the GAC on the progress of the initial consolidated strategic plan, including a draft of the presentation template, and by December 5, 2011, will submit to the GAC a draft of the initial consolidated strategic plan.
- At its meeting on December 5, 2011, the GAC will review the draft plan, and consider if the legislative intent of the quarterly reports required by 2010's Act No. 146 can be achieved with a new format.
- Each agency shall identify possible fundamental changes in agency operation uncovered by Tropical Storm Irene.

In conclusion, we understand the exigencies of our current situation and the Administration's need to focus its efforts. It is our hope that the strategic planning efforts of the Administration and those that emerge from the legislative process will lead to a common process of setting goals and outcomes for Vermont's government.



H.S.I.

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*Agency of Human Services*

## **VERMONT2011**

### *School Based Substance Abuse Services*

Report to the Legislature on **SAP Plan in Act 63**  
November 2, 2011

#### **Introduction**

In response to Act 63, Section E.313(c), this document outlines the Vermont Department of Health's plan for allocating funds to schools for substance use prevention and early intervention services for fiscal year 2013. In preparation for this recommendation, the Health Department held multiple meetings with stakeholders in the Department of Education, Department of Mental Health, the Vermont Student Assistance Program, the Vermont Principal's Association and the Vermont Superintendent's Association.

#### **Determination of Funding Allocation and Grant Amounts**

Funds will be allocated to Supervisory Unions (SU) using a competitive process that considers:

- A. Need demonstrated by substance use and mental health indicators as well as poverty indicators.
  - YRBS data will be used to determine prevalence rates for substance use and mental health problems among students by SU.
  - Poverty level by SU will be determined by number of students on the Free & Reduced Meal Program.
- B. Readiness determined by the existence of a school leadership team of which the ADAP grant coordinator will be an active member.
- C. Matching funds or in kind services
- D. Number of students by SU

Assuming funding of \$830,000 for FY13, 20 Supervisory Unions will be selected to receive up to \$40,000 each. To support training and other statewide supports, \$30,000 will be retained.

#### **Funded Services and Evaluation Process**

Supervisory unions will choose from a menu of prevention and early intervention activities and will need to make a connection between their selected activities and their school needs based on YRBS data and other sources. This menu of allowable activities will include but not be limited to:

- Support of coordinated school health initiatives
- Screening and referral to substance abuse and mental health services
- Implementation of evidence based curriculum
- Organization of youth empowerment groups
- Delivery of parent programs
- Delivery of teacher and support staff training

The program evaluation will include process and outcome measures that are specific to each allowable activity.

### **Conclusion**

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Over the last five years, the Division of Alcohol and Drug Abuse Programs has supported a comprehensive substance abuse prevention effort and it demonstrated success. According to the 2011 Vermont Youth Risk Behavior Survey, alcohol and marijuana use prior to age 13 has significantly decreased. Significant reductions were also achieved in the percentage of students who have ever used alcohol. Prevention services delivered through schools are essential to our comprehensive substance abuse prevention



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*Agency of Human Services*

## MEMORANDUM

**TO:** Joint Fiscal Committee

**CC:** Douglas Racine, Secretary, Agency of Human Services  
Mark Larson, Commissioner, Department of Vermont Health Access

**FROM:** Victoria Loner, DVHA Deputy Commissioner, Health Services & Managed Care

**DATE:** November 7, 2011

**RE:** Report requirement, per 33 VSA § 1998

The report requirement contained in 33 VSA § 1998, "Pharmacy best practices and cost control program established" will not be produced this quarter.

It is an obsolete report requirement based on program operations that no longer are relevant. There is a new report on the Single Prescription Drug Formulary Recommendation due 1/15/12 that will speak to cost effective purchasing, per Act 48 Sec.18 of the 2011 legislative session.

Please do not hesitate to contact me with any questions.




## AGENCY OF HUMAN SERVICES

DEPARTMENT OF DISABILITIES, AGING AND INDEPENDENT LIVING

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Commissioner's Office  
103 South Main Street  
Waterbury VT 05671-1601  
Voice (802) 871-3346  
Fax (802) 871-3281

TO: Joint Fiscal Committee

FROM:  Susan Wehry, Commissioner, Department of Disabilities, Aging,  
and Independent Living  
Douglas Racine, Secretary, Agency of Human Services

DATE: November 8, 2011

RE: Money Follows the Person Grant

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Attached please find a timeline for the Money Follows the Person Rebalancing Demonstration grant (Act 63, Sec. E.300(a) of 2011] The Department of Disabilities, Aging, and Independent Living staff are working diligently to hire a Project Director for this grant.

Please let us know if you need any further information.

## ***Report to JFO re: Money Follows the Person ( MFP) - 2011***

### **Activities to date:**

- January 6: DAIL submitted MFP application to CMS.
- February 22: Received notification from CMS of the \$17.9 million award to Vermont for MFP.
- March: Staff completed the RFR's for the positions and sent them on to Human Resources for review and classification.
- April 1: Final Operational Protocol was submitted to and accepted by CMS.
- July 11: DAIL received approval from Joint Fiscal Committee to accept the MFP award.
- July 27: DAIL received notice of positions classifications from Montpelier Classification office.
- August 8: DAIL submitted position ad and request to HR for position recruitment for Project Director.
- September 9: DAIL received first set of resumes in response for position advertisement for Project Director
- October 11-14: Interviews held for 6 applicants for Project Director position
- October 15: Position offered to top candidate. Offer refused due to inadequate salary offer.
- October 16-19: Interim Project Director (DDAS Assistant Director) attends MFP Summit. This meeting was a condition of the grant for new and current MFP projects.
- October 24: Second applicant offer made and not accepted.

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*Agency of Human Services*

## **VERMONT2011**

### ***HIV/AIDS Services Report***

Report to the Legislature's Joint Fiscal Committee  
Act 63, Section E. 312 (b)  
November, 14, 2011

### ***Introduction***

Act 63 (2011), Section E.312 (b) (2011) requires the Commissioner of Health, in consultation with AIDS Service Organizations, to report to the Joint Fiscal Committee by November 15, 2011 on whether the base level of funding for AIDS service organizations should be revised in lieu of providing supplemental funding to these organizations from unexpended AIDS/HIV medication allocations.

### ***Base Funding***

A base Global Commitment award of \$335K is allocated annually to AIDS Service Organizations (ASOs) in amounts proportionate to each agency's caseload of consumers living with HIV/AIDS. These funds are primarily used to provide direct services, either through medical case management (to include treatment adherence), or emergency financial assistance (e.g., rent and food assistance). In addition to the base award, for the past several years there has been \$140K in general funds allocated for the Vermont Medication Assistance Program (VMAP). These funds are available in the event that federal funds for HIV/AIDS medications become depleted during the year. Then at the end of the fiscal year, any unspent funds are granted out to ASOs in the same proportions as the base award.

For the past 4+ years, none of the \$140K was needed for medication purchases, leaving the entire \$140K available for the ASOs. Rather than distributing the \$140K in general funds to the ASO, the program was able to use funds from drug rebates paid by pharmaceutical companies for this purpose. Replacing general funds with rebate funds allowed us to preserve general funds and carry-forward the \$140K general funds from one fiscal year budget to the next. However, in the FY2012 budget, the \$140K VMAP allocation was removed since it had not been needed for many years.

### ***Need for Base Funding***

On October 6, 2011, the Commissioner of Health and Health Department staff met with AIDS Service Organization (ASO) representatives to discuss the ASOs needs for stable base funding equivalent to the current base of \$335K, but increased by the \$140K which they have been receiving for several years.

The ASOs reported that the additional funding from the \$140K has become essential to support program needs. Without these funds, ASOs must cut staff and institute caps on medical transportation and other emergency financial assistance, all of which have resulted in decreased services for people living with HIV/AIDS (PLWHA) in Vermont. These services are crucial to ensure referral to and maintenance of proper medical care in order to reduce the need for institutional medical care.

### ***Recommendation***

For state fiscal year 2013, VDH proposes a base budget increase of \$140K to the current \$335K budget allocation for ASOs, for a total of \$475K. This increase will be funded through the HIV/AIDS Medication special fund. In addition, to limit the need to further reduce services over the remainder of FY2012, VDH will distribute to ASOs the \$70K in GF that was carried forward for VMAP. VDH is confident this \$70K will not be needed to support medication purchases in SFY12.



Vermont Tobacco Evaluation and Review Board  
 Vermont Agency of Human Services  
 Tel: 802-241-2555  
 Email: [stephenmorabito@ahs.state.vt.us](mailto:stephenmorabito@ahs.state.vt.us)

TO: The Honorable Governor Peter Shumlin  
 Senate Appropriations Committee  
 House Appropriations Committee  
 Joint Fiscal Committee

FROM: Brian S. Flynn, ScD, Chair

DATE: October 15, 2011

RE: FY2013 Budget Recommendation for the Tobacco Control Program  
 (Section 271 of Act 152 (2000), 18 V.S.A. chapter 225, §9505(9))

The Tobacco Evaluation and Review Board and its committees have reviewed the comprehensive tobacco control program to assess performance and priorities for the coming fiscal year. Youth and adult smoking rates and exposure to secondhand smoke have dropped significantly and faster than national rates since the programs were introduced in 2001. These declines have been achieved through vigorous public education campaigns, community and school programs, accessible cessation services, smoke-free air laws, and cigarette price increases. We note with concern, however, that the declines have slowed in recent years as program funding has diminished.

The experience of many states over the past two decades shows that continued steady reduction of tobacco use is related to level of investment in tobacco control programs. States with longer-term programs have documented large health benefits and cost-savings through reductions in tobacco-related chronic diseases as a result of tobacco control investments. Sustaining our tobacco control investments will provide life-saving benefits for our citizens through further prevention of multiple serious chronic diseases. Vermont's efforts to reduce health care costs through chronic disease prevention depend substantially on continued tobacco use reductions.

Tobacco use is the number one cause of preventable disease and death in Vermont, costing over \$233 million per year for health care, \$72 million of which are Medicaid expenditures. Vermont's annual investment in tobacco control programs declined, however, from about \$5.2 million in 2008 to about \$3.4 million in the current year. The programs have adapted by refocusing their resources and, where necessary, reducing effort. Lower funding has resulted in lower expenditures on cessation programs, where the payoff in disease prevention is most rapid and demand is increasing, and in other important program areas. Continued funding reductions will jeopardize Vermont's notable success in reducing youth smoking and diminish the odds of further progress in reducing adult smoking.

We recommend FY2013 appropriations of \$4,871,730 from Master Settlement Agreement (MSA) payments to support the program, an amount equivalent to FY2010 funding levels. This amount is about 15% of Vermont's current annual MSA payment of \$32 million and just 35% of the amount recommended by the Centers for Disease Control and Prevention. The attached table shows recommended funding levels across Departments. Thank you for consideration of these recommendations. We will be happy to provide further information.

**Vermont Tobacco Evaluation and Review Board Recommendations for FY2013**  
**Total FY2013 Recommendation: \$4,871,730**

**Department of Health**

Total: \$2,553,007

**Tobacco Cessation Programs**

**\$991,803**

Provides nicotine replacement therapy and free quit smoking programs in-person, by telephone, and on the internet.

**Community-Based Programs**

**\$775,000**

Community coalitions provide prevention, cessation, and messaging activities for youth and adults geographically across the state.

**Tobacco Reduction Marketing & Public Education**

**\$1,029,705**

Provides state and local communication campaigns to help youth avoid smoking, help smokers to quit, and reduce exposure to second-hand smoke.

**Surveillance**

**\$140,000**

Administration of Adult Tobacco Survey required for program evaluation.

**Department of Education**

Total: \$498,917

**Grants and Technical Assistance**

Provides grants and technical assistance to Local Educational Agencies to implement model tobacco prevention programs.

**Department of Liquor Control**

Total: \$296,300

**Retailer Training and Compliance Checks**

Provides training to retail tobacco licensees and their employees and implements compliance checks for underage tobacco sales as required by statute.

**Tobacco Evaluation and Review Board (AHS Central Office)**

Total: \$100,000

**Board Support**

**\$100,000**

Continue funding one full-time staff and additional administrative support, and meeting expenses for staff and board members, as directed by statute.

**Independent Evaluation Contract**

**\$190,000**

Continue independent program evaluation as mandated by statute.



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## VERMONT STATE HOSPITAL REPLACEMENT PROJECT VERMONT DEPARTMENT OF MENTAL HEALTH

### Certificate of Need Implementation Report for Docket #10-001-H

The Commissioner of the Department of Banking, Insurance, Securities and Health Care Administration (BISHCA) issued a Certificate of Need for a 15-bed secure recovery residence (SRR) on January 5, 2011. Subsequent re-examination of the need for such a facility altered plans for VSH replacement, and the project was suspended. No money has been spent on developing the plans authorized by the CON.

The planning process for the SRR project engaged a broad group of stakeholders from whom valuable information and perspectives were gained. The learning acquired continues to serve as a resource in the context of state hospital replacement planning, which is moving forward under new and different circumstances resulting from the loss of the VSH facility by Tropical Storm Irene on August 28<sup>th</sup>.

The Department of Mental Health will adhere to the 6-month reporting schedule required by the CON.

Christine M. Oliver 11/1/11  
Christine M. Oliver Date  
Commissioner

SUBMITTED TO: Donna Jerry  
Health Policy Analyst  
BISHCA

cc: Doug Racine  
Rebecca C. Heintz  
Judy P. Rosenstreich



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: Joint Fiscal Committee Members  
From: Nathan Lavery, Fiscal Analyst  
Date: October 1, 2011  
Subject: Small Grant & Gift Quarterly Report

In accordance with the provisions of 32 V.S.A. § 5(a)(3), the Joint Fiscal Office is required to submit quarterly reports for small grant and gift requests with a value of \$5,000 or less.\* For the quarter ending June 30, 2011, the Joint Fiscal Office received notification of the following items:

1. \$5,000 grant from Ben & Jerry's Homemade, Inc. to the Agency of Agriculture. This funding will support the Farm First program's efforts to provide Vermont dairy producers support and resources for a range of issues, including legal, financial, and family issues.  
*[JFO received 8/11/11]*
2. \$500 grant from Blue Cross Blue Shield of Vermont to . to the Agency of Agriculture. This funding will support the Farm First program's efforts to provide Vermont dairy producers support and resources for a range of issues, including legal, financial, and family issues.  
*[JFO received 8/29/11]*
3. \$1,200 grant from the Farm Health Task Force to the Agency of Agriculture. This funding will support the Farm First program's efforts to provide Vermont dairy producers support and resources for a range of issues, including legal, financial, and family issues.  
*[JFO received 8/29/11]*

32 V.S.A. § 5(a)(3):

(3) This section shall not apply to the acceptance of grants, gifts, donations, loans, or other things of value with a value of \$5,000.00 or less, or to the acceptance by the department of forests, parks and recreation of grants, gifts, donations, loans, or other things of value with a value of \$15,000.00 or less, provided that such acceptance will not incur additional expense to the state or create an ongoing requirement for funds, services, or facilities. The secretary of administration and joint fiscal office shall be promptly notified of the source, value, and purpose of any items received under this subdivision. The joint fiscal office shall report all such items to the joint fiscal committee quarterly.

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\* Act 146 of the Acts of 2009 Adj. Session (2010), Sec. B.15 amended 32 V.S.A. § 5(a)(3) to permit the Department of Forests, Parks and recreation to accept grants with a value of up to \$15,000 under the "small grants" procedure. This change was part of the "Challenges for Change" initiative.



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: Joint Fiscal Committee Members  
From: Nathan Lavery, Fiscal Analyst  
Date: November 7, 2011  
Subject: Tropical Storm Irene Temporary Expedited Grant Review Policy Report

Pursuant to the Tropical Storm Irene Temporary Expedited Grant Review Policy, the following is a summary of all grants/donations submitted under this policy to the Joint Fiscal Committee. This policy expired on November 7, 2011; therefore, additional Irene-related grants or donations to the State of Vermont will be subject to the standard grant review process outlined in 32 V.S.A. § 5 and applicable Joint Fiscal Committee policies.

**JFO #2529** — \$63,000 worth of clothing from VTresponse.com, c/o Reality Venture Capital, LLC, to the Vermont Department of Labor. This Carhartt clothing will be utilized by Vermonters participating in the cleanup from Tropical Storm Irene as part of the Disaster Unemployment Assistance program for people who became unemployed as a result of recent flooding.

*[JFO received 10/13/11]*

**JFO #2533** – \$1,150 worth of office furniture (nine cubicles, five desks) from Denis, Ricker & Brown. This furniture will be used for workers from the Waterbury State Office Complex displaced due to Tropical Storm Irene.

*[JFO received 11/02/11]*

The following section summarizes other grants that were accepted in the wake of Tropical Storm Irene. These items were not subject to the Tropical Storm Irene Temporary Expedited Grant Review Policy, but were related to the recovery effort, and have been included here for informational purposes only.

**JFO #2522** — \$8,250,000 (estimated) grant from the Federal Emergency Management Agency to the Vermont Agency of Transportation. These funds will be used to provide disaster assistance for damages caused by tropical storm Irene in the following counties: Addison, Bennington, Caledonia, Chittenden, Essex, Franklin, Lamoille, Orange, Orleans, Rutland, Washington, Windham, Windsor. The actual amount of this award may vary subject to damage assessments.

*[JFO received 9/8/11]*

**JFO #2524** — \$195,720 grant from the U.S. Federal Emergency Management Agency (FEMA) to the Vermont Department of Mental Health. These emergency disaster funds will be used to provide crisis counseling for individuals and groups related to the impacts of Tropical Storm Irene. These services will be provided via a contract with Washington County Mental Health.

*[JFO received 9/29/11]*



## Vermont Telecommunications Authority

**TO:** House Committee on Commerce and Economic Development  
 House Committee on Corrections and Institutions  
 Senate Committee on Economic Development, Housing and General Affairs  
 Senate Committee on Finance  
 Joint Fiscal Committee  
 Secretary of the Administration  
 Secretary of the Agency of Commerce and Community Development (Challenge Lead)  
 Chief, Vermont Connect

**FROM:** Vermont Telecommunications Authority

**DATE:** October 1, 2011

**RE:** Quarterly Report per Section 49(i) of the FY2012 Capital Bill

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Per Section 49(i) of the FY2012 Capital Bill starting on October 1, 2011 the Vermont Telecommunication Authority (VTA) is to submit a report on investments made or grants awarded that are in furtherance of the goals stated in 30 V.S.A. § 8060(b) using the telecommunications measures established pursuant to No. 146 of the Acts of the 2009 Adj. Sess. (2010) (an act relating to implementation of challenges for change) to track the progress made in attaining those goals through such investments and grants. The progress report provided below reflects the outcomes and measures applied under Outcome 2, Measures 2, of the Economic Development Challenge (see Challenges for Change, Quarterly Progress Report, p. 97-98, July 2011) to projects funded under Section 49 and location-specific information on the progress of deployment of telecommunications technology that does not require the utilization of towers:

- (i) Percentage of residences and businesses with broadband access, using the current Vermont definition of broadband
- (ii) Percentage of cellular coverage on major roads
- (iii) Percentage of cellular coverage on minor roads
- (iv) Percent of State where public safety radios work

## **Measure 2(i): Progress made in attaining broadband telecommunications goals.**

### **Summary: Statutorily-required Public Comment Period in Progress.**

The standard used to measure broadband coverage is currently identified as areas with at least 768kbps download and 200kbps upload speeds, and includes cable, DSL, fiber optic and wireless broadband (fixed and mobile). Satellite-based coverage is not included.

The goal is to estimate the change in statewide broadband availability at the address-level (Measure 2(i)). To estimate the availability of broadband at the address level the Vermont Broadband Mapping Initiative<sup>1</sup> utilizes broadband coverage maps to estimate the percentage of buildings with coverage based on E911 addresses. The coverage areas are drawn from data provided by broadband providers as of December 31, 2010 and the accuracy and/or margin of error is not known. From these maps it is estimated that 94.6% of Vermont buildings fall within areas identified as having broadband coverage. Updated coverage estimates as of June 30, 2011 are expected to become available later in the fourth quarter of 2011.

Prior to awarding grants to expand broadband service and prior to the construction or installation of VTA-owned fiber optic facilities, Section 49 of the Fiscal Year 2012 Capital Bill requires the VTA to issue a Request for Public Comment. The VTA has identified both a proposed schedule, parameters for a broadband grant program and a potential set of multiple-use fiber optic facilities to be constructed using state capital appropriations. With this information the VTA has issued a Request for Public Comments (see [www.telecomvt.org/broadbandcomments2011](http://www.telecomvt.org/broadbandcomments2011)). Responses to this request are due October 6, 2011. In coordination with the Agency of Administration, the VTA has identified a schedule for issuing a request for broadband grant funding.<sup>2</sup> The VTA has also issued a Request for Quotations (RFQ) for engineering and design services associated with its proposed fiber optic projects, with responses due October 11, 2011.

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<sup>1</sup> The Vermont Broadband Mapping Initiative is a collaborative effort of the Vermont Center for Geographic Information (VCGI), the Vermont Department of Public Service (DPS), the UVM Center for Rural Studies and the Vermont Telecommunications Authority (VTA), funded by a grant from the U.S. Dept. of Commerce.

<sup>2</sup> Working with the Agency of Administration, the VTA proposed that the process of identifying and addressing unserved areas of the state should include the following steps:

1. The Agency of Administration has engaged a contractor to identify unserved areas in Vermont, based on Broadband Mapping Initiative (BMI) data reflecting service as of 12/31/2010, the most recent data available. These will be used to form a new set of broadband Target Communities, to be published in early October 2011.
2. The VTA issued a Request for Proposals for Cellular Service in unserved Target Corridors on September 7, 2011. The VTA will seek to identify Target Communities that can be addressed at the same time as cellular Target Corridors.
3. The VTA will seek to identify those Target Communities where last-mile broadband service can be expanded through VTA-developed fiber optic facilities serving multiple purposes, as proposed for comment in this Request.
4. By January 13, 2012, the Agency of Administration is expected to revise the Target Communities based on new BMI data reflecting broadband service as of

## **Measure 2(ii) and 2(iii): Progress made in attaining mobile telecommunications goals.**

**Summary: Statutorily-required Public Comment Period Completed.**

**Statutorily-required Competitive Solicitation in Progress.**

Based on 2010 drive-test data collected through the Vermont Broadband Mapping Initiative, the VTA has estimated that 87% of major roads and 76% of minor roads have mobile telecommunications coverage ("roads" are defined as roads that are part of the federal aid highway system, not city streets or residential neighborhoods). Coverage of both major air interfaces for cellular phones, GSM (used by AT&T and T-Mobile) and CDMA (used by Verizon Wireless, Sprint, and US Cellular) was examined. The reported numbers reflect the coverage for GSM phones, which was more extensive (the CDMA estimate is 55% of major roads and 44% of minor roads). It should be noted that these relatively high coverage percentages do not reflect low coverage or gaps in coverage that can result in dropped calls or inadequate signal transmission.

As part of its duties under 3 V.S.A. § 2222b (b) (1), the Agency of Administration is developing an inventory of locations at which mobile telecommunications and broadband services are not available within the state. The VTA understands that, as part of that initiative, the Agency is pursuing a set of information requests to cellular operators in Vermont, from which it anticipates reporting updated aggregated data on cellular coverage. The new coverage data is scheduled to be available sometime in January, 2012. Based on this schedule, the VTA plans to issue a First Quarter, 2012 report that will reflect the change in cellular coverage utilizing the data that becomes available at that time.

Section 49 of the Fiscal Year 2012 Capital Bill requires a competitive solicitation, as well as a Request for Public Comment to enlist the cell-phone user experience of Vermont residents. The Request for Public Comment has been completed and results posted on the VTA's web site (see Request for Proposals (RFP) on the topic of Providing Cellular Service in Unserved Vermont Communities for grants and direct investments in cellular infrastructure, with the responses of service providers and other related infrastructure providers due next week (October 6, 2012)). These steps lay the ground work for grants or direct investment in cellular infrastructure or

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6/30/2011 and will distinguish between areas with service at speeds of 768K download/200K upload, and those with service at speeds with 3M download/1M upload or better.

5. By January 15, 2012, FairPoint is expected to designate the Target Communities which will be the beneficiaries of its proposed new regulatory commitments to expand broadband service.
6. By end of January 2012, the VTA intends to issue a Request for Proposal for broadband service providers which seek additional funding from the VTA, including grants, for remaining unserved areas that do not anticipate broadband coverage from other funded projects.

equipment. The VTA anticipates selecting projects to fund using FY 2012 Capital Bill appropriations following receipt of responses to this RFP.

**Additional information under Section 49(i): Deployment of telecommunications technology that does not require utilization of towers, including location-specific information.**

**Summary: Progress reported in evaluating non-tower-based infrastructure providers.**

In March 2011, the VTA issued a Request for Information (RFI) on the subject of Small-Scale Rural Wireless Infrastructure Development. Based in part on responses to this RFI, the VTA issued a RFP on the topic of Providing Cellular Service in Unserved Vermont Communities, in which the VTA seeks proposals for grants or direct investment in cellular infrastructure to expand cellular service in Vermont using its FY2012 capital appropriation. The RFP requested proposals from alternative infrastructure providers, which could include a number of forms of non-tower-based cellular infrastructure. The response deadline for this RFP is October 6, 2011. In the last quarter of 2011, the VTA anticipates selecting one or more respondents with whom it would negotiate a contract for expansion of cellular infrastructure, based on the responses to this RFP, which may include non-tower-based infrastructure.

**Measure 2(iv): Percentage of State where public safety radios work.**

**Summary: Co-development and co-location opportunities being pursued as available.**

While VTA is not charged with expanding service territories for public service radios, there has been significant collaboration with the Department of Public Safety in the utilization of State lands at proposed communication facility sites. At lands owned or controlled by the Agency of Natural Resources on Okemo Mountain, in Mount Holly, utilizing the area and access routes developed by Okemo Mountain Resort, the VTA has negotiated a license agreement that will provide for consolidation of equipment on a tower that may be constructed in the future by the Department of Public Safety for public safety radio transmission. In addition, the licensee, in its construction of a facility, is required to accommodate municipal public safety users such as first responders. The collocation of users and consolidation of equipment not only provides for efficient use of State lands but expands public safety radio coverage and reserves the opportunity of the Department of Public Safety for future safety radio deployment. The license, which has been negotiated but not yet signed, is expected to be delivered for approval and signature of the designee of the Secretary of Administration in accordance with 30 VSA §227e in early October, 2011.

# State Game Warden Recruitment

A Report to the Vermont Legislature on  
The Status of Recruitment for Vacant State Game Warden Positions  
November 2011



Vermont Fish & Wildlife Department  
103 South Main Street, 10 South  
Waterbury, VT 05671-0501

Patrick H. Berry  
Commissioner

## **Introduction**

The Fish and Wildlife Department has an authorized force of 43 State Game Wardens statewide. The Department is constantly in search of the highest quality applicants to fill vacant state game warden positions when they occur. The job of State Game Wardens is unique in that an officer works alone without direct supervision and establishes their work schedule based on daily and seasonal needs. This type of work environment requires a warden candidate to be highly motivated and possess the highest moral and ethical standards.

Due to retirements, 2011 will mark the fourth out of the previous five calendar years the Department has recruited to fill vacant game warden positions. Although the number of applicants has remained steady throughout this period, the quality of the applicants has been lacking. This shortage of quality applicants has prevented the backfilling of all vacant positions within the Warden force. This lack of quality applicants has not only been a problem for the Fish and Wildlife Department, but for all quality law enforcement agencies across the country. Reporting on the recruitment of State Game Wardens was directed from the 2011 session of the Legislature (Act 63 Section E.702).

## **Current Status**

With the goal of attracting numerous applicants that represent the highest quality candidates, the Department launched an aggressive recruitment effort in 2011. Department representatives attended in state and out-of-state college job fairs, networked with military job fairs, and the created both television and radio public service announcements for play in local media. These extra efforts did not appreciably increase the number of applications the Department received; however, the quality of the applicants did improve.

In October, the 2011 Department recruitment process was completed. The process included a written exam, a physical agility and swim test, and oral interview. The Department selected the top ten applicants to participate in a final interview with the Director of Law Enforcement. In late October, the Department made four conditional job offers to prospective game warden trainees contingent upon the successful completion of a thorough background investigation, which also included a polygraph examination. Unfortunately, one of the initial four candidates declined our job offer. One additional conditional job offer has since been made and accepted with the same conditions. The background investigations are currently progressing. Assuming these four candidates satisfactorily complete their background investigations, they will begin work the first week of February 2012 and will be enrolled in the next full-time certification police academy recruit class beginning at that time.

P.T.

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Department of Public Safety

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FY 12 Training Report – 1<sup>st</sup> Quarter  
July to September 2011

County:	Host FD:	Course Name:	Students Started
Addison	Middlebury	Firefighter I	30
Caledonia	Danville	Firefighter I	20
Chittenden	Milton	Firefighter I	24
Grand Isle	Alburgh	Firefighter I	19
Orange	VTC **	Firefighter I	15
	Bradford	Firefighter I	17
Orleans/Essex	Orleans	Firefighter I	TBD
Rutland	VFA / Pittsford	Firefighter I	24
	VFA / Pittsford	Firefighter I – on-line	33
Windham	West Dover	Firefighter I	38
Windsor	Sharon	Firefighter I	20 Jan. 2012 start
	Windsor	Firefighter I	16 “
			256
Chittenden	Mallett’s Bay	Firefighter II	15
Orleans	Newport City	Firefighter II	19
Rutland	VFA / Pittsford	Firefighter II	29
	VFA / Pittsford	Firefighter II – on-line	33
			96
Chittenden	Williston	Firefighter I / II	20
Orange	VTC **	Firefighter I / II	15
			35
Windham	Brattleboro FD	Fire Officer II	14
Chittenden	South Burlington	Fire Instructor I	10
Franklin / Lamoille	Regional Fire School	Flashover Awareness	16
		SCBA	16
		Incident Safety Officer	15
Rutland	VFA / Pittsford	Water Rescue Awareness	57
		VT – AOT	
Washington	Barre	Trench Rescue Operations	14
		VT-USAR	
<u>Industrial:</u>			
Vermont Yankee Fire Brigade	VFA / Pittsford	VY	32

\*\* for compiling student numbers only, college supported

Respectfully Submitted  
James Litevich, Chief Fire Service Training Officer

Central Office: 1311 U.S. Route 302, Suite 600 (Berlin) Barre, VT 05641 (802) 479-7561



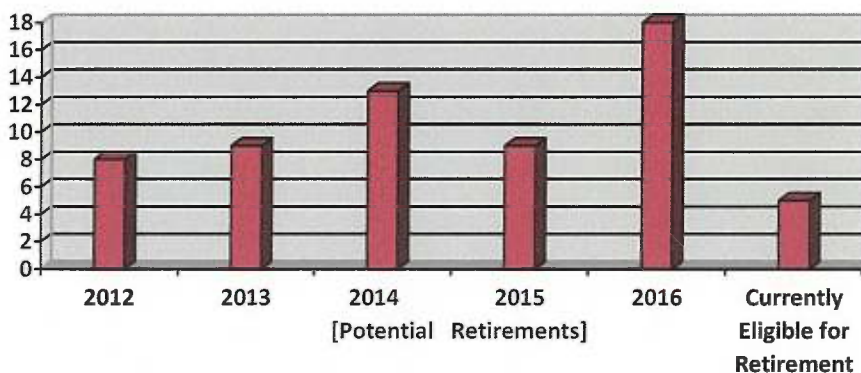
Regional Offices – Barre/Rutland/Springfield/Williston Vermont Fire Academy - Pittsford

**Vermont State Police**  
**Five Year Staffing Projection**  
**Recruitment and Retention Efforts**  
**2011 Report to the Vermont Legislature**

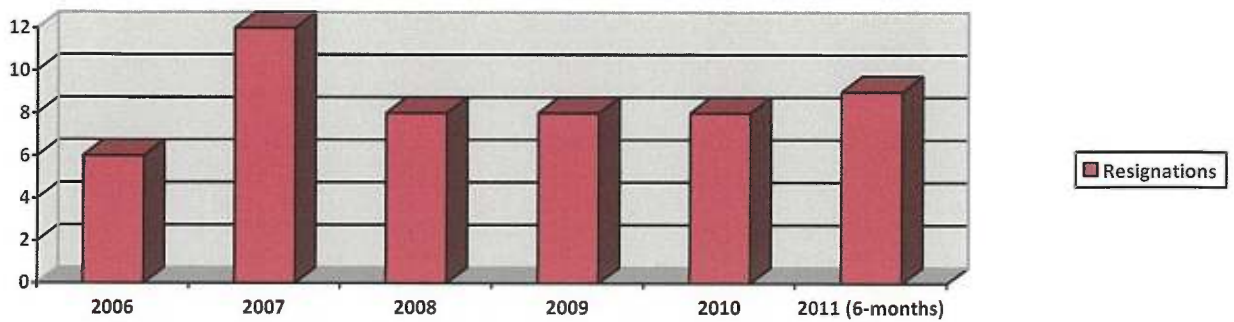
The Vermont State Police can anticipate the potential of a large number of retirements over the next five years. Based on current departmental demographic information there is a potential loss of sixty-two sworn members, over the next five year time frame. These figures are based solely on member “age 50” retirements and do not include any estimate of members that may resign, become disabled, or are terminated during this same five year time frame.

The chart below depicts the yearly anticipated retirements of sworn members reaching the age of 50 years old. The last column depicts the current number of sworn members that have reached the age of 50, but have not yet retired. The Vermont State Police has a mandatory retirement age of 55, so each of these members will be required to retire within this same five year time frame.

**Potential Retirements 2012-2016**



In addition to the number of potential retirements that the Vermont State Police could see over the next five year period, there are also a number of resignations that occur within the Vermont State Police that could have an impact on staffing levels. Over the past six years (including data from January to July, 2011) the Vermont State Police loses, on average 8.5 individuals per year, for a variety of reasons including: resignations, other employment, disability, and conduct.

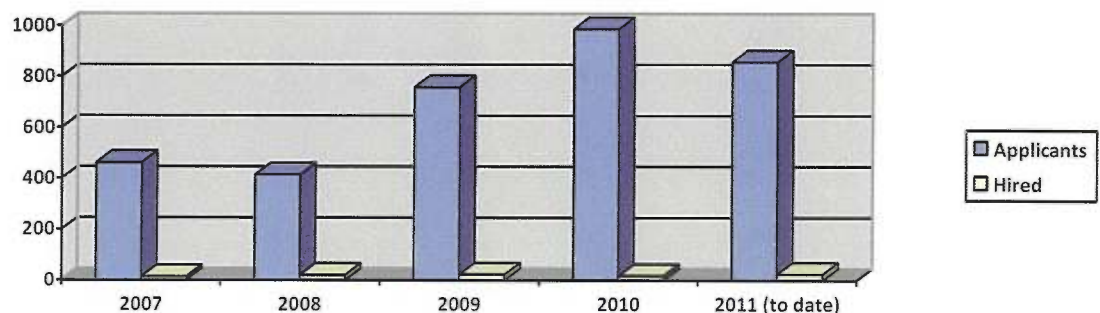


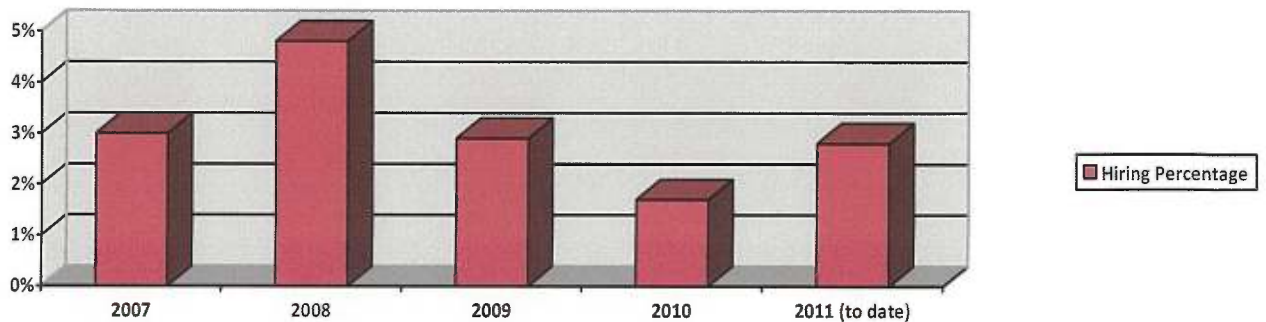
Based on the above noted retirement figures and utilizing the yearly average of resignations/terminations, the Vermont State Police could see the potential loss of over 104 State Troopers, over the next five year period.

The Vermont State Police Office of Professional Development/Training Division is responsible for the recruiting, hiring and training of all Vermont State Police Officers. There are two hiring windows each calendar year, that are based on the length of training required for certification as a Vermont Law Enforcement Officer and the training cycles of the Vermont Criminal Justice Training Council/Vermont Police Academy.

Over the past several years the Vermont State Police has seen a decrease in the number of qualified applicants that have passed the hiring process and are ultimately placed on our hiring roster. During the past several years we have been unable to find enough qualified applicants to even meet our hiring goals, each time completely depleting our hiring roster.

Over the past 5 years the Vermont State Police have seen an increase in the number of applicants for the position of Trooper 2/C (entry level recruit trooper), but the quality of those candidates has been dramatically lower than in past years. Data from 2011 does indicate an increase in the percentage of those applicants that were able to pass the hiring process and be hired by the Vermont State Police.





The Vermont State Police has taken aggressive steps in recruiting potential applicants. The Office of Professional Development has two members assigned fulltime to our recruiting efforts. These two members are also supplemented by the other members of the Office of Professional Development/Training Division staff, along with part-time recruiters from each of the four State Police troop areas.

Our recruiting efforts include attendance at various job and/or safety fairs, attendance at area college functions and/or classes, print and television advertising, utilization of internet websites and social media outlets, as well as through our members recruiting at the local level.

The Vermont State Police has also partnered with the Department of Human Resources to develop a more effective and user friendly application process. This is a project that is currently under way with positive results anticipated.

The Vermont State Police have also purchased a computer software program that will allow us to track all of our applicants throughout the hiring process. This program will allow us to identify successful recruiting strategies, identify areas to focus our recruiting efforts, as well as provide us with demographic information of our applicants to help us ensure we hire a diverse workforce that is representative of those we serve.

To become a Vermont State Police Officer, an applicant/recruit must attend and successfully pass a twenty-six week training program that is conducted by both the Vermont State Police, and the Vermont Criminal Justice Training Council/Vermont Police Academy. Training to become a Vermont State Trooper includes demanding academic, physical and practical expectations. Once formal training is completed in the classroom/academy setting, recruits are then assigned to a field station, where they have to successfully pass a Field Training component that evaluates the recruit's ability to put their knowledge, skills and abilities to practical use, in a real world setting.

Each of the above listed requirements/demands can be a potential for a recruit to fail and ultimately end in either termination or resignation. In an effort to assist members through this process the Vermont State Police utilizes a "mentoring program" that begins when a member is

given a conditional offer of employment, continues through the training components, as well as a recruit's arrival at their duty station. The mentoring program has been a very effective tool that has assisted numerous members throughout their careers. The mentoring program not only assists newly hired State Troopers, but is an asset in retaining our members.

P. III.

JAMES P. MONGEON, Esq  
EXECUTIVE DIRECTOR

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05633-6401

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FAX: (802) 828-2881



STATE OF VERMONT  
OFFICE OF THE EXECUTIVE DIRECTOR  
DEPARTMENT OF STATE'S ATTORNEYS  
VERMONT SHERIFFS' DEPARTMENTS

November 21, 2011

Senator Ann Cummings, Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05633-5701

Dear Senator Cummings,

I respectfully request an extension of time for submission of the following report:

*Act 63, Section E.206, Special Investigative Units, requires a report to the Joint Fiscal Committee and the House and Senate committees on Judiciary and Appropriation by November 15, 2011 on issues related to the effectiveness of the Special Investigation Units (SIU).*

On June 17, 2011, at my request the SIU Policy/Grants Board approved the hiring of a new grants program manager with expanded duties designed to foster the development and support of the respective special investigation units. The grants program manager with the background necessary for the position. After obtaining the necessary state contract approvals, Marc Metayer started working in mid-October as the Grants Program Manager. After meetings with outgoing Grants Manager Bob White and myself for a smooth transition, a full transition was completed on November 1<sup>st</sup>.

In preparation for developing the report, the grants program manager and I, as the Chair of the SIU Policy Board, are conducting physical site visits with each SIU. Seven units in the northern half of the state have been visited with the remaining units in the southern half scheduled for site visits during mid-December. This will allow the SIU Policy Board to discuss my proposed report at the December 21<sup>st</sup> grant review meeting and provide their input.

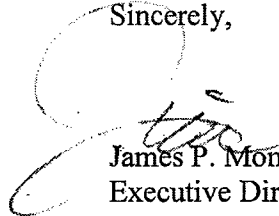
The final report will be submitted by December 30, 2011 for the beginning of the legislative session.

I appreciate your interest in the SIU program. I can tell you that I have been impressed with the enthusiasm and dedication of the local SIU participants in our meetings in the northern counties of Vermont. I look forward to our meetings in the southern counties. These visits will definitely have an impact not only on the report but on the information that I can provide to the legislature.

Please feel free to contact me directly with any questions you may have. I can be reached by email at [jim.mongeon@state.vt.us](mailto:jim.mongeon@state.vt.us) or by cell phone at (802) 353-1948.

Thank you for your consideration.

Sincerely,



James P. Mongeon  
Executive Director



**REPORT TO THE  
VERMONT LEGISLATURE  
ON  
SPECIAL INVESTIGATIVE UNITS**

Act 63 (Section E.206)

Report to  
Joint Fiscal Committee  
House Committee on Appropriations  
Senate Committee on Appropriations  
House Committee on the Judiciary  
Senate Committee on the Judiciary

From:  
James P. Mongeon, Executive Director  
Vermont Department of State's Attorneys  
Chairman of the SIU Policy Board  
12 Baldwin Street  
Montpelier, VT 05633-6401

December 29, 2011

## **Report to the Legislature**

### **Prepared by:**

James P. Mongeon, Executive Director,  
Vermont Department of State's Attorneys  
& Chairman of the SIU Policy Board

Marc Metayer  
SIU Grants Program Manager

### **Background:**

#### **2011-2012 Legislative Session**

**No. 63. An act relating to making appropriations for the support of government.**

(H.441)

*Sec. E.206 Special investigative unit*

*(a) The director of the state's attorneys shall report to the joint fiscal committee and the house and senate committees on judiciary and appropriations by November 15, 2011 on issues related to the effectiveness of the special investigation units (SIU). The report shall be made in consultation with the state and local law enforcement agencies, the department for children and families, and victims' organizations. The report shall include information by SIU about the number of investigations and referrals; the number of reported claims of abuse, entity who first responded to the claim, response time, percentage of those cases that were referred to SIU; and total funding including state, county, and local direct and indirect support. The report shall also specifically report by SIU the region covered by each SIU and the support each county and community contribute to the SIU. The report shall make recommendations for changes in structure and practice that would increase SIU effectiveness.*

No. 63 Page 125 & 126 of 210  
VT LEG 270429.1

### **EXTENSION:**

The Legislative Committee extended the deadline until December 31, 2011 at the request of the Chairman of the Policy Board so that the Chairman and the new Grants Program Manager could conduct site visits to each SIU as part of the assessment and report.

**Method:**

At the direction of the SIU Policy Board, the Chair of the Board, James P. Mongeon and the Grants Program Manager, Marc Metayer, conducted site visits with each county-based Special Investigation Unit to assess the present status of each multi-disciplinary team. The construct of the multi-disciplinary team underpins the mission of each Special Investigation Unit and as such, is the baseline to be used in determining the current effectiveness of the respective units.

Of note, the position of Grants Program Manager changed during the time from July to mid-October 2011. The new Grants Program Manager was not in place until mid-October, therefore, the field research and preparation of this report was delayed beyond the required November 15, 2011 date specified in Act No. 63. The Chair of the SIU Policy Board requested, and was granted, an extension of the submission date to December 30, 2011.

Upon the recommendation of a sub-committee on statistical reporting, the SIU Policy Board approved the use of a revised statistical reporting form as a means of capturing the information requested by the Legislature (see Appendix - A). The SIUs were able to use the newly designed form to capture information during the first fiscal quarter (Jul-Sept). This experience has prompted the recommendation of establishment of an SIU-centric reporting system (to be discussed in the recommendations section). Reporting was limited to three crimes: sexual assaults-child; sexual assaults-adult; serious child abuse.

Statistical information has been condensed from the submitted data and presented in summary form. Complete unit statistics are available upon request, but are not included in the scope of this report. Census information is included to indicate the population served by each respective unit; expressed as a percentage of overall population in Vermont.

The SIU site visits were conducted during November and December. A standardized checklist was utilized to assess the current status of each component within the multi-disciplinary team (MDT) model (see Appendix - B). Information gathered during the site visits has been analyzed and presented in a series of matrices in order by SIU.

A narrative report is provided on each SIU. The narrative contains specific information concerning the organization, history, and current status of the respective SIU as well as current funding sources and future needs.

We requested meetings at each SIU with at least the SIU Director SIU, the State's Attorney, and the Chairperson of the local SIU board. They could bring other persons to the meetings and did so in several of instances.

Standardized questions were posed to each SIU about involvement of police investigators, prosecutors, victim advocates, medical specialists, mental health counselors and local issues. The responses are noted in a table with each SIU narrative report.

We also had the opportunity to meet with some Sheriffs and Police Chiefs at their meeting in December. Marc met with VSP on issues involving that agency. We did not meet with specific groups such as Deputy State's Attorneys, Victim Advocates, medical specialists or mental health counselors, but did inquire about each with the SIU groups. We also received input from members of the SIU Policy Board from our meeting of December 16 and collaborated with the Vermont Center for Crime Victim Services on the victim advocacy section.

This Legislative report will use a summary format containing identified ***STRENGTHS***, ***CHALLENGES***, and ***RECOMMENDATIONS*** for each unit as well as for the overall program.

## **EXECUTIVE SUMMARY**

Beginning with the first quarter of FY'12, Special Investigation Units (SIU) are now required to submit program and financial reports on a quarterly basis. Data gathered from these reports and information obtained during site visits conducted at each SIU form the basis of this report.

The goal of the site visits was to conduct a review of the current operational status of each unit. The foundation of the SIU concept is the multi-disciplinary team (MDT); for the purposes of this report, the standard with which the units were assessed is an MDT as prescribed by the National Children's Alliance. The MDT is comprised of law enforcement investigators; child services investigators, prosecutors, medical specialists, mental health specialists, and victim advocates. As such, each component of the MDT served as a measure for unit success. The site visits recorded the current status of each MDT along with a review of physical location and unit procedures related to case management and training.

**Law Enforcement:** Each SIU has an investigator from municipal police, Sheriff's Departments, and/or State Police. The range of officers assigned directly to a SIU goes from a high of eight (CUSI-Chittenden county) to zero (ACUSI-Addison). SIU have, on average, two investigators per unit, from a variety of host agencies. The State Police provide a directly assigned investigator to each unit with the exception of Orange county (2-Orange County Sheriff's Deputies assigned), and Addison county (investigator assigned on case by case basis).

The Essex County Sheriff's Department is currently taking advantage of the reimbursement grant provision (\$20,000) and thereby supports the efforts of two SIU (Orleans/Northern Essex and Caledonia/Southern Essex) by providing supplemental investigative resources in Essex County.

The Grand Isle County Sheriff's Department is developing a partnership with NUSI (Franklin/Grand Isle counties) to also utilize reimbursement grant funding for supporting investigations in Grand Isle County. A satellite office arrangement is in development.

Many of the municipal officers and Sheriff's deputies are funded by law enforcement grants (up to \$40,000), but funding limitation to 50% of personnel costs continues to be a problem for many departments. Turnover in the investigator ranks is a developing challenge for a number of SIU. We are exploring staffing opportunities with the law enforcement police agencies.

**Department for Children and Families:** DCF work districts and the division of work load for the Department itself have given rise to a surprising challenge. DCF investigators are key players in each MDT and ideally would be co-located within each SIU for optimal effectiveness. In fact, DCF investigators are actively involved with all of the SIU across the state, but it is in only rare instances that DCF staff is co-located (CUSI-Chittenden and ROSI-Rutland). The standard is that DCF investigators are assigned cases from their respective DCF offices; they then integrate with the rest of the MDT on a case by case basis. Most DCF offices are in close

proximity to SIU locations and good collaboration is reported. However, in some parts of the state, a SIU/MDT must work with two or three separate DCF district offices and the resultant compliment of rotating investigators. This has given rise to a measure of ineffectiveness with respect to case reviews and impacted the ability to provide a seamless response in some counties.

NOTE: The problematic multi-district issue with state agencies is not confined to DCF; similar observations have been made with respect to State Police resources, as well.

There is no clear and simple resolution to this, and as such, it will continue to be a condition that will require a certain amount of flexibility by those SIU impacted by this issue. These observations do not minimize the level of commitment and the skill level represented by the DCF investigators and management. Rather, it became apparent as we conducted the site visits that there was strong support to improve the ability of DCF to become a fully integrated part of the multi-disciplinary teams on a co-located basis. It must also be recognized that some of the SIU do not currently have adequate space for immediate team additions, but that appeared to be less of an issue than the perception that DCF was being constrained by district boundaries.

**State's Attorneys:** Prosecutors continue to be thoroughly engaged in the MDT concept. The larger offices have dedicated prosecutors to specialize in the support of the SIU cases. The smaller offices have an attorney to handle to bulk of SIU cases and divide the workload as necessary. A number of SIU are part of, or immediately adjacent to, the State's Attorney's office in their county. For security and confidentiality reasons, those SIU located in the same building with the SA's office are separated for access purposes. The site visits revealed the need and desire for advanced training specific to SIU caseload. Additionally, there is support for development of improved networking for prosecutors on emerging issues related to SIU caseload.

**Medical:** The SIU rely upon the Sexual Assault Nurse Examiner (S.A.N.E.) program that is available at most hospitals that SIU staff work with regionally. Some units do not have full access to pediatric certified S.A.N.E. practitioners, but all felt that they had access to medical specialists as required. These professionals are not co-located with the SIU because of the need for their availability at the respective hospital/practice locations. When case reviews require the presence of someone with appropriate medical expertise, the SIU report that they have access to this resource.

**Mental Health:** Mental health support is provided in general by privately contracted practitioners or county mental health agencies. Most units have close working relationships with therapists in their geographic area. Space is provided within most of the units for use by the therapists on a scheduled or as needed basis, or the therapist/counselor has separate office space that enables access to services. The level of demand for this service does not require a co-location arrangement. Those units who do not have direct business arrangements with a

therapist/counselor will rely upon the services available through the court or victim advocate in their jurisdiction. A few units are still working on developing this aspect of the MDT.

**Victim Advocate:** This component of the multi-disciplinary team is one of the most critical with respect to support of victims (which is the main pillar of the MDT model). Full engagement by both state-based and community-based victim advocates with the MDT is highly suggested. When a case is charged by the prosecutor, advocacy is provided by the State's Attorney's victim advocate. In some cases, adult sexual assault victims receive concurrent advocacy from Network advocates. Only two counties (Chittenden and Franklin – Grand Isle) have a dedicated State's Attorney's Victim Advocate co-located with the SIU. While this model is highly effective, it is unlikely to be replicated elsewhere without an infusion of significant financial resources.

CAC staff provides initial victim advocate support until a case reaches the State's Attorney's office for prosecution or a referral is made to a Network program for an adult victim of sexual assault. With every county having a different level of victim advocates, it is critical for the advocacy community to develop close networking relationships and protocols for referral and service to insure a seamless system of victim support, for both child and adult alike.

**Child Advocacy Center:** Nearly all of the SIU are part of, or associated with, child advocacy center. Six units are not accredited (Addison, Caledonia, Lamoille, Orange, Orleans, and Washington), but only Addison and Lamoille are unlikely to achieve independent accredited status within the next eighteen months. Washington and Orleans were previously accredited CACs, and are currently in the process of re-establishing their status. Caledonia and Orange were recently divided from Orleans and each will be working on independent CAC accreditation. By virtue of affiliation with the National Children's Advocacy Center (the accreditation body), each CAC has access to a consolidated records management system (NCATrak). The attributes of NCATrak are highly regarded and use of this records management system to standardize SIU data management is strongly encouraged.

**Physical Locations:** During the site visits, each worksite was assessed regarding the ability to provide adequate team co-location, as well as provide for appropriate meeting and interview space. The lack of adequate team space remains as a barrier to full co-location of MDT members at a number of the sites (see unit site visit reviews). Unfortunately, some units did secure independent work site space for themselves, but that occurred before a fully functioning MDT could be consolidated. Consequently, the work sites were underutilized and even became barriers to development of a cohesive MDT. The range of success in the area runs the gamut from no dedicated space at all to the CUSI location that provides exemplary work space for all members of the MDT. That being said, most SIU have, or have access to appropriate working space to fulfill the needs of the unit (although fully co-locating units would require more space at nearly all locations).

**Procedures:** Each SIU was also asked about unit procedures relating to individual case reviews, peer review of forensic interviews, and training goals. Training, required and received, was consistent among the units with agreement that the availability of specialized training is important for all MDT partners. Timely access to specialized training was noted as a continuing challenge. Case reviews occurred in most SIU as a monthly practice, but regularly scheduled peer reviews of forensic interviews is not a standardized practice at this time.

**Records Management:** The absence of a standardized records management system creates difficulty in conducting any meaningful analysis of SIU activity. Multiple data systems are utilized by police agencies, DCF, and the Child Advocacy Centers. While gathering data requested for this report, it became apparent that a single, standardized, records management system should be endorsed and used to achieve a consistent and reliable measure of SIU work product. Some statistical information requested was simply not retrievable with existing records management tools. Other data was unreliable for unit to unit comparisons.

Research into the NCATrak system (used for all CAC reporting provided to the National Children's Alliance) revealed that this system has the ability to provide useful statistical reporting information from all MDT components. A host of standard management reports are available from the system, and there is a reasonable ability to provide customized reports in most instances. The reasonable expense to use this system avoids the unnecessary expenditure of time and money to re-create a records management system that bridges the various disparate records systems in use around the state. A majority of CAC already use NCATrak for reporting and have indicated a willingness to make administrative changes to accommodate the data entry necessary for their respective SIU/CAC.

County	Population	As % of total	Land Area (Sq Mi)	Persons per Sq Mi	Served by SIU
Addison	36821	5.88%	766.33	48	non-operational
Bennington	37125	5.90%	674.98	55	BCSIU
Caledonia	31227	4.99%	648.86	48.1	Caledonia/Southern Essex
Chittenden	156545	25.01%	536.58	291.7	CUSI
Essex	6306	1%	663.6	9.5	Caledonia/Orleans
Franklin	47746	7.63%	633.71	75.3	NUSI
Grand Isle	6970	1.11%	81.81	85.2	NUSI
Lamoille	24475	3.91%	458.8	53.3	LCSIU
Orange	28936	4.62%	687.03	42.1	OCSIU
Orleans	27231	4.35%	693.27	39.3	Orleans/Northern Essex
Rutland	61642	9.85%	929.82	66.3	ROSI
Washington	59534	9.51%	687.23	86.6	OUR House
Windham	44513	7.11%	785.31	56.7	Se-USI
Windsor	56670	9.05%	969.34	58.5	WNSI
<b>TOTALS</b>	<b>625741</b>	<b>99.92%</b>	<b>9216.67</b>	<b>72.54285714</b>	

**2010 US Census Bureau  
-VERMONT-  
&  
FY12 - 1st Quarter Statistics by SIU**

SIU/CAC	<u>New Cases</u>	<u>Victims &lt; 18</u>	<u>Victims 18 or &gt;</u>	<u>Offenders &lt; 18</u>	<u>Offenders 18 or &gt;</u>	<u>Sexual Abuse</u>	<u>Physical Abuse</u>	<u>Other Abuse</u>	<u>Charges Filed by Age of Victim</u>
Addison**									
Bennington	35	28	5	7	22	28	5	0	4 - Child; 3 - Adult
Caledonia/S. Essex	25	5	0	1	4	4	1	0	1 - Child
Chittenden	91	36	55	10	38	53	4	9	2 - Child; 16 - Adult
Franklin/Grand Isle	61	46	15	18	37	57	4	0	12 - Child; 4 - Adult
Lamoille	49	20	27	5	39	15	24	10	3 - Child; 21 - Adult
Orange	50	18	2	6	12	16	4	0	1 - Child; 1 - Adult
Orleans/N. Essex	22	8	0	1	7	13	5	0	1 - Child
Rutland	37	30	7	17	14	36	1	0	2 - Child; 1 - Adult
Washington	39	39	0	16	14	30	3	6	2 - Child
Windham	26	25	1	2	21	17	8	1	6 - Child
Windsor	52	46	6	10	31	48	2	4	9 - Child
<b>TOTALS:</b>	<b>487</b>	<b>301</b>	<b>118</b>	<b>93</b>	<b>239</b>	<b>317</b>	<b>61</b>	<b>30</b>	<b>43 - Child; 46 - Adult</b>

\*\*\* No statistics as established SIU

MDT -Components	CUSI - Chittenden	ROSI - Rutland	NUSI - Franklin & GI	Bennington	Orange	Orleans/Northern Essex	Lamoille	Windham	OUR House - Washington	Windsor	Caledonia/Southern Essex	ACUSI - Addison
Police												
DCF												
Prosecution												
Medical												
Mental Health												
Victim Advocate												
CAC Accreditation												
NCA Trak												
Co-location												
Team Space												
Case Reviews												
Forensic Interview												
BFI/AFI/Other												
501 c (3)												
<div> <div>LEGEND</div> <div> <div>75-100%</div> <div>50-75%</div> <div>&lt; 50%</div> </div> <div> <p><i>Ratings are provided as a means of comparison and are not intended as grading the respective SIU.</i></p> <ul style="list-style-type: none"> <li>•If a component was mostly achieved, it was rated green.</li> <li>•If a component was somewhat achieved, it was rated yellow.</li> <li>•If a component was not started or significantly not achieving the intent of MDT function, it was rated red.</li> </ul> </div> </div>												

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU/CAC:** *Bennington County Child Advocacy Center & Special Investigations Unit (BCCAC/SIU)*

Executive Director Patti Randall (802) 442-5107

**Geographic Area Covered:** Bennington County

**Governance:** Non-Profit 501C3 - Governed by an Executive Board of Directors/Bylaws and Managed by a .7 FTE Executive Director

**Brief History:** In 1989, Bernadette Thompson, with the Department of Children and Families, and Gary Briggs, a dedicated Law Enforcement Officer formed the Bennington County Association Against Child Abuse (BCAACA). The first multidisciplinary team meeting was held in February, 1989. The BCAACA obtained its non-profit status in 1993 and began to occupy donated space in the basement of the Bennington Superior Court building. In 2005, United Counseling Service became the umbrella agency for the BCAACA and the center was renamed the Bennington County Child Advocacy Center (BCCAC). The BCCAC became an associate member of the National Children's Alliance (NCA) in June 2006. Bennington Police Department's Detective Larry Cole was assigned to the new Special Victims Unit in 2007 and Detective Tyler Burgess of the Vermont State Police was assigned to the CAC/SVU in 2009. Current Director Patti Randall and Case Coordinator Lori Yunger were also hired in 2009. National Children's Alliance (NCA) accreditation was received in October 2009. In May 2010, the Bennington County Child Advocacy Center & Special Investigations Unit (BCCAC/SIU) moved to its present location on Main Street in Bennington.

**Current Status:** BCCAC/SIU is currently located at 439 Main Street, Bennington, VT. The unit has a co-located staff of two onsite investigators (one Vermont State Trooper and one Bennington Police Detective), a part time executive director, a full time case coordinator and a part time administrative assistant. These positions are funded through a combination of in-kind contributions, state grants and fundraising. As a non-profit, BCCAC/SIU conducts various fundraisers throughout the year including our annual Poker Tournament sponsored by the Elks Club in Bennington.

<b><u>Current Budget:</u></b>	In-Kind (Staff and Facility).....	\$475,276.76
	Federal Grant (VOCA-ARRA).....	\$ 0.00
	State Grants (SIU, VCA, VOCA).....	\$111,640.00
	Contributions.....	<u>\$4,772.00</u>
	<b>Total Budget.....</b>	<b>\$591,688.76</b>

**Future Needs:** The BCCAC/SIU, overall, has experienced an increase in the number of cases investigated: 110 cases in 2007; 116 cases in 2008; 133 cases in 2009; 96 cases in 2010 and 85 cases for the first 10 months of 2011). With the steady number of cases, the BCCAC/SIU will need an increase in staffing across all disciplines as well as additional space to accommodate growing staff. It is our hope to acquire a space all our own that is handicapped accessible and can eventually house a member from each discipline. The BCCAC/SIU continues to explore the possibility of co-locating an investigator from the Department for Children and Families and a law enforcement officer from the Bennington County Sheriff's Department; we have come up against funding and other administrative issues. It is also our hope to eventually have an Outreach Coordinator to develop and lead community education, communication and outreach.

MDT -Components	Bennington	COMMENTS
Police		1-VSP; 1-BPD; co-located at Bennington CAC
DCF		Not co-located; 4 investigators rotate to provide full-time equivalent
Prosecution		Prosecutor dedicated to SIU cases; not co-located but nearby; active w/MDT
Medical		S.A.N.E. available thru hospital; not co-located but actively involved
Mental Health		Multiple providers including school counselors; MDT participant;
Victim Advocate		Coordinated effort among SA's advocate; CAC advocate; and DV advocate resources
CAC Accreditation		YES
NCA Trak		YES; data entry by admin staff
Primary Co-location		Law enforcement and CAC staff; other MDT partners are nearby
Team Space		Available for child/adult case work
Case Reviews		Conducted every 2 weeks at SA's office
Forensic Interview		Conducted quarterly at CAC; LE & DCF review of victim and offender interviews
BFI/AFI/Reid/Other		LE/DCF receive basic and advanced forensic interview training
501 c (3)		501 c (3) status in place
<p><b>Strengths:</b>  Well established working relationships compensate for limited co-location of MDT partners  Strong networking in county provides a sustainment of team cohesiveness  Well refined administrative processes for case management and review</p> <p><b>Challenges:</b>  Desire to include DCF member(s) at co-located site (currently a good working relationship, this is viewed as next step)  Size limitation at current CAC site precludes further co-location efforts beyond adding DCF partner  Community understanding of SIU/CAC is an area being improved upon</p> <p><b>Recommendations:</b>  Continue support of community outreach/education efforts  Continue to serve as role model/mentor to developing SIU/CAC units  Improve background diversity of board to provide opportunity for sustainment of funding</p>		

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU/CAC:** *Caledonia Special Investigations Unit, Inc.*  
David Frey, Interim Director (802) 334-6002

**Geographic Area Covered:** Caledonia and Southern Essex Counties

**Governance:** As of September 2011, the Caledonia Special Investigations Unit is an independent non-profit corporation governed by a volunteer Board of Directors comprised of the local executives of our partner agencies. The SIU is currently managed by an Interim Executive Director (recruitment for a permanent director is underway).

**Brief History:** In 2008, the Caledonia and Essex County State's Attorneys partnered with two other county prosecutors to form a multi-county model called NEKSIU. A Coordinator was hired in December of 2008 through a SIU grant. At the suggestion of the SIU Grants Board, Caledonia/Southern Essex established its own non-profit corporation in September, transitioning the advisory board into a governing board. A contract investigator from the St. Johnsbury Police Department has been working with a Vermont State Trooper assigned to the SIU since 2009. The investigators continue to provide a coordinated response to reports of sex crimes and serious cases of child abuse.

**Current Status:** We have interview space within the local Department for Children and Families office in St. Johnsbury. We also leased two offices for our investigators in the building where the Caledonia County State's Attorney is located – these offices were not used and the lease was terminated in 2011. We are actively seeking a new facility to house the SIU. We maintain our data in the NCATrak system. Currently, the majority of personnel are provided in-kind by our partner departments and agencies. The contracted position with the St. Johnsbury Police Department and the Detective Trooper are the only full-time positions at the SIU. We hold monthly team meetings with the prosecutor, victims advocate, Department for Children and Families, Department of Corrections, ChildSafe Program of Vermont, and law enforcement agencies. We continue to respond to cases of sexual violence and serious child abuse.

<b><u>Current Budget:</u></b>	In-Kind (Staff).....	\$195,967
	State Grants (Program and Law Enf.).....	\$100,680
	<b><i>Total Budget</i></b> .....	<b><i>\$296,647</i></b>

**Future Needs:** We are developing a protocol for SIU investigations and are exploring options for facilities to house the SIU. We are also working to determine how we can assure access to mental health resources for our clients.

MDT -Components	Caledonia/Southern Essex	COMMENTS
Police		1-VSP Detective Trooper; 1-StJPD Detective; supplemented in Essex County by Sheriff's Dept; not co-located
DCF		Divided by 2 DCF Districts; MDT participation, but not co-located
Prosecution		SA is primary with assistance from 2 deputy SA's as needed
Medical		S.A.N.E. available at hospital; adult and pediatric service; MDT participant
Mental Health		Service coordinated by SA victim advocate as needed; not MDT participant
Victim Advocate		1-full time; 1- part time, both at SA's office
CAC Accreditation		Lack of space for CAC at present; exploring alternate options with NCAC re: satellite designation with Orleans as primary CAC
NCA Trak		DOES NOT USE THIS RESOURCE/UNAVAILABLE
Primary Co-location		SA's office is location for MDT meetings; currently, no designated site for co-location of MDT
Team Space		Each member of MDT works from traditional work sites; no co-location
Case Reviews		Monthly at SA's office; this space accomodates both board meetings and MDT case reviews
Forensic Interview		Reviews not conducted at this time
BFI/AFI/Reid/Other		Law enforcement and DCF have basic & advance training; Prosecutors interested/available for advanced training (to be determined)
501 c (3)		Registered as non-profit with Secretary of State; 501 c (3) status pending fund raising for application
<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>•Strong support from State's Attorney and law enforcement as MDT concept develops</li> <li>•Ability to maintain networking ties in spite of adequate team space</li> <li>•Interim Executive Director has significant experience working with MDT model in Vermont</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>•Newly established as independent SIU; "growing pains"</li> <li>•No suitable CAC alternative available at this time</li> <li>•Lack of physical co-location requires strong individual commitment to succeed</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>•Explore options for development of CAC resource as integral part of MDT</li> <li>•Obtain 501 c (3) status to assist with sustainment of funding options</li> <li>•Continue to foster networking ties with stakeholders in lieu of co-location at single work site</li> </ul>		

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU/CAC:** *Chittenden Unit for Special Investigations (CUSI)*

*Chittenden Children's Advocacy Center (CAC)*

Executive Director-Kristine Bickford (802) 652-0391

**Geographic Area Covered:** Chittenden County

**Governance:** Non-Profit 501C3 - Governed by a 9 Member Board of Directors/Bylaws

**Brief History:** *The Chittenden Unit for Special Investigations (CUSI)* was created in 1992 as a multi agency task force to provide criminal investigation services in response to sexual assault and other serious sexual offenses, severe child abuse and neglect. The primary focus remains on meeting the emotional needs of adult and child victims. CUSI defined what is now known as a true multi-disciplinary team (MDT) approach, investigating crimes of this nature.

CUSI is comprised of eight specially trained police detectives from various Chittenden County Police Departments and works in tandem with the *Children's Advocacy Center (CAC)* formed in 2003, a 501c3 nonprofit entity offering a range of services to children and families affected by these crimes. The CAC provides vital support to child and adolescent victims of sexual abuse primarily through its advocacy and after care services.

**Current Status** CUSI is currently located at 50 Cherry Street-Suite 102 in Burlington, VT. CUSI/CAC is located adjacent to the courthouse and State's Attorney's Office. The Unit has a staff of eight onsite investigators (one lieutenant, two detectives from BPD, one UVM investigator, one Vermont State Trooper, one detective each from Colchester, Essex and South Burlington), a dedicated prosecutor, and dedicated victim advocate, full time DCF investigator, full time Executive Director and a part time in-house therapist. These positions are funded through a combination of in-kind contributions, town contributions and state grants. As a non-profit, the CAC receives private donations and CUSI receives funding from numerous municipalities throughout the county. During its 19 years of existence, CUSI has investigated more than 5,750 cases of sexual violence and serious child abuse, averaging approximately 350 cases a year.

<b><u>Current Budget:</u></b>	In-Kind (Staff and Facility).....	\$158,293.00
	Grant Revenue.....	\$155,276.00
	<u>Town Contributions.....</u>	<u>\$837,578.00</u>
	<b>Total Budget.....</b>	<b>\$1,151,147.00</b>

**Future Needs:** We have computer issues to address and therefore need to purchase computer new IT equipment in order to maintain a well-functioning computer system. We are also in the process of researching Courthouse Dogs to be present at the Unit for interviews, depositions, therapy, trial prep, and everyday care for in house staff as well.

MDT -Components	CUSI - Chittenden	COMMENTS
Police		8-police investigators co-located at unit: 3-BurlPD, 1 each from UVM, VSP, Colchester, Essex, & So.Burlington
DCF		1-DCF staff member co-located at unit
Prosecution		1-prosecutor (not co-located but in same building and extensive history of working directly with unit)
Medical		S.A.N.E. (includes pediatric) located at University Health Ctr/Fletcher-Allen; active involvement w/MDT
Mental Health		Therapy room on site; contract therapist provides MDT service
Victim Advocate		State position from SA's office; co-located and handles child and adult support; dedicated to SIU/CAC, but available to assist other VA in the main office
CAC Accreditation		NCAC Accreditation
NCA Trak		Use for reporting to NCAC
Primary Co-location		Single site used for co-location with limited exceptions as noted above
Team Space		Available for use of all MDT staff; locked access
Case Reviews		Monthly MDT members, Corrections, and others as required; conducted at SIU/CAC site
Forensic Interview		Interviews selected for uniqueness; done before charging; ideally done monthly in rotation with case reviews
BFI/AFI/Reid/Other		LE & DCF receive basic interview training within 1st month of assignment w/advance training to follow; Prosecutor has received national level training and strong interest in development of collaborative training opportunities in VT
501 c (3)		501 c (3) status in place
<b>Strengths:</b> <ul style="list-style-type: none"> <li>• Longterm, well established MDT that encompasses the unit cohesiveness others strive to achieve</li> <li>• Established community recognition and support (including county wide funding mechanism)</li> <li>• SIU/CAC worksite accomodates all MDT members for support of child and adult victims</li> </ul> <b>Challenges:</b> <ul style="list-style-type: none"> <li>• Development of "power board" to pursue/manage fund raising concerns</li> <li>• Establish suitable EAP/wellness program for unit members (in addition to what exists from home agencies)</li> <li>• Managing turnover and ensuring the selection of properly qualified replacements</li> </ul> <b>Recommendations:</b> <ul style="list-style-type: none"> <li>• Continue to serve as role model/mentor to developing SIU/CAC units</li> <li>• Develop outreach of information to county police administrators/legislative members/potential benefactors</li> <li>• Refine the recruitment/selection process for investigators/interviewers (law enforcement &amp; DCF)</li> </ul>		

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU/CAC:** *Northwest Unit for Special Investigations (NUSI)*  
*(Child Advocacy Center)*

Executive Director Robert White (802) 524-7961

**Geographic Area Covered:** Franklin and Grand Isle Counties.

**Governance:** Non-Profit 501C3 - Governed by a 12 Member Board of  
Directors/Bylaws and Managed by a .5FTE Executive Director.

**Brief History:** The Northwest Unit for Special Investigations (NUSI) was created in 1995 upon the reassignment of a Vermont State Trooper from the St. Albans Barracks to the Franklin County State's Attorney's Office. Then State's Attorney Howard Vanbenthuyzen, dedicated a prosecutor and victim advocate from his office, creating the region's first multidisciplinary team. This team's primary responsibility's included the investigation, prosecution and victim services for crimes involving sexual assault/abuse and other serious crimes against children. NUSI obtained its non-profit status in October of 1995, and became a Child Advocacy Center (CAC), accredited by the National Children's Alliance (NCA) in April 2000.

**Current Status:** NUSI is currently located at 5 Lemnah Drive, St. Albans VT., as a wing attached to the Franklin County State's Attorney's Office. The unit has a co-located staff of three onsite investigators (two state troopers and one deputy sheriff), a dedicated part time prosecutor, a dedicated part time victim advocate, a full time administrative assistant, a part time executive director and a part time victim therapist. These positions are funded through a combination of in-kind contributions, federal and state grants. As a non-profit, NUSI receives funding from numerous municipalities throughout the two county region. During its first 16 years of existence, NUSI has investigated more than 3,100 cases of sexual violence and serious child abuse, averaging approximately 194 cases a year.

<b><u>Current Budget:</u></b>	In-Kind (Staff and Facility).....	\$243,092
	Federal Grant (Rural Justice, NCA, STOP)....	\$ 87,204
	State Grants (SIU,CAC).....	\$112,342
	<u>Municipal Contributions.....</u>	<u>\$ 19,190</u>
	<b><i>Total Budget.....</i></b>	<b><i>\$461,828</i></b>

**Future Needs:** NUSI continues to experience an upward swing in the number and complexity of cases investigated. Trends include, younger victims, social media and internet related crimes/interactions. With these trends NUSI has reached and at times have exceeded its capacity to adequately manage its case load. If the upward trends continue, an increase in space and staffing across all disciplines will be needed. NUSI is working with the Department for Children and Families to co-locate an investigator with the rest of the multidisciplinary team. Work is also underway with the Grand Isle County Sheriff to set up a satellite office in their facility to increase multidisciplinary team availability and victim services to that area.

MDT -Components	NUSI - Franklin & GI	COMMENTS
Police		2-VSP (partial STOP funding); 1-32hr/wk position from Franklin County Sheriff's Dept; co-located at unit
DCF		Covered by rotation of DCF staff; not co-located at unit
Prosecution		1-Deputy SA covers child/adult cases from Franklin County and provides assistance to Grand Isle County SA; SA's office adjoins worksite
Medical		24-hr on call service; located at local hospital; not co-located but MDT participant
Mental Health		Office space available for therapist (part-time hours/private contractor)
Victim Advocate		1-VA from SA's office; co-located at unit
CAC Accreditation		NCAC Accreditation
NCA Trak		Use for reporting to NCAC; recommends as standardized report for SIUs
Primary Co-location		Site space available; DCF & medical are only non-co-located MDT components
Team Space		Secure access w/ space for child and adult support needs
Case Reviews		Monthly reviews by MDT; chaired by prosecutor
Forensic Interview		Conducted monthly by DCF and police investigators (no supervisors for sake of peer review process); checklist in place for review guide; random selection of cases
BFI/AFI/Reid/Other		LE/DCF have received basic and advanced forensic interview training; prosecutor has national level training
501 c (3)		501 c (3) status in place

**Strengths:**

- Well established MDT that has nearly all team members co-located in an adequately sized/equipped location
- Strong networking in county provides a sustainment of team cohesiveness
- Well refined administrative processes for case management and review

**Challenges:**

- Desire to include DCF member(s) at co-located site (currently a good working relationship, this is viewed as next step)
- Need for satellite office for investigators/team members to use in Grand Isle County
- Difficulty incorporating DV cases into the existing MDT model

**Recommendations:**

- Develop working relationship with Grand Isle County Sheriff on satellite office concept (ongoing at this time)
- Continue to serve as role model/mentor to developing SIU/CAC units
- Improve background diversity of board to provide opportunity for sustainment of funding

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU:** *Lamoille County Special Investigation Unit*

**Geographic Area Covered:** Lamoille County

**Governance:** Non-Profit 501©3, governed by a Board of Directors/Bylaws

**Brief History:** The Lamoille County Special Investigation Unit was created in 2007 and represents a continued collaborative effort on the part of the State's Attorney's Office, Vermont State Police, Lamoille County Sheriff's Department, Morristown Police Department, Stowe Police Department, and the Clarina Howard Nichols Center, and the Department for Children and Family Services.

Prior to 2007, Lamoille County had the benefit of a domestic and sexual violence response team comprised of a prosecutor, an investigator, and a victim advocate. The team had been funded by grants allocated under the Violence against Women's Act, in addition to individual contributions made by area law enforcement agencies. The Lamoille County Special Investigation Unit is an extension of that team and includes a dedicated facility for conducting forensic interviews of victims of sexual crimes. The current funding for the Unit includes continued VAWA funding as well as Vermont State SIU Grant funding.

The Unit's primary responsibilities include investigating, prosecuting and providing victim services for crimes involving domestic and sexual assault/abuse and other serious crimes against children. The Lamoille County Special Investigation Unit obtained its non-profit status in December of 2008.

**Current Status:** The Lamoille County Special Investigation Unit is currently located at 252 Main Street in Hyde Park, VT and includes an interview facility and conference area attached to the Lamoille County State's Attorney's Office. The Unit has co-located staff including a part-time Prosecutor, a part-time Victim Advocate, a part-time Executive Director, and a part-time Administrative Assistant. The LCSIU has two full time detectives.

<b><u>Current Budget:</u></b>	Federal Grant (STOP).....\$129,691.72
	State Grant (SIU).....\$ 54,035.00
	<u>Other Contributions.....\$ 110,921.59</u>
	<b><u>Total Budget.....\$294,648.31</u></b>

**Future Needs:** The Lamoille County Special Investigation Unit has a dedicated facility for conducting forensic interviews of victims of sexual crimes. A full-time investigator is assigned from the Lamoille County Sheriff's Department, and a Vermont State Police detective is assigned to the unit as well. The Assigned investigators, in addition to other local Law Enforcement Agencies will continue to receive specialized training relating to the investigation of domestic and sexual violence crimes, as well as severe child abuse. The future needs of the Unit will be best be served by continued funding of the current positions allowing for the continued application of a coordinated community response to the investigation and prosecution of domestic and sexual violence crimes, and severe child abuse.

MDT -Components	Lamoille	COMMENTS
Police		1-VSP Detective; 1-Lamoille County Sheriff's Deputy (includes STOP funds); co-located at unit site
DCF		Covered by rotation of DCF staff; not co-located at unit
Prosecution		1-Deputy SA (SIU/DV); co-located at unit
Medical		S.A.N.E. At local hospital; not co-located but MDT relies on this service; pediatric service available at Fletcher Allen or St Albans
Mental Health		Therapist is available; not co-located due to limited demand for service; space is available as needed
Victim Advocate		1-VA is STOP funded and co-located at unit
CAC Accreditation		Not currently accredited; board is uncertain of benefits
NCA Trak		NOT USED
Primary Co-location		Secure site located with SA's office - DCF is not co-located but has access to unit as needed; medical and mental health are not co-located but available as needed
Team Space		Can accommodate child and adult support; shared space is separated for security and confidentiality
Case Reviews		Conducted as MDT on a monthly basis (or as needed)
Forensic Interview		ad hoc reviews; no regular schedule for peer review of interviews
BFI/AFI/Reid/Other		basic interview training for investigators as a minimum; additional training planned for SA, VA, DCF with topics to be determined
501 c (3)		501 c (3) status in place
<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>•Experienced DV unit that expanded to fulfill SIU role</li> <li>•Strong working network depended upon to overcome issues related to co-location shortfalls</li> <li>•Being centered with SA's office serves the strengthen a modest MDT size</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>•No NCAC accreditation for CAC (self described as functional equivalent w/o accreditation)</li> <li>•Need to improve information flow about SIU to community (possible benefactors)</li> <li>•Executive Director serves dual role as unit prosecutor</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>•Expand efforts to involve community with SIU (awareness and support)</li> <li>•Separate the Executive Director's role from unit prosecutor; even 1/2 time position would improve ability to plan for future</li> <li>•Consider targeted expansion of Board of Directors to include community members with skills to add to sustainability efforts</li> </ul>		

## **State of Vermont SIU 2011 -2012 Legislative Report**

**Name of SIU/CAC:**                *Orange County Special Investigations*  
Sheri Englert, Executive Director

**Geographic Area Covered:** Orange County.

**Governance:**                      Governed by an 8 Member Advisory Board operating under a  
fiscal agent agreement with the Orange County Sheriff.

Managed by an Executive Director.

**Brief History:**                In 2008, the Orange County State's Attorneys partnered with three other county prosecutors to form a multi-county model called NEKSIU. A Coordinator was hired in December of 2008 through a state-funded grant. The Orange County SIU has been developing its multi-disciplinary team case reviews. A contract investigator from the Sheriff's Department was hired in 2009 and has been handling cases from Orange County. She has been providing a coordinated response to reports of sex crimes and severe cases of child abuse. In 2010, under the direction of the grant board, the Orange County unit began exploring the creation of its own 501c3. Early in 2011, the Orange County SIU became a separate entity with 2 full time Investigators and a full time Administrative Assistant/ Executive Director. The facility at 299 Main Street, Chelsea, VT, houses a "friendly" environment for interviews. The Interview room is equipped with specialized and sensitive audio/visual recording devices.

**Current Status:**                The Orange County Special Investigations Unit continues to complete the requirement to obtain full status of a Child Advocacy Center as set forth by the National Child Advocacy Center. We hold monthly coordination meetings with the prosecutor, victims advocate, DCF, and Probation and Parole, law enforcement agencies, Safeline and have recently brought the Clara Martin Center to our MDT group.

<b><u>Current Budget:</u></b>	In-Kind (Staff and Facility).....	\$ 23,396.93
	<u>State Grants (SIU,CAC).....</u>	<u>\$150,236.40</u>
	<b><i>Total Budget.....</i></b>	<b><i>\$173,633.33</i></b>

**Future Needs:**                The districting model for state services leaves Orange County as one of the most divided areas in the state. With three district offices for DCF the number of DCF Investigators we are coordinating with becomes very challenging. We propose to have a DCF worker assigned to cover Orange County cases who could be co-located at our facility. We are confident that such a model would facilitate more affective services to the victims and their families.

MDT -Components	Orange	COMMENTS
Police		2 - Orange County Sheriff's Dept Deputies (SIU Law Enforcement Grant funding); No VSP resource available directly
DCF		Responsibility split among 3 DCF districts; no dedicated staff member for co-location at SIU site
Prosecution		SA/Dep SA share role; not co-located but SA's office is nearby; active in MDT role
Medical		Resources available at 3 hospitals (Dartmouth/CVMC/Gifford); limited access to S.A.N.E practitioner due to geography of county
Mental Health		Resources available at Clara Martin Center; no specific space afforded at SIU work site
Victim Advocate		SA's VA and Safeline (DV cases) provide this resource; not co-located
CAC Accreditation		Have NCAC "developing and expanding" funding to achieve accreditation
NCA Trak		Use for reporting to NCAC; access granted as part of "D&E" funding above
Primary Co-location		2-Law enforcement investigators and Exec Director only
Team Space		Newly developed work site used for interviews and MDT meetings; support available for child and adult victims
Case Reviews		Monthly with MDT at SIU work site
Forensic Interview		No regular schedule for peer review; reserved for unusual circumstances
BFI/AFI/Reid/Other		Basic and Advanced interview courses; Forensic Mentor
501 c (3)		Registered non-profit thru VT Secy State/501 c (3) process pending
<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>•Commitment by State's Attorney and Orange County Sheriff to support MDT development</li> <li>•Development of SIU worksite in proximity to SA/Sheriff/Court (new effort)</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>•Limited size of SIU worksite</li> <li>•Numerous multi-district divisions for state agencies (3-DCF districts; 3-VSP stations)</li> <li>•Support of victims requires flexibility among all stakeholders</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>•Continue development of NCAC accreditation as CAC</li> <li>•Complete 501 c (3) non-profit status</li> <li>•Continue work with DCF and VSP to remove barriers that limit full support of the county based SIU model</li> </ul>		

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU/CAC:** *Orleans County Child Advocacy Center, Inc.*  
David Frey, Interim Director (802) 334-6002

**Geographic Area Covered:** Orleans and Northern Essex Counties

**Governance:** The Orleans County Child Advocacy Center (OCCAC) is an independent IRS 501(c)(3) non-profit corporation governed by a volunteer Board of Directors and is currently managed by a contracted Interim Executive Director.

**Brief History:** The multi-disciplinary team from Orleans County has been working cooperatively for over 14 years. They began efforts to create a Child Advocacy Center in 1996. They formed a board of directors, created an IRS 501(c)(3) corporation, and created an interview room in donated space. The previous team was unable to obtain funding to keep site operations continuing and efforts became stagnant. The team meetings of the partners continued monthly as Sexual Assault Response Team (SART) meetings at the local State's Attorney's office. In 2008, the Orleans County State's Attorneys partnered with three other county prosecutors to form a multi-county model called NEKSIU. A Coordinator was hired in December of 2008 through a state-funded grant. A contract investigator from the Newport Police Department was hired in 2009 and has been working with a Vermont State Trooper assigned to the SIU. They continue to provide a coordinated response to reports of sex crimes and severe cases of child abuse.

**Current Status:** Our facility is adequate and functional, houses the two co-located law enforcement investigators, and has office space for the director and administrator. The remaining members of the multidisciplinary team are provided in-kind by our partner agencies. The contracted position with the Newport Police Department and the Trooper are currently the only full-time positions at the SIU. We lost our previous director/coordinator and administrator during the last year. Plans are in the works to replace the administrator (to handle case management, bookkeeping, and statistical data) and the position should be filled by the end of the fiscal year.

<b><u>Current Budget:</u></b>	In-Kind (Staff).....	\$168,850
	State Grants (Program and Law Enf.).....	120,716
	<b>Total Budget.....</b>	<b>\$289,566</b>

**Future Needs:** Our next priorities are to hire an administrator to handle routine day-to-day operations and data entry, and encourage DCF to dedicate an investigative social worker to the SIU who could be co-located at the facility. Our other priorities for the coming year are to determine how to best meet our clients' mental health needs and to engage mental and medical health professionals as routine participants on our multidisciplinary team.

MDT -Components	Orleans/Northern Essex	COMMENTS
Police		1-VSP Detective Trooper; 1 - Newport PD Detective; supplemented in Essex County by Sheriff's Dept; co-located at SIU site (2-full time detectives)
DCF		Assigned by DCF on rotational basis; not co-located but reside in building next door
Prosecution		1-Dep SA as primary for child and sexual assault cases; not co-located but office is nearby
Medical		S.A.N.E available locally; outside consultation for child cases; MDT participant
Mental Health		Available thru court contracted resource; changeover may be occurring in contract
Victim Advocate		Victim Advocacy primarily from SA's office; adult & child support; not co-located
CAC Accreditation		CAC accreditation lapsed; currently exploring reaccreditation and options for Caledonia county inclusion
NCA Trak		Resource in place from previous CAC status
Primary Co-location		Law enforcement and Exec Director at SIU worksite; MDT partners in proximity
Team Space		Space is available to conduct MDT interviews/case reviews/meetings
Case Reviews		Conducted monthly at SIU or SA's office
Forensic Interview		No set schedule; conducted as needed
BFI/AFI/Reid/Other		Basic and advanced training for LE/DCF; national level training for prosecutor and investigators as well as victim advocates
501 c (3)		501 c (3) status still in place from earlier SIU/CAC status
<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>•Well established work site supports MDT functions as required</li> <li>•Interim Executive Director has significant experience working with MDT model in Vermont</li> <li>•Experienced MDT membership/participation</li> </ul> <p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>•Turnover of experienced investigators/interviewers</li> <li>•Need to establish unit protocols to ensure best practice and consistency</li> <li>•Solidify independent SIU status (was part of region wide SIU earlier)</li> </ul> <p><b>Recommendations:</b></p> <ul style="list-style-type: none"> <li>•Develop formal unit operating procedures (protocol)</li> <li>•Establish transition policy/procedure to manage staff turnover in MDT</li> <li>•Resolve CAC status for Orleans unit and explore options for working with Caledonia for CAC resource</li> </ul>		

## **State of Vermont SIU 2010-2011 Legislative Report**

**Name of SIU/CAC:**                ***Rutland Office for Special Investigations (ROSI)***  
***Child First Advocacy Center (CFAC)***  
Executive Director Wendy Loomis 802.779.0200

**Geographic Area Covered:** Rutland County

**Governance:**                      Non-Profit 501C3 - Governed by a 9 Member Board of  
Directors/Bylaws and Managed by a .75FTE Executive Director

**Brief History:**                      One in four children will be sexually abused before reaching their 18<sup>th</sup> birthday. CFAC was designed to combat this problem utilizing both preventative and reactive models of intervention. In 1998, a Rutland County multidisciplinary task force convened and determined that a child advocacy center was the most comprehensive and effective solution. In 2001, CFAC received non-profit, 501c3 status. Since April, 2004, CFAC has been a fully accredited member of the *National Children's Alliance*. In 2007 the Rutland County state's Attorney's Office applied for recognition and funding to establish a Special Investigation Unit for Rutland County (ROSI). Presently, the SIU and CAC operate in tandem, serving victims of sex crimes and child victims of severe physical abuse throughout Rutland County.

**Current Status:**                      CFAC/ROSI is conveniently located in downtown Rutland in the historic opera house building. State offices which house DCF and the State's Attorney's office are across the street (the dedicated part time prosecutor and victim advocate are both located there). The unit has a co-located staff including two onsite investigators (one VSP assigned trooper-detective and one Rutland City P.D. detective), a DCF investigator, a .75FTE administrative assistant/community coordinator, a .75FTE executive director. The positions are funded through a combination of in-kind contributions, federal and state grants. We also receive donations and local United Way funding. CFAC/ROSI investigates approximately 130 cases annually.

<b><u>Current Budget:</u></b>	In-Kind (Staff and Facility)	\$295,314.00
	Federal Grant (NCA)	10,000.00
	State Grants (SIU,CAC)	101,577.00
	Other	2,000.00
	<b><i>Total Budget</i></b>	<b><i>\$408,891.00</i></b>

**Future Needs:**                      During the past 4 years CFAC/ROSI has experienced a 20-25% increase in cases for each subsequent year. Investigations included some domestic violence, family violence and vulnerable adult cases since co-location. CFAC/ROSI is above capacity for investigations-our detectives and investigator carry exponential caseloads by comparison to their colleagues. To adequately respond, an increase in staffing across disciplines is required. This will dictate space constraints as well.

MDT -Components	ROSI - Rutland	COMMENTS
Police		1- VSP; 1- RPD; co-located at SIU/CAC
DCF		1-DCF co-located at SIU/CAC
Prosecution		Dedicated - not co-located but across street from SIU/CAC
Medical		S.A.N.E - Hospital; close working relationship; had exam space at CAC (being changed due to work concerns; teleconferencing capacity being developed)
Mental Health		Referrals done as needed; active participation in MDT
Victim Advocate		SA-Victim Advocate located at SA's office; seamless handoff from CAC advocacy to SA VA upon filing of charges
CAC Accreditation		YES
NCA Trak		YES; data entry conducted by Exec Director
Primary Co-location		LE/DCF/CAC; MDT partners nearby and actively involved
Team Space		Available to serve child/adult needs w/adequate space for existing staff
Case Reviews		Conducted on a two-week cycle
Forensic Interview		Not pre-scheduled due to workload; post-interview review usually conducted at that time by participating MDT partners
BFI/AFI/Reid/Other		LE/DCF/Prosecutor have received basic and advanced training; eager for additional training
501 c (3)		501 c (3) status in place
<p><b>Strengths:</b>  Well established MDT that has nearly all team members co-located in an adequately sized/equipped location  Strong networking in county provides a sustainment of team cohesiveness  Team cohesiveness (credited to co-location of primary MDT partners)</p> <p><b>Challenges:</b>  Workload perceived as more than current staff can appropriately handle; too busy  Staff turnover /burnout concerns  Need for "resource guide" for prosecutors re: expert testimony</p> <p><b>Recommendations:</b>  Continue to serve as role model/mentor to developing SIU/CAC units  Improve background diversity of board to provide opportunity for sustainment of funding  Explore funding /partnering opportunities to improve investigator staffing</p>		

## State of Vermont SIU 2011-2012 Legislative Report

Name of SIU/CAC: ***O.U.R. House of Central Vermont, Inc.***  
Executive Director: Will Roberts (802) 476-8825

Geographic Area Covered: Washington County

Governance: Independent 501(c)(3) non-profit corporation - Governed by a volunteer Board of Directors, and managed by an Executive Director.

Brief History: OUR House was Vermont's first children's advocacy center, established in 1989 to serve Washington County and the surrounding area. OUR House is a charter member of National Network of Children's Advocacy Centers (now the National Children's Alliance) and has remained an accredited or associate member ever since. OUR House became a special investigative unit in 2008, and a full-time Detective Trooper was assigned to work out of the facility in late 2009.

Current Status: OUR House has been at its present location, 38 Summer Street in Barre - adjacent to the Washington County criminal and family courts, since 1995. Although the unit has an active and viable multi-disciplinary team, we only have one co-located law enforcement investigator. We are in the process of negotiating with the Department for Children and Families to have an investigator dedicated to the unit, as well as encouraging our prosecution and advocates to spend time in the facility. We are limited by our size to a maximum of three co-located team members. All unit positions are funded through a combination of in-kind contributions, federal and state grants. As a non-profit, OUR House engages in various fundraising events.

<u>Current Budget:</u>	In-Kind (Staff and Facility).....	\$235,045
	Federal Grant (VOCA) .....	30,000
	State Grants (SIU).....	76,588
	<u>Fundraising.....</u>	<u>19,633</u>
	<b>Total Budget.....</b>	<b>\$361,266</b>

Future Needs: Aside from ongoing funding to assure that OUR House can retain the staffing needed to support the special investigative unit, OUR House's most critical needs are funding to enable local law enforcement to dedicate an officer to the unit and funding to acquire a facility that is large enough to allow simultaneous co-location of two law enforcement investigators, one DCF investigator, one advocate, and one prosecutor.

MDT -Components	OUR House - Washington	COMMENTS
Police		VSP-1 detective trooper; detectives available as needed from Montpelier PD & Barre City PD primarily; other PD's as needed; only VSP trooper located at site.
DCF		DCF staff assigned as needed; not co-located on site, but nearby; case load determines participation in MDT.
Prosecution		~90% of cases handled by one prosecutor; not co-located on site, but nearby
Medical		S.A.N.E. available at local hospital; developing MDT relationship.
Mental Health		Private counseling resource is utilized with space available at MDT site or off-site as necessary
Victim Advocate		Victim Advocate provided by State's Attorney's office and Sexual Assault Crisis Team is also actively involved for support; not co-located, but near by.
CAC Accreditation		Re-accreditation in progress; no date determined
NCA Trak		DOES NOT USE THIS RESOURCE
Primary Co-location		1 - Detective Trooper and CAC staff are the only members sharing a co-located site. Other MDT members remain located nearby in their respective worksites.
Team Space		Primarily serves children, but limited use for adult victim support; physical limitation of work site precludes easy expansion beyond current services
Case Reviews		Not currently structured; plans in place to reinstate reviews
Forensic Interview		Not on any scheduled basis; feel that lack of team cohesiveness impacts this process.
BFI/AFI/Reid/Other		VSP, MPD, BCPD believed to have advanced interview training, but other law enforcement is unconfirmed; DCF has trained staff; prosecutors open to training options.
501 c (3)		501 c (3) status in place
<b>Strengths:</b> <ul style="list-style-type: none"> <li>•Longterm status as Child Advocacy Center provides the stability for support of young victims</li> <li>•Close proximity of MDT partners facilitates working relationships in the absence of co-located facility</li> <li>•Appointment of new Executive Director provides potential for the rejuvenation of unit objectives</li> </ul> <b>Challenges:</b> <ul style="list-style-type: none"> <li>•Funding for local law enforcement participation in MDT</li> <li>•Limitation of physical workspace continues to limit ability to co-locate a complete MDT at CAC site</li> <li>•Division of DCF districts has a minor level of impact for coordination with Orange county cases</li> </ul> <b>Recommendations:</b> <ul style="list-style-type: none"> <li>•Explore alternate funding for law enforcement to include involvement of county Sheriff's Department</li> <li>•Encourage continued commitment to MDT structure and staffing (to include adequate site workspace)</li> <li>•Complete NCAC reaccreditation process for CAC</li> </ul>		

## **State of Vermont SIU 2011-2012 Legislative Report**

**Name of SIU/CAC:**     *Windham County Safe Place Child Advocacy Center/  
Southeastern Unit for Special Investigations*

**Geographic Area Covered:** Windham County

**Governance:**                 Non-Profit 501 (c)(3); governed by an 8 member Board of  
Directors/Bylaws and Managed by a .80 FTE Executive Director

**Brief History:**             The Southeastern Unit for Special Investigations was created in early 2007 with a grant from VSIU to fund a part time executive director and a small program. Space for forensic interviewing of children was donated by community mental health agency, HCRS. The SUSI executive director worked to coordinate efforts of professionals from agencies who were involved in child sexual and physical abuse investigations. In the spring of 2010 the multidisciplinary team decided to form a Child Advocacy Center to exist alongside the SIU, Non-Profit 501 (c)(3) status was obtained, and in the summer of 2010 Safe Place CAC/SUSI secured its own office space with enough room to comfortably accommodate visiting families and for some individuals from the MDT to be co-located.

**Current Status:**         Safe Place CAC/SUSI is located at 114 Main St., 3<sup>rd</sup> floor, in Brattleboro, VT in office space rented from a downtown business owner. The unit has 2 co-located investigators (1 detective state trooper, 1 deputy sheriff), the executive director, and a .20 FTE Administrative Assistant. These positions are funded through a combination of in-kind contributions and state grants. There is office space available for a DCF investigator and it's our hope that it will be utilized for this purpose in the future. The unit is well-located, across the street from the State's Attorney's office and 2 blocks from Brattleboro Police Dept., DCF, and criminal court. In September 2011 we were awarded Associate Membership status with the National Children's Alliance. While our time frame for tracking statistics is short, so far we have seen a gradual increase in the numbers of cases investigated, from the low 50's the first 2 years to 68 cases during FY '09-'10 and 66 cases during FY '10-'11.

<b><u>Current Budget:</u></b>	In-Kind (Staff, Facility, L.E. Vehicle).....\$ 200,068
	<u>State Grants.....\$ 113,884</u>
	<b><i>Total .....\$ 313,952</i></b>

**Future Needs:** Our physical space works well for our needs and we anticipate it will continue to do so for some time to come. Our needs at this time continue to be in the areas of organizational development, team building and community outreach. We expect our number of cases to increase in a small but steady trend as we become better known in the community and parents/caregivers feel more safety in coming forward to report suspected abuse. If our numbers do continue to rise we will need more staffing for victim advocacy and case management.

MDT -Components	Windham	Comments
Police		1-VSP (not co-located); 1-part-time Windham Sheriff's Deputy (at CAC)
DCF		2 DCF districts (primarily Bratt office); not co-located
Prosecution		1- SIU dedicated prosecutor; not co-located, but located nearby
Medical		No pediatric S.A.N.E. available locally; supported through Dartmouth;
Mental Health		Not co-located but readily available throughout county
Victim Advocate		coordinated resources through SA office and CAC
CAC Accreditation		NCA Associate Membership
NCA Trak		NOT USED AT THIS TIME - NOT AVAILABLE
Primary Co-location		MDT partners using traditional workspace outside of SIU/CAC
Team Space		Interview space; Executive Director & part-time investigator only full time occupants
Case Reviews		Conducted every other month at SA's office
Forensic Interview		Developing process; scheduled for alternate months from reviews
BFI/AFI/Reid/Other		LE/DCF receive basic and advanced interview training
501 c (3)		501 c (3) status in place
<p><b>Strengths:</b>  Close proximity of MDT partners who are not co-located at SIU/CAC  Executive Director fulfills dual role of victim advocate for initial contact support; SA victim advocate available upon filing of charges  Good networking among MDT partners in spite of disparate worksites</p> <p><b>Challenges:</b>  Lack of experienced investigators  Need to improve team cohesiveness in general  State agency districts represent "boxes" that are difficult to break out of</p> <p><b>Recommendations:</b>  Establish clear supervisory chain for investigation function  Continue to develop multi-disciplinary "team identity"  Continue CAC accreditation process</p>		

## **State of Vermont SIU 2011-2012 Legislative Report**

### **Name of SIU/CAC:**

*Windsor County Unit for Special Investigations (WNSI)*  
*The Family Place Child Advocacy Center*  
*Springfield Area Parent Child Ctr Child Advocacy Center*  
WNSI Director Julie Gaudette (802) 295-3882

### **Geographic Area Covered:**

Windsor County, VT

### **Governance:**

SIU Program Host Agent: The Family Place, Non-Profit 501C3  
SIU Policy/Advisory Board - an 18 Member Board of Directors  
Managed by a .5FTE Director.

### **Brief History:**

The Family Place Child Advocacy Center, established in 1999, accredited by the National Children's Alliance (NCA) in 2001, reaccredited in 2006, and up for its second reaccreditation in 2012, modified its CAC protocol in 2008 to become the SIU for Northern Windsor County. In 2009, after extensive community discussions and upon executing a countywide Memorandum of Understanding with its multi-disciplinary partners, The Family Place was approved by the Vermont SIU Grants Board to become the host agent for the Windsor County Unit for Special Investigations (WNSI). Because Windsor County falls into two Agency of Human Services (AHS) districts, Windsor County works with two Department of Children and Family Services (DCF) offices. The Family Place CAC continues to serve child sexual abuse victims and their families for the Hartford AHS district which includes northern Windsor county and 9 towns in southern Orange County. Central and southern Windsor County, including, but not limited to Windsor, Springfield, Ludlow, and Chester were previously underserved without access to a local Child Advocacy Center. Over the course of 2010, WNSI supported the development of an independent Child Advocacy Center at the Springfield Area Parent Child Center (SAPCC) in Springfield, VT. The CAC program at SAPCC was launched in September 2010. From June 2010 through September 2011, WNSI, its multi-disciplinary team and CACs at The Family Place and Springfield Area Parent Child Center have investigated and provided necessary services relating to 178 cases of abuse.

### **Current Status:**

WNSI is currently located at 5 South Main Street, White River Junction, VT, a floor above the Windsor County State's Attorney's Office. The unit has a co-located onsite staff of a dedicated full time prosecutor, a half time Victims Advocate through the State's Attorney's office, a part time SIU Director, and a full time SIU Coordinator who serves additionally as The Family Place CAC coordinator. VSP SIU has assigned two Detective Troopers to Windsor County who work those areas without local municipal police presence. These detectives work out of their respective Royalton and Rockingham barracks. One or more officers in seven of Windsor County's nine local police departments have been assigned and trained to respond to SIU cases. Two DCF investigators from each of the Hartford and Springfield district DCF offices are assigned to these cases. The Family Place CAC in Norwich has an on site part time therapist and SAPCC CAC has a relationship with Heath Care and Rehabilitation Services (HCRS) for mental health care needs. The Springfield Area Parent Child Center has an on site part time CAC Coordinator. For victims 17 and younger, medical examination referrals are made to the Child Advocacy Protection Program at Dartmouth Hitchcock Medical Center (DHMC). For adult victims, all four of our major hospitals, Springfield, Mt. Ascutney, DHMC, and Gifford have a trained Sexual Assault Nurse Examiner staff rotation. Further, Windsor County is served by three victim advocacy groups from within the VT Network, including Springfield's New Beginnings for central and southern Windsor County and split coverage in the north between WISE of the Upper Valley and Safeline out of Chelsea. All of these positions are funded through a combination of in-kind contributions, federal

and state grants. The WNSI Director and Coordinator are the only positions partially funded through a program support grant awarded to The Family Place by the Vermont SIU Grants Board. The WNSI Policy Board governance structure calls for a standing Grants/Fundraising committee. This committee is tasked with identifying opportunities, applying for and/or raising supplemental funds.

As mentioned above, from June 2010 through September 2011, Windsor County investigated 178 reports of child sexual abuse, serious child abuse and sexual offenses against adults. 160 of which were children and 18 adults. Additionally, each of Windsor County's CACs continue to serve families living in southern Orange and northern Windham counties.

<b><u>Current Budget:</u></b>	In-Kind (Staff and Facility).....	\$352,025.00 (*)
	Federal Grant (NCA/VCA)....	\$ 11,800.00 (**)
	State Grants (SIU, CCVS).....	\$126,120.00
	Other Funding (Granite United Way, Mascoma Foundation, Fundraising)	\$ 14,200.00
	<b><u>Municipal Contributions (In-Kind).....</u></b>	<b><u>\$ 0.00</u></b>
	<b><i>Total Budget.....</i></b>	<b><i>\$504,145.00 (***)</i></b>

(\*) In-Kind contributions noted represent those reported in the FY2011-2012 SIU grant application and are attributed to the total compensation of a full time Deputy State's Attorney, a half time Victims Advocate in the State's Attorney's office, a full time VSP Detective Trooper, one DCF investigator (among shared staff in Hartford), a CAC Therapist working 1/5 time out of The Family Place and a full-time detective out of the Springfield Police Department. In-Kind contributions are assumed to be significantly larger when considering the actual number of staff participating from SAPCC, Springfield DCF, seven(+) local law enforcement investigators, advocates, medical and mental health staff who participate and support the unit, as well as facility use of CACs and office space for rotating board and partnership meeting venues.

(\*\*) Funding made possible through the National Children's Alliance and filtered through the Vermont Children's Alliance are included in the federal grant line item.

(\*\*\*) Funding total does not include the recent awards acquired by SAPCC in support of their CAC including 15K through CCVS as now recognized as a CAC by VT legislature, VCA chapter funding received through NCA and SAPCC fundraising efforts. SAPCC is an independent CAC. While SAPCC is supported by the efforts of the Windsor County SIU, the above budget reflects only those dollars granted to The Family Place.

**Future Needs:** 2011 has been another tremendous development year for Windsor County. WNSI's Board of Directors adopted a strategic plan that includes seven S.M.A.R.T objectives for the FY2011-2012 fiscal year. Those objectives include implementing both our newly developed best practice for adult cases and sex offender registry compliance, evaluating and proposing a plan to implement an independent forensic interviewer model, planning and funding dedicated countywide detectives, providing ongoing forensic interview and MDT training, increasing and sustaining current funding streams and applying for reaccreditation of The Family Place CAC and SAPCC CAC membership with the National Children's Alliance.

With the support and funding made possible through the Vermont SIU Grants Board, VCA and many of our basic and advanced training objectives have been met. However, training is still necessary for some of our smaller law enforcement forces, as well as DCF offices who have experienced turnover within their investigative teams. WNSI anticipates again hosting one of the region's Basic Forensic Interviewing

sessions in 2012 with funding made possible through the Vermont SIU Grants Board. Additionally, WNSI is working with WISE of the Upper Valley to host a December 2011 training for members of the WNSI MDT who work adult cases. This training is geared toward conducting the most comprehensive investigations that result in better prosecutorial outcomes. Funding for training programs is an ongoing need to maintain current skill sets and to further develop our MDT.

WNSI's MDT, while committed to the program, is very large. We have over 21 members that comprise the law enforcement and DCF disciplines alone. While the majority of our investigators have been trained in forensic interviewing, the interviews can lack consistency and continuity due to various styles and techniques inherent to each of our investigator's character traits. With a rather large amount of DCF turnover this past year, particularly in the Springfield district, training becomes quite costly. It's a double edged sword in that we want to ensure that investigators are trained to do the work, yet we lack any sense of security in the investment we make. While we understand this is an issue best addressed by the impacted agency, staff turnover greatly affects our ability to conduct effective investigations and causes frustration among the team.

Therefore, it is WNSI's goal to either become smaller from a law enforcement standpoint and work to identify and fund 3 to 4 individuals from within the county that will work all SIU related cases regardless of jurisdiction or move to an independent forensic interviewer model. Our future needs include identifying funding streams that would support either initiative. It is our recommendation that the state consider funding and implementing a four quadrant regional forensic interviewer model or devise a way that we can provide more funding to law enforcement agencies who wish to service more areas within the county. WNSI has not yet applied for a law enforcement grant to support a full-time dedicated detective. While our town managers are supportive of the idea, it has been difficult to gain approval based on bridging the financial gap of a partially funded full-time position that assumes a county wide post. When factoring in what these tenured, skilled detectives may already make as a total compensation package, plus a vehicle, equipment and other needs that may need to be absorbed by a municipal police department, including backfilling a position, the current financial incentives may not be adequate.

WNSI has made significant progress over the last year. We are implementing a response model for adult cases and recently piloted our sex offender registry compliance process. We maintain a "first time right" philosophy and strive to achieve it. For example, WNSI is currently developing an investigative checklist to ensure quality investigations lead to better outcomes for the prosecution and certainly, victims. In addition to our strategic plan and day to day work, if an issue arises, we address it and do our very best to provide our unit with the tools they need to be successful. Any reduction in funding would adversely impact our unit's case work, our establishing the protocols necessary to foster a unified, transparent, multi-disciplinary response to sexually based offenses and our support of prevention and awareness campaigns. WNSI's partnership agencies are committed and motivated. We have a proactive, aggressive momentum. In just this past year, WNSI's MDT has expanded its caseload to take on cases of serious child abuse, in addition to reports of child sexual abuse and sexual offenses against adults. In order to move forward in our goal to take on cases of elder abuse and domestic violence, our needs and capacity will also increase.

MDT -Components	Windsor	COMMENTS
Police		Departments conduct investigations according to existing jurisdictions (9 local departments; 2 VSP districts)
DCF		2 DCF districts; not co-located, represents a north/south county division
Prosecution		1 - SIU dedicated prosecutor; not co-located w/CAC, but adjacent to SIU office
Medical		S.A.N.E. (pediatric/adult) through hospital; available on case reviews
Mental Health		On site at CAC; referrals made as necessary
Victim Advocate		SIU dedicated VA from SA's office in White River Jct
CAC Accreditation		YES
NCA Trak		YES; biggest challenge is handling data submissions from many players
Primary Co-location		Interviews at CAC/ separate SIU office in White River/no LE/DCF co-location
Team Space		Use of traditional work spaces; SIU office available for meetings/interviews
Case Reviews		Conducted monthly at various locations; just beginning weekly info calls
Forensic Interview		In development; every other month schedule; practice of MDT debriefing conducted after each case closure
BFI/AFI/Reid/Other		Identified need to improve availability and timeliness of SIU related training
501 c (3)		501 c (3) status in place
<p><b>Strengths:</b>  Well established CAC provides foundational service in child cases as well as adult cases  Well established and inclusive board of directors (including Dept of Corrections)  Ability to provide effective services despite the absence of solid MDT development</p> <p><b>Challenges:</b>  Inability to develop a consolidated and collaborative system of investigation as envisioned in MDT model  Multiple state agency districts spread over a large geographic area populated with numerous small/medium sized communities; everyone owns their part, nobody owns it all  Lack of funding is perceived as the major impediment to providing SIU dedicated investigators</p> <p><b>Recommendations:</b>  Address the multi-district divisions and resolve the "ownership" issue  Explore the option of utilizing a forensic interviewer as an option to address the ongoing multi-district dilemma  Develop a suitable funding/staffing arrangement to address local law enforcement concerns</p> <p><b>**Potentially, a pilot project opportunity that develops an alternative to the Vermont vision of MDT structure.</b></p>		

## State of Vermont SIU 2011 - 2012 Legislative Report

**Name of SIU:** *Addison County Unit for Special Investigations, Inc. (ACUSI)*  
**Formative status, not operational**

**Geographic Area Covered:** Addison County.

**Governance:** Vermont Non-Profit Corporation - Governed by a 7 Member Board of Directors/Bylaws.

**Brief History:** Addison County Unit for Special Investigations (ACUSI) was formally created in 2010 upon formulation and adoption of its by-laws and incorporation as a non-profit Vermont Corporation. This county was the last to start the process of creating a special investigation unit. In fiscal year 2011/2012 the County's State's Attorney applied for and received \$89,280.00 in SIU program support grant funds to hire a part time administrator/coordinator to work with the local community and entities to formally create the unit.

**Current Status:** ACUSI currently has no physical location. Due to the lack of permanently assigned full time investigators at this time, it is not felt to be prudent to expend funding on renting a facility until there is a definitive need to do so. The office of the Addison County State's Attorney located at 211 Maple Street, Unit 115, Middlebury VT, is used for mailing, and the conference room at the Middlebury Police Department is utilized for meetings. The unit has a dedicated part time prosecutor and a dedicated part time victim advocate. These positions are funded through a combination of in-kind contributions, federal and state grants. The three local organized police departments, Middlebury, Bristol, and Vergennes, as well as the Addison County Sheriff's Office have been unable, due to staffing constraints, to permanently assign investigative personnel to the unit. This has also been the case with the local office of the Department of Children and Families. The Vermont State Police just recently identified a Trooper who was interested in the full time investigative position, and after the screening process, have initiated training of this individual. The part-time administrator left the position during 2011 and little progress was achieved in development of the SIU

<b><u>Current Budget:</u></b>	In-Kind (Staff).....	\$143,999.98
	State Grants (SIU).....	\$ 89,280.00
	<b>Total Budget.....</b>	<b>\$217,519.98</b>

**Future Needs:** ACUSI remains in a formative state. Future options are being explored to build upon the preliminary steps that have already been accomplished. Funding awarded to the unit has not been expended with the exception of some incidental expenses incurred by the part-time administrator. A renewed effort is underway to focus on developing a functional SIU for Addison County.

MDT -Components	ACUSI - Addison	COMMENTS
Police		No investigative team; each department conducts independent investigations
DCF		2 -DCF investigators, not co-located; participate in case reviews
Prosecution		SA and Dep SA share SIU caseload
Medical		S.A.N.E. available most times at local hospital, but not 24/7, limited pediatric
Mental Health		Traditional referral relationship with county mental health agency
Victim Advocate		Only SA's victim advocate for child victims; contingent upon charging decision
CAC Accreditation		NO CAC IN COUNTY
NCA Trak		Unavailable
Primary Co-location		NO
Team Space		NO
Case Reviews		LE/DCF and SA conducted at SA office - monthly
Forensic Interview		NO
BFI/AFI/Reid/Other		Need standardized training protocol
501 c (3)		Not at this time
<p><b>Strengths:</b>  Community has a good level of networking in place with established professional relationships at all levels  Prosecutor has experience with SIU/MDT model from prior work history and has incorporated aspects of SIU model even without functioning unit in place  Willingness by partners to develop a model suitable for Addison County</p> <p><b>Challenges:</b>  Small size of partner agencies presents difficulty in contributing staffing to SIU/MDT with current funding model  Perception that this is not as high a priority for the county communities as other issues may be at present  Absence of CAC within the county</p> <p><b>Recommendations:</b>  Determine a leader for coordination efforts (time demands on current board members precludes extensive coordination)  Explore alternate staffing/funding models for investigator positions  Build core of MDT by focusing on investigative team, prosecution, and victim advocacy components</p>		

## **RECOMMENDATIONS**

**Law Enforcement:** The preferred baseline staffing for SIU would include two law enforcement investigators per unit. Larger districts would require more, but as a minimum for each SIU, two per unit was a reasonable target. The vision for SIU/MDT composition in Vermont relies upon the Vermont State Police to provide one, SIU dedicated investigator, and the second investigator would be provided by municipal or county law enforcement agencies based upon a combination of in-kind contribution and state provided funding. Although this model does work to a certain degree in approximately half of the counties, it has not been as successful for the remaining counties. The barriers to success in this component can be attributed to funding concerns and to staffing shortfalls among law enforcement agencies.

The current funding model provides the availability of law enforcement grants of \$40,000 to support up to 50% of the expense for an investigator (limitation exists in current statutory language). In the sparsely populated counties of Essex and Grand Isle, a provision exists for access to a \$20,000 reimbursement grant as a means of providing for supplemental investigative resources through the Sheriff's office. A recurring concern among police chiefs and county sheriffs is the inability to provide a SIU dedicated position at the existing level of supplemental funding.

Staffing shortages (which occur in all departments at different times) and the overall small size of many municipal departments have been limiting factors in providing SIU investigators. Turnover within the ranks has also given rise to staffing shortfalls and problems with consistency in experience and training. Even with this challenge, 7 of 12 designated SIU have been able to initiate and sustain at least the baseline staffing for law enforcement. In 3 of the remaining 5 designated SIU, dedicated investigators are in place, but may not be co-located or fully staffed. Only 2 of the designated SIU rely on law enforcement investigators in a fashion described as "no change from traditional services".

### ***Recommendations:***

- **Continue to encourage and support Vermont State Police to staff a minimum of one unit-dedicated investigator per SIU**
- **Explore alternative funding/staffing solutions based upon individual county needs**
  - **Mutual aid agreements among towns to provide investigative services**
  - **Use of part-time staff by municipal/county agencies**
  - **Establish an increased stipend per SIU to offset local/county expenses**
- **Resolve/clarify the supervisory chain for SIU detectives**
- **Remain flexible in the application of MDT concepts based upon the geographic and population disparity among the counties**

**Department for Children and Families:** The vision for the SIU/MDT composition in Vermont seeks the placement of DCF investigators with other key members of the multi-disciplinary team in the respective county. The ideal is one (or two) DCF investigators located at the same worksite along with law enforcement investigators to provide a cohesive team of experienced investigators/interviewers. Only Chittenden county and Rutland county have been able to accomplish this goal. The remaining counties provide DCF investigators based upon district workload and case assignment protocols. Although this system provides the appropriate (and timely) child services component to the SIU/MDT, it still results in coordination challenges for case reviews and team cohesiveness.

Since 2008, DCF relies upon a centralized case intake process. In conjunction with improved risk analysis methodology, the result has been a significant increase in cases accepted by DCF for action. Not all of these are SIU cases, but the overall workload must be managed by the district offices. Even with increased numbers of case workers, DCF continues to be challenged with providing an SIU-dedicated investigator in the MDT model. Each DCF district is actively involved with each respective SIU, but in some instances this means that two or even three districts are providing investigation resources to a single SIU. DCF districts (as with VSP districts) do not necessarily align with county boundaries.

Staff turnover at some DCF districts has proven to be particularly challenging with respect to providing specialized training and with providing consistency in MDT participation. In addition to the boundary and staff turnover issues, some of the SIU worksites simply do not have adequate office space to accommodate additional staff positions. However, the feedback received during SIU site visits spoke to the general perception of the barriers as represented by DCF district boundaries and overall DCF workload management.

***Recommendations:***

- **Continue to explore options with DCF on providing a unit-dedicated investigator per each SIU**
- **Plan for SIU/CAC worksites that can accommodate the co-location of a DCF investigator (where applicable); this may involve developing an alternate location for individual SIU**
- **Research and evaluate the utility of a designated forensic interviewer model for those SIU with multiple DCF and police agency districts**
- **Remain flexible in the application of MDT concepts based upon the geographic and population disparity among the counties**

**State's Attorneys:** As an integral part of the MDT model, the prosecutors are a key component to the success of full case management. The prosecutors' role is not to be another active investigator, but to offer guidance to investigators as they pursue individual investigations and to prepare for successful prosecution of cases. Taking the facts as presented by the investigators, the prosecutor is responsible for court preparation and presentation, if required, for successful case prosecution. A primary goal in adopting the SIU/MDT model was to provide sufficiently thorough and complete investigations to prosecutors to minimize the need for expensive and emotionally difficult court trials.

Most SIU/CAC worksites are located with, or in close proximity to, the State's Attorney's office in each of the counties with an established SIU. Nearly every county has a prosecutor dedicated to handling SIU cases as a priority. The variance among the counties is most clear with respect to the size of the individual State's Attorney's office, but commitment to prioritizing SIU cases was noted in each office.

Gaining experience and receiving specialized training relative to SIU case prosecution were noted as consistent goals for this component. Vermont has a cadre of experienced prosecutors who are a valuable asset to mentor less experienced attorneys with respect to SIU case management. Interest in strengthening the network of subject matter experts in this discipline was noted at each site visit.

***Recommendations:***

- **Continue the active involvement in SIU/MDT functions**
- **Identify and share best practice models/information among prosecutors and SIU/MDT partners**
- **Develop training cycles specific to the needs of Vermont SIU prosecutors**
- **Develop and maintain an active system of networking among SIU prosecutors**

**Victim Advocates:** The ideal of the SIU/CAC/MDT model is to provide the resource of an advocate for victims at the earliest instance. This holds true for adult cases as well as in child cases. Not only is the early involvement important, but the consistency of the support is often a critical concern. All SIU rely on victim advocates assigned to the respective State's Attorney's office. In the larger State's Attorney's offices, an advocate is given the primary responsibility for serving SIU demands and may even be co-located with the SIU/CAC. In smaller offices, the services of the State's Attorney's victim advocate is not available until the point where charges are filed. This leaves a gap in service for victims as they await a decision on filing criminal charges. Adult and teenage victims of sexual assault may also have access to a confidential advocate through the Vermont Network Against Domestic and Sexual Violence who can provide various levels of support and services. The involvement of Network programs with their local SIU varies. Communication can also be challenging because of the crisis worker privilege under which Network programs operate.

Absent the involvement of a State's Attorney's Victim Advocate or a Network advocate, CAC staffers fill this gap at many of the SIU. As soon as a client enters, someone fulfills the role to assist with individual/family needs. Anecdotally, strong networking among the disciplines of child advocates, State's Attorney's Victim Advocates, and Network advocates results in a more seamless process of advocacy for adult and child victims of sexual assault. Some counties have struggled more than others, but the prevailing philosophy is one of doing the best possible to support victims regardless of discipline "turf" issues.

***Recommendations:***

- **Continue to advocate and support close networking among the disciplines of child advocates, State's Attorneys' Victim Advocates and Network advocates;**
- **Where possible, include a SIU-dedicated advocate from the State's Attorney's office at the same worksite with SIU/CAC staff;**
- **Support consistent structures for collaboration among the disciplines;**
- **Create policies, protocols, practices and an evaluation method that create best practices and consistent approaches for working adult victims;**

**Medical Services and Mental Health Services:** These two partners are intended to be fully involved components of multi-disciplinary teams. Due to the specialized nature of the work and the requirements of off-site demands, most SIU/MDT have close working relationships with these practitioners but do not necessarily share co-location of worksites. Some SIU/CAC sites have work space reserved for use by therapists, but it has been mostly a matter of connecting victims with service providers as the need arises. No units reported a lack of resource availability.

In the medical field, all SIU report ready access to sexual assault nurse examiners (S.A.N.E.) through local hospitals. Pediatric certified practitioners are not located at each hospital, but units reported that the availability of medical expertise for all victims was not problematic. In some instances, geographic distances are a problem but there were no reports of unmet needs.

MDT participation by medical partners and mental health partners was described as engaged and positive relationships were reported. A couple of units reported that contract renewals were leading to changes in providers, and a small number of units were still developing working relationships within their counties. In all instances, SIU report that these partners are important team members and that working relationships remain positive in light of the impractical nature of trying to co-locate these functions with the core MDT.

***Recommendations:***

- **Continue to develop close working relationships with both partners**
- **Maintain and improve the overall availability of S.A.N.E. practitioners (adult/pediatric) for regional hospitals**

**Records Management:** Nearly all of the existing SIU are affiliated with a Children's Advocacy Center (CAC) in the respective counties; most are co-located. In 10 of 12 designated SIU, CAC accreditation or affiliation with the National Children's Alliance is in place. The National Children's Alliance (NCA) provides guidelines for establishment, accreditation and conduct of a CAC, as well as providing a standardized records management and reporting system (NCATrak).

During the process of collecting statistical information for this report, it became apparent that the absence of a standardized record keeping system for SIU has created a significant problem in collecting reliable data. Most law enforcement agencies are on one records management system (the Spillman system through DPS), but this is not universal. This system provides data in a format that is useful for law enforcement purposes, but not necessarily relevant or useful for SIU specific information. Likewise, DCF has its records management system, prosecutors have their system, and the court has yet another records management system. Finally, all CAC affiliated with NCA have access to the use of another system (NCATrak) to account for their statistical information.

In reviewing data submitted on SIU statistical reports, it was found that many SIU were unable to capture information to complete the reports. In those instances where reports were completed, variation interpreting information to be input was sufficient to invalidate any analysis of the information. In short, it was not possible to draw conclusions from the statistical information being provided.

NCATrak is used by the CAC to report relevant statistical reports to NCA as required. The system is designed to collect and provide reports for *all partners* in the MDT. There are numerous pre-formatted management reports available as well as the ability to construct customized reports within the system. Use of this system would put all SIU on common footing with respect to data collected and reporting formats that would be available.

In addition, NCA officials have indicated that access to each NCATrak system (which is licensed by each CAC) is controlled by local administrators at the CAC level. This allows the local SIU/CAC to *designate appropriate partners* for access and contribution to the system. With relevant information provided by MDT partners, each SIU/CAC will be able to produce management reports which can then be compared and analyzed on a statewide basis; all using standardized formatting. NCA officials indicated that partnerships among CAC were possible to accommodate units that were developing but not in a position to be accredited or have independent access to NCATrak.

***Recommendations:***

- **Adopt NCATrak as the standard records management system for SIU statistical reporting**
- **Require use of NCATrak as a condition of grant awarding**
- **Provide financial support as needed to capture statistical data from all SIU**
  - **SIU currently receive 50% of the annual fee supporting this system**

**Training:** Training is one of the most noted segments among the SIU/MDT partners, especially for law enforcement and DCF investigators. The primary challenge is access to specialized training in a timely fashion to accommodate the cycle of investigator turnover. In many instances, specialized training is available only through out of state venues. This results in a dramatic increase in the expense for the training (air travel; lodging; meals, etc). To curb that expense, the Board has approved contracting with training providers to bring the training sessions to Vermont. This has been successful in providing valuable training with a notable reduction in price per student expense.

The drawback with this system is the length of time between course offerings and problems with coordinating basic course offerings with advanced course offerings; a log jam is experienced, with people waiting to get the appropriate level of training at the time it is needed. Many supported the idea of developing a method for delivery of this training with in-state resources.

With respect to prosecutors, many pertinent SIU/MDT courses are only available at the national level. Often, these courses are attended by a small number of prosecutors due to expense and scheduling issues. It was noted that Vermont does have a cadre of experienced SIU prosecutors who expressed interest in developing and delivering peer educational information. At the very least, interest was expressed to convene round table forums for SIU prosecutors to share best practice ideas and explore current trends in the discipline.

***Recommendations:***

- **Identify the core training requirements for MDT partners**
- **Develop the ability to provide basic and advanced level training in-state for MDT partners**
- **Develop regional/statewide forums for sharing of best practices and emerging trend information applicable to MDT partners (individual disciplines and teams as a whole)**
  - **Specialty training events, e.g., prosecutors, investigators, victim advocates**
  - **Joint trainings for MDT partners as a team**

## **Conclusion**

Based upon information gathered from site visits conducted around the state during November and December, along with individual meetings with leaders at the state, county, and local levels, it is clear that true progress has been achieved in the establishment of county based Special Investigation Units (SIU). Challenges still remain, but this review has identified a number of areas to focus upon to make necessary improvements.

The most significant item to note is the development of a vastly improved networking behavior among partners in the multi-disciplinary teams (MDT). Even in counties which have struggled to establish a fully functioning SIU/MDT, the communication among MDT partners is now occurring on a regular basis and service delivery is improved.

Core aspects of the MDT (police; DCF; victim advocates; prosecutors) should continue to seek the opportunity to achieve co-location status for the sake of team cohesiveness. Time and again, comments from site visits pointed out the critical nature of active participation and ready access among these partners. The remaining MDT partners (medical; mental health) are equally key members of active SIU/MDT structures, but the experience to this point is that it is not practical to demand co-location of these specialists when their ready availability and full participation adds significant value in their current format.

- ✓ Items of concern remain with respect to state agency districts which do not align with county lines.
- ✓ Management of turnover among investigators is an issue for both police and DCF.
- ✓ Funding issues for county and municipal investigators remains as a barrier in some areas.
- ✓ Sustainment and availability of specialized training for all MDT partners.
- ✓ Standardization of SIU records management should be addressed.
- ✓ Specific pilot projects may be available in counties which have been unable to adopt the existing MDT model
  - Forensic Interviewers in lieu of SIU assigned DCF staff
  - Mutual aid arrangements (funded) to be developed among police agencies in problematic locations
  - Use of qualified, less than full time, SIU investigators
  - CAC partnership arrangements for records management and mentorship functions

This report represents an assessment of the progress in developing county based Special Investigation Units in Vermont. Areas for improvement have been highlighted to assist with future development.

## **APPENDIX – A**



### **Vermont Special Investigation Units FY2011-2012**

#### **Vermont Special Investigation Units**

#### **FY2011-2012**

#### **Statistical Data Form**



**Vermont Special Investigation Units**  
**FY2011-2012**  
**Statistical Data Form**

**Reporting Period:**  
(check appropriate box)  
(by double left clicking)

☒ July – Sept (2011)  
☐ Oct. – Dec. (2011)

☐ Jan. – Mar. (2012)  
☐ Apr. – June. (2012)

\*Please note that all data requested should be calculated as accurately as possible. If our categories are different from yours, please choose the category that most closely matches. Please do not provide percentages.

Organization Name: \_\_\_\_\_

Organization Address: \_\_\_\_\_

City: \_\_\_\_\_ State: Vt. Zip: \_\_\_\_\_

Prepared By/Title: \_\_\_\_\_

Award Id Number: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Email: \_\_\_\_\_ Date Submitted: \_\_\_\_\_

**Statistical Overview of Case Activities during this Reporting Period**

**1.) Total number of new cases reported to SIU/CAC: \_\_\_\_\_**

A - Substantiated as Criminal Act: \_\_\_\_\_

- Closed by Criminal Charges: \_\_\_\_\_

- Remain Under Investigation: \_\_\_\_\_

B – Deemed as a Non Criminal Act: \_\_\_\_\_

C - False Report: \_\_\_\_\_

**2.) Prosecution, Disposition/Results**

A - Total # of Cases accepted for Prosecution: \_\_\_\_\_

B - Total # Cases Dismissed by Court: \_\_\_\_\_, by Prosecution: \_\_\_\_\_

C - Total # of Victims Deposed: \_\_\_\_\_

D - Total # of Convictions: \_\_\_\_\_ (**Attach Sentencing Information for each Case**)

- By Trial: \_\_\_\_\_

- By Plea Agreement: \_\_\_\_\_

E.) Total # of Acquittals: \_\_\_\_\_

### **Case Information Minors (Under 18)**

**Total number of new children served at the SIU/CAC this reporting period:** \_\_\_\_\_

*Breakdown by gender and age*

Gender of Children

Female \_\_\_\_\_

Male \_\_\_\_\_

Age of children at first contact with center

0-6 Years: \_\_\_\_\_

7-12 Years: \_\_\_\_\_

13-17 Years: \_\_\_\_\_

**Total number of alleged offenders:** \_\_\_\_\_

*Breakdown by relationship and age*

Relationship of alleged offender to child

Parent: \_\_\_\_\_ Parent's boy/girlfriend: \_\_\_\_\_

Stepparent: \_\_\_\_\_ Other known person: \_\_\_\_\_

Other Relative: \_\_\_\_\_ Unknown: \_\_\_\_\_

Age of Alleged Offenders:

Under 13: \_\_\_\_\_

13-17: \_\_\_\_\_

18+: \_\_\_\_\_

Unknown: \_\_\_\_\_

Types of abuse reported:

Sexual abuse: \_\_\_\_\_ Physical abuse: \_\_\_\_\_ Neglect: \_\_\_\_\_

Witness to Violence: \_\_\_\_\_ Drug Endangered: \_\_\_\_\_ Other: \_\_\_\_\_

Race or ethnicity of total children seen at the SIU/CAC during reporting period:

White: \_\_\_\_\_ Black/African American: \_\_\_\_\_ Hispanic/Latino: \_\_\_\_\_

American Indian/Alaska Native: \_\_\_\_\_ Asian/Pacific Islander: \_\_\_\_\_

Other: \_\_\_\_\_

Number of children receiving services during reporting period:

Medical Exams/Treatment: \_\_\_\_\_

Counseling/Therapy: \_\_\_\_\_

Referral to Counseling/Therapy: \_\_\_\_\_

Onsite Forensic Interviewing: \_\_\_\_\_

Offsite Forensic Interviewing: \_\_\_\_\_

Child Protective Services Information:

Number of dispositions by category

Founded/ Reason to believe: \_\_\_\_\_

Administrative Closure: \_\_\_\_\_

Moved:

Unable to determine: \_\_\_\_\_

Unfounded/Ruled out: \_\_\_\_\_

Other: \_\_\_\_\_

Law Enforcement Disposition:

Number of cases where charges were filed: \_\_\_\_\_

Prosecution Disposition/Results:

Number of cases accepted for Prosecution: \_\_\_\_\_

Number of Convictions: \_\_\_\_\_

Number of Pleas: \_\_\_\_\_

Number of Acquittals: \_\_\_\_\_

Other Services Provided by SIU/CAC:

Refers to total number of services provided to individuals who were not seen at the SIU/CAC.

Services include:

Case Management/Coordination: \_\_\_\_\_

Prevention Services for Children: \_\_\_\_\_

Other: Describe activity: \_\_\_\_\_

Number provided service \_\_\_\_\_

### **Case Information (Adults 18 and Over)**

**Total number of new Adults served at the SIU/CAC this reporting period:**

*Breakdown by gender and age*

Gender of Adult

Female \_\_\_\_\_

Male \_\_\_\_\_

Age of Adult at first contact with center

18 -21 Years: \_\_\_\_\_

Over 21 Years: \_\_\_\_\_

**Total number of alleged offenders:** \_\_\_\_\_

*Breakdown by relationship and age*

Relationship of alleged offender to Adult Victim:

Parent: \_\_\_\_\_

Parent's boy/girlfriend: \_\_\_\_\_

Stepparent: \_\_\_\_\_

Other known person: \_\_\_\_\_

Other Relative: \_\_\_\_\_

Unknown: \_\_\_\_\_

Age of Alleged Offenders:

Under 13: \_\_\_\_\_

13-17: \_\_\_\_\_

18+: \_\_\_\_\_

Unknown: \_\_\_\_\_

Types of abuse reported:

Sexual abuse: \_\_\_\_\_ Physical abuse: \_\_\_\_\_ Neglect: \_\_\_\_\_

Witness to Violence: \_\_\_\_\_ Drug Endangered: \_\_\_\_\_ Other: \_\_\_\_\_

Race or ethnicity of total adults seen at the SIU/CAC during reporting period:

White: \_\_\_\_\_ Black/African American: \_\_\_\_\_ Hispanic/Latino: \_\_\_\_\_

American Indian/Alaska Native: \_\_\_\_\_ Asian/Pacific Islander: \_\_\_\_\_

Other: \_\_\_\_\_

Number of adults receiving services during reporting period:

Medical Exams/Treatment: \_\_\_\_\_

Counseling/Therapy: \_\_\_\_\_

Referral to Counseling/Therapy: \_\_\_\_\_

Onsite Forensic Interviewing: \_\_\_\_\_

Offsite Forensic Interviewing: \_\_\_\_\_

Law Enforcement Disposition:

Number of cases where charges were filed: \_\_\_\_\_

Prosecution Disposition/Results:

Number of cases accepted for Prosecution: \_\_\_\_\_

Number of Convictions: \_\_\_\_\_

Number of Pleas: \_\_\_\_\_

Number of Acquittals: \_\_\_\_\_

Other Services Provided by SIU/CAC:

Refers to total number of services provided to individuals who were not seen at the SIU/CAC.

Services include:

Case Management/Coordination: \_\_\_\_\_

Prevention Services for Adults: \_\_\_\_\_

Other: Describe activity: \_\_\_\_\_ Number provided service \_\_\_\_\_

## **APPENDIX – B**

### **SPECIAL INVESTIGATIONS UNITS**

#### **SITE VISIT**

#### **CHECKLIST**

SIU/CAC by location: \_\_\_\_\_ Date: \_\_\_\_\_

Attendees:

---

---

❖ Multi-disciplinary Team:

- Police:
  -
- DCF:
  -
- Prosecution:
  -
- Medical:
  -
- Mental Health:
  -
- Victim Advocacy:
  -
- Child Advocacy Ctr:
  - Accreditation?
  - NCAttrak?

❖ Space Utilization:

- Co-located:
  - Yes?
  - No?
  - Workaround?
- Team working space:
  - Access by members
  - Access by public
  - Adult/Child/Both?
- Case reviews:
  - Location
  - Frequency
- Forensic Interviews:
  - Location
  - Analysis of interviews

Comments:

Training:

❖ Received:

❖ Needed:

Goals:

❖ Short-term:

❖ Long-term:

Challenges:

Suggestions:

Comments:



**State of Vermont**  
**Department of Public Service**  
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Nov 8, 2011

STATE OF VERMONT  
 LEGISLATIVE JOINT FISCAL COMMITTEE  
 ONE BALDWIN STREET  
 MONTPELIER, VT 05633-5701

To: The Legislative Joint Fiscal Committee  
 Sen. Ann Cummings, Chair  
 Rep. Martha Heath, Vice-Chair  
 Rep. Carolyn Branagan, Clerk  
 Rep. Janet Ancel  
 Sen. Diane Snelling  
 Sen. John Campbell  
 Rep. Mitzi Johnson  
 Sen. Jane Kitchel  
 Rep. Mark Larson  
 Sen. Richard Sears

Enclosed is the Quarterly Report of costs and expenditures for proceedings of the Federal Energy Regulatory Commission [30 V. S. A. § 20 (b)(9)] covering the period from July 1, 2011 through September 30, 2011.

Respectfully Submitted,  
 Vermont Department of Public Service

*Elizabeth Miller By SH*

Elizabeth Miller  
 Commissioner

Enclosure



**Public Service Department Expenditures  
Related to Proceedings  
At the  
Federal Energy Regulatory Commission  
For the period  
July 1, 2011 through September 30, 2011**

**General Description of Activity**

The Department takes action at FERC to protect the interest of Vermont ratepayers in many different proceedings. We have FERC counsel on contract to monitor general FERC actions and proceedings and to also represent Vermont's interests in particular proceedings. For example, the Department has been active at FERC in ensuring fairness in cost allocations for utility projects and in ensuring Vermont's interests are represented in New England transmission projects. The issues vary from quarter to quarter but it is crucial to Vermont consumers that the Public Service Department intervenes at FERC when necessary to ensure that the costs flowing back to Vermont ratepayers as a result of FERC activity and proceedings are true, accurate, just and reasonable. The expenditures reported below are consistent with prior periods and are in line with expectations.

**Expenditures**

For FERC related activity affecting Vermont <sup>1</sup>	\$ 54,271.00
Indirect Expenditures <sup>2</sup>	\$ <u>14,492.38</u>
Total Expenditures <sup>3</sup> for the Quarter	\$ 68,763.38

---

<sup>1</sup>In accordance with Title 30, § 20 (b) (9) the department of public service provides the following quarterly report for expenditures related to FERC proceedings affecting the State of Vermont Utilities for the period April 1, 2011 through June 30, 2011.

§20. Particular proceedings; personnel

(b) Proceedings, including appeals there from, for which additional personnel may be retained are:

(9) proceedings in the Federal Energy Regulatory Commission which involve Vermont utilities or which may affect the interests of the state of Vermont. Costs under this subdivision shall be charged to the involved electric or natural gas companies pursuant to section 21(a) of this title. In cases where the proceeding is generic in nature the costs shall be allocated to electric or natural gas companies in proportion to the benefits sought for the customers of such companies from such advocacy. The public service board and the department of public service shall report quarterly to the joint fiscal committee all costs incurred and expenditures charged under the authority of this subsection, and the purpose for which such costs were incurred and expenditures made;

<sup>2</sup>Indirect expenditures include telephone, postage and copying expense.

<sup>3</sup> Expenditures include amounts actually paid for the quarter.

VT Agency of Transportation  
Contract Bid Awards as Compared to FY2012 Budget Estimates  
Joint Transportation Oversight Committee  
November 2011

PROGRAM	PROJECT NAME & NUMBER	AMOUNT	AMOUNT	TOTAL ESTIMATE REQUESTED FOR RESULTS (F)	TOTAL ESTIMATE AS IN FY2012 BUDGET	AMOUNT ABOVE (BELOW) ESTIMATE (G - H)	% ABOVE (BELOW) ESTIMATE
RAILROAD	BARNET STRB(36)			\$773,949	\$515,000	\$258,949	50.3%
ROADWAY	BARRE CITY FEFC F 026-1 (34) C/2	\$10,337,436			\$18,387,633	(\$3,050,197)	-16.6%
BRIDGE	BETHEL BHF 0241(30)	\$1,023,766			\$3,132,706	(\$108,940)	-3.5%
BRIDGE	BETHEL BRF 022-1(14)	\$1,624,306			\$10,595,046	(\$970,740)	-9.2%
BRIDGE	BRIDPORT STP CULV(21)	\$205,491			\$185,500	\$19,991	10.8%
ROADWAY	CABOT-DANVILLE FEFC F 028-3(26)C/1	\$7,106,659			\$12,830,578	(\$723,919)	-5.6%
TRAFFIC	CASTLETON-RUTLAND TOWN STPG SGNL(37)	\$38,075	\$21,711	\$59,786	\$59,786	\$0	0.0%
RAILROAD	CHESTER STP GMRC(4)	\$152,925	\$62,939	\$215,864	\$185,713	\$30,151	16.2%
RAILROAD	CHESTER STP GMRC(5)	\$191,300	\$74,695	\$265,995	\$234,621	\$31,374	13.4%
RAILROAD	CLARENDON STP GMRC(7)	\$288,185	\$94,228	\$382,413	\$285,116	\$97,297	34.1%
ROADWAY	DANVILLE FEFC 028-3(32)	\$6,673,826	\$4,354,004	\$11,027,830	\$12,414,892	(\$1,387,062)	-11.2%
PAVING	DORSET-DANBY NH SURF(24)	\$1,783,452	\$275,611	\$2,059,062	\$2,317,026	(\$257,964)	-11.1%
BRIDGE	EAST HAVEN BRF 0269(11)	\$963,065	\$392,830	\$1,355,894	\$1,716,000	(\$360,106)	-21.0%
PAVING	HARTLAND-NORWICH IM 091-1(59)	\$6,442,338	\$1,016,484	\$7,458,822	\$7,182,800	\$276,022	3.8%
BRIDGE	HINESBURG STP 0199(2)	\$848,509	\$302,014	\$1,150,523	\$1,510,902	(\$360,379)	-23.9%
TRAFFIC	HINESBURG-RICHMOND STPG SGNL(38)	\$62,255	\$25,338	\$87,593	\$87,593	\$0	0.0%
TRAFFIC	HYDE PARK HES 030-2(23)	\$1,460,875	\$348,220	\$1,809,095	\$2,837,397	(\$1,028,302)	-36.2%
BRIDGE	IRASBURG STP CULV(20)	\$205,378	\$125,737	\$331,114	\$330,532	\$582	0.2%
RAILROAD	LEICESTER WCRS(11)	\$219,730	\$38,235	\$257,965	\$295,803	(\$37,838)	-12.8%
BRIDGE	LYNDON-IRASBURG IM MEMB(29)	\$2,071,209	\$377,831	\$2,449,040	\$3,510,600	(\$1,061,560)	-30.2%
RAILROAD	MIDDLEBURY WCRS(12)(RE-ADV)	\$326,580	\$55,987	\$382,567	\$221,284	\$161,283	72.9%
ROADWAY	MILTON STP 5800(2)	\$1,326,960	\$715,189	\$2,042,149	\$2,889,162	(\$847,013)	-29.3%
BRIDGE	MILTON-HIGHGATE IM MEMB(26)	\$2,145,486	\$388,863	\$2,534,349	\$3,350,000	(\$815,651)	-24.3%
PAVING	MONTPELIER NH 2901(1), STP 2902(1), STP 2905(1)	\$1,818,497	\$479,117	\$2,297,614	\$3,223,448	(\$925,834)	-28.7%
RAILROAD	NEW HAVEN WCRS(13)	\$243,885	\$43,583	\$287,468	\$175,330	\$112,138	64.0%
PAVING	NEWBURY-ST. JOHNSBURY IM 091-2(78)	\$8,474,441		\$8,474,441	\$9,380,000	(\$905,559)	-9.7%
BRIDGE	NEWFANE BRF 0106(3)S	\$1,536,234	\$826,855	\$2,363,089	\$2,395,000	(\$31,911)	-1.3%

VT Agency of Transportation  
Contract Bid Awards as Compared to FY2012 Budget Estimates  
Joint Transportation Oversight Committee  
November 2011

	PROGRAM	PROJECT NAME & NUMBER	AMOUNT BID	CONTINGENCY, ROW, PE, ETC.	TOTAL ESTIMATE REVISED FOR BID RESULTS (E + F)	TOTAL ESTIMATE AS IN FY2012 BUDGET	AMOUNT ABOVE (BELOW) ESTIMATE (G - H)	% ABOVE (BELOW) ESTIMATE
29	PAVING	NEWPORT-COVENTRY-NEWPORT STP 2802(1)	\$3,996,924	\$832,520	\$4,829,444	\$4,500,000	\$329,444	7.3%
30	BRIDGE	PITTSFIELD-STOCKBRIDGE STP 022-1(22)S	\$969,026	\$324,101	\$1,293,127	\$1,159,995	\$133,132	11.5%
31	BRIDGE	RANDOLPH BHO 1444(53)	\$378,529	\$148,342	\$526,870	\$796,348	(\$269,478)	-33.8%
32	TRAFFIC	READING-WOODSTOCK STPG SIGN(38)	\$60,386	\$31,097	\$91,483	\$91,483	\$0	0.0%
33	BRIDGE	RICHMOND BHF 0209(7)	\$688,475	\$122,371	\$810,846	\$1,320,000	(\$509,154)	-38.6%
34	BRIDGE	RICHMOND IM BPNT(7)	\$827,540	\$217,620	\$1,045,160	\$652,234	\$392,926	60.2%
35	RAILROAD	ROCKINGHAM STP GMRC(1)	\$1,301,773	\$562,643	\$1,864,416	\$1,975,100	(\$110,684)	-5.6%
36	RAILROAD	ROCKINGHAM STP GMRC(16)	\$157,818	\$70,173	\$227,991	\$410,000	(\$182,009)	-44.4%
37	BRIDGE	ROXBURY BHF 0187(8) & ROXBURY ER 0187(9)	\$1,723,353	\$330,943	\$2,054,296	\$2,054,296	\$0	0.0%
38	RAILROAD	RUTLAND CITY RAIL 5307(15)	\$681,242	\$203,481	\$884,724	\$897,000	(\$12,276)	-1.4%
39	BRIDGE	S.BURLINGTON-COLCHESTER IM CULV(23)	\$2,356,980	\$793,621	\$3,150,601	\$5,710,788	(\$2,560,187)	-44.8%
40	RAILROAD	SALISBURY WCRS(15)&MIDDLEBURY WCRS(1)	\$859,650	\$146,948	\$1,006,598	\$589,644	\$416,954	70.7%
41	PAVING	THETFORD-FAIRLEE STP 2710(1)	\$3,838,629	\$670,502	\$4,509,130	\$4,776,060	(\$266,930)	-5.6%
42	PAVING	WATERBURY STP 2607(1) & WATERBURY STP 2201(1)	\$1,285,963	\$320,458	\$1,606,422	\$2,060,449	(\$454,027)	-22.0%
43	BRIDGE	WILLISTON-GEORGIA IM MEMB(25)	\$1,023,340	\$225,151	\$1,248,491	\$1,577,000	(\$328,509)	-20.8%
44	BRIDGE	WINHALL STP CULV(22)	\$242,431	\$186,177	\$428,608	\$407,829	\$20,779	5.1%
45							(\$15,285,208)	
46								
47	Notes (by column heading):							
48	E. Amount Bid: Actual low bid							
49	F. Contingencies, ROW, PE, Etc: Other costs associated with the project.							
50	G. Total Estimate (Revised for bid results): Total of Amount Bid plus Contingencies, ROW, PE, Etc. (column E + column F)							
51	H. Total Estimate as in FY2012 Budget: Estimated total project costs as it appears in the FY2012 Transportation Program.							
52	I. Amount Above (Below) Estimate: Difference of Total Estimate Revised for Bid Results minus Project Estimate FY2012 Budget (column G - column H)							
53	J. % Difference Above (Below) Estimate: Amount Above (Below) Estimate as percentage of Total Estimate in FY2012 Budget (column I + column H)							

**Vermont Agency of Transportation**  
**All Programs**  
**FY2012 Project Status Report**  
**Joint Transportation Oversight Committee**  
**as of 11/1/2011**

Program	Project Name And Number	Project Total	Projected FY2012 Costs	FY2012 Budget	FY2012 Over/(Under)	Non-FY2012 Budget
INTERSTATE BRIDGES	HARTFORD-SHARON IM MEMB(15)	\$4,119,306	\$300,000	\$418,564	(\$118,564)	\$3,819,306
INTERSTATE BRIDGES	LITTLETON-WATERFORD IM 093-1(13)	\$3,000,000	\$0	\$2,500,000	(\$2,500,000)	\$3,000,000
INTERSTATE BRIDGES	LYNDON-IRASBURG IM MEMB(29)	\$2,449,040	\$1,770,000	\$2,332,000	(\$562,000)	\$679,040
INTERSTATE BRIDGES	MIDDLESEX IM 089-2(41)	\$6,236,000	\$285,000	\$161,000	\$124,000	\$5,951,000
INTERSTATE BRIDGES	MILTON-HIGHGATE IM MEMB(26)	\$2,534,349	\$1,370,700	\$2,200,000	(\$829,300)	\$1,163,649
INTERSTATE BRIDGES	RICHMOND IM BPNT(6)	\$1,740,295	\$700,000	\$0	\$700,000	\$1,040,295
INTERSTATE BRIDGES	RICHMOND-HIGHGATE IM BPNT(9)	\$6,480,000	\$1,575,000	\$3,000,000	(\$1,425,000)	\$4,905,000
INTERSTATE BRIDGES	SOUTH BURLINGTON-COLCHESTER IM CULV(23)	\$3,150,601	\$1,956,980	\$5,400,000	(\$3,443,020)	\$1,193,621
INTERSTATE BRIDGES	SOUTH BURLINGTON-WINDOOSKI IM BPNT(5)	\$4,989,629	\$3,480,000	\$143,989	\$5,336,011	\$1,509,629
INTERSTATE BRIDGES	ST. JOHNSBURY IM MEMB(27)	\$2,433,338	\$740,000	\$2,422,050	(\$1,682,050)	\$1,693,338
INTERSTATE BRIDGES	WATERBURY IM 089-2(43)	\$3,100,000	\$238,018	\$1,026,000	(\$787,982)	\$2,861,982
INTERSTATE BRIDGES	WATERBURY IM 089-2(44)	\$919,202	\$904,202	\$255,000	\$649,202	\$15,000
INTERSTATE BRIDGES	WEATHERSFIELD-THETFORD IM CULV(17)	\$2,667,630	\$107,000	\$0	\$107,000	\$2,560,630
INTERSTATE BRIDGES	WESTMINSTER-NORWICH IM BPNT(8)	\$3,463,000	\$1,565,000	\$2,041,000	(\$476,000)	\$1,918,000
INTERSTATE BRIDGES	WESTMINSTER-NORWICH IM MEMB(30)	\$2,115,299	\$548,736	\$0	\$548,736	\$1,566,563
INTERSTATE BRIDGES	WINDSOR IM 091-1(64)	\$18,680,000	\$725,000	\$605,000	\$120,000	\$17,955,000
INTERSTATE BRIDGES TOTAL					(\$6,238,967)	
PAVING	ADDISON-NEW HAVEN STP 9632(1)	\$8,341,239	\$1,050,000	\$5,270,000	(\$4,220,000)	\$7,291,239
PAVING	BARTON-IRASBURG IM 091-3(48)	\$6,007,985	\$951,985	\$20,000	\$931,985	\$5,056,000
PAVING	BLOOMFIELD-LEMINGTON STP 2610(1)	\$3,325,012	\$301,919	\$525,000	(\$223,081)	\$3,023,093
PAVING	BRATTLEBORO STP 2623(1)	\$3,549,554	\$150,000	\$0	\$150,000	\$3,399,554
PAVING	BURLINGTON STP 2722(1)	\$2,114,286	\$625,000	\$0	\$625,000	\$1,489,286
PAVING	BURLINGTON-SOUTH BURLINGTON NH 2624(1)	\$4,145,319	\$520,000	\$369,250	\$150,750	\$3,625,319
PAVING	CAMBRIDGE-BAKERSFIELD STP 2926(1)	\$10,266,500	\$390,000	\$0	\$390,000	\$9,876,500
PAVING	CASTLETON-WEST RUTLAND STP 2705(1)	\$3,016,085	\$530,000	\$420,000	\$110,000	\$2,486,085
PAVING	GLOVER-BARTON STP 2318(1)	\$2,900,525	\$1,700,000	\$2,000,000	(\$300,000)	\$1,200,525
PAVING	GUILFORD-BRATTLEBORO STP 2707(1)	\$2,908,340	\$1,500,000	\$2,000,000	(\$500,000)	\$1,408,340
PAVING	HARTFORD-SHARON IM 089-1(57)	\$5,052,837	\$3,100,000	\$4,000,000	(\$900,000)	\$1,952,837
PAVING	HARTLAND-NORWICH IM 091-1(59)	\$7,600,000	\$7,600,000	\$7,100,000	\$500,000	\$0
PAVING	IRASBURG-DERBY IM 091-3(47)	\$7,011,233	\$3,800,000	\$6,000,000	(\$2,200,000)	\$3,211,233
PAVING	MONTPELIER NH 2901(1)	\$1,215,000	\$1,215,000	\$1,000,000	\$215,000	\$0
PAVING	NEWBURY-ST. JOHNSBURY IM 091-2(78)	\$9,369,422	\$4,020,000	\$1,320,000	\$2,700,000	\$5,349,422
PAVING	NEWPORT-COVENTRY-NEWPORT STP 2802(1)	\$4,666,358	\$1,060,000	\$4,000,000	(\$2,940,000)	\$3,606,358
PAVING	RIPTON-HANCOCK STP 2803(1)	\$4,263,272	\$125,000	\$0	\$125,000	\$4,138,272
PAVING	RUTLAND CITY NH 2716(1)	\$2,775,000	\$75,000	\$325,000	(\$250,000)	\$2,700,000

**Vermont Agency of Transportation**  
**All Programs**  
**FY2012 Project Status Report**  
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Program	Project Name And Number	Project Total	Projected FY2012 Costs	FY2012 Budget	FY2012 Over/(Under)	Non-FY2012 Budget
PAVING	RUTLAND CITY STP 2728(1)	\$1,875,000	\$60,000	\$305,000	(\$245,000)	\$1,815,000
PAVING	SHARON-ROYALTON IM 089-1(58)	\$4,029,951	\$3,250,000	\$3,400,000	(\$150,000)	\$779,951
PAVING	STOCKBRIDGE-BETHEL STP 2910(1)	\$8,380,000	\$650,000	\$1,280,000	(\$630,000)	\$7,730,000
PAVING	SWANTON-HIGHGATE IM SURF(28)	\$2,045,000	\$325,000	\$0	\$325,000	\$1,720,000
PAVING	THETFORD-FAIRLEE STP 2710(1)	\$4,509,130	\$4,405,000	\$4,300,000	\$105,000	\$104,130
PAVING	VERSHIRE-THETFORD STP 2911(1)	\$7,410,000	\$240,000	\$75,000	\$165,000	\$7,170,000
PAVING	WARREN-WAITSFIELD STP 2506(1)	\$6,850,000	\$650,000	\$2,200,000	(\$1,550,000)	\$6,200,000
PAVING	WATERBURY STP 2201(1)	\$1,293,322	\$1,190,000	\$1,300,000	(\$110,000)	\$103,322
PAVING	WEATHERSFIELD STP 2913(1)	\$6,300,000	\$250,000	\$110,000	\$140,000	\$6,050,000
PAVING	WESTFIELD-TROY STP 2903(1)	\$6,150,000	\$50,000	\$1,125,000	(\$1,075,000)	\$6,100,000
PAVING	WESTMINSTER-SPRINGFIELD IM 091-1(62)	\$6,390,363	\$650,000	\$280,197	\$369,803	\$5,740,363
PAVING	WHITING-MIDDLEBURY STP 2629(1)	\$4,131,930	\$370,000	\$0	\$370,000	\$3,761,930
PAVING TOTAL					(\$7,920,543)	
ROADWAY PROJECTS	BARRE CITY FECC F 026-1(34)C/1	\$1,381,533	\$450,000	\$0	\$450,000	\$931,533
ROADWAY PROJECTS	BARRE CITY FECC F 026-1(34)	\$14,855,911	\$6,000,000	\$7,000,000	(\$1,000,000)	\$8,855,911
ROADWAY PROJECTS	BRANDON NH 019-3(495)	\$13,687,496	\$800,000	\$3,000,000	(\$2,200,000)	\$12,887,496
ROADWAY PROJECTS	BRATTLEBORO STP 2000(24)	\$2,229,674	\$300,000	\$0	\$300,000	\$1,929,674
ROADWAY PROJECTS	BURLINGTON STP 5000(17)	\$3,718,750	\$2,725,000	\$520,000	\$2,205,000	\$993,750
ROADWAY PROJECTS	BURLINGTON STP 5000(16)	\$6,602,607	\$130,967	\$1,540,967	(\$1,410,000)	\$6,471,640
ROADWAY PROJECTS	BURLINGTON STP 5000(16)C/5	\$225,604	\$210,537	\$0	\$210,537	\$15,067
ROADWAY PROJECTS	BURLINGTON MEGC M 5000(1)	\$900,000	\$900,000	\$180,000	\$720,000	\$0
ROADWAY PROJECTS	BURLINGTON STP 5000(19)	\$974,000	\$20,000	\$402,000	(\$382,000)	\$954,000
ROADWAY PROJECTS	BURLINGTON STP 5000(16)C/4	\$1,941,308	\$1,937,698	\$0	\$1,937,698	\$3,610
ROADWAY PROJECTS	CABOT-DANVILLE FECC F 028-3(26)C/1	\$12,106,659	\$5,000,000	\$3,360,869	\$1,639,131	\$7,106,659
ROADWAY PROJECTS	CHARLOTTE FECC 019-4(20)	\$14,751,000	\$200,000	\$600,000	(\$400,000)	\$14,551,000
ROADWAY PROJECTS	COLCHESTER STP 5600(9)S	\$5,117,600	\$150,000	\$1,630,000	(\$1,480,000)	\$4,967,600
ROADWAY PROJECTS	COLCHESTER TCSP TCSE(7)	\$3,674,667	\$2,032,678	\$2,786,838	(\$754,160)	\$1,641,889
ROADWAY PROJECTS	DANVILLE FECC 028-3(32)	\$11,027,830	\$4,250,000	\$5,000,000	(\$750,000)	\$6,777,830
ROADWAY PROJECTS	ENOSBURG FALLS STP RWSS(2)	\$256,000	\$230,616	\$0	\$230,616	\$25,384
ROADWAY PROJECTS	ENOSBURG FALLS STP RWSS(1)	\$1,009,771	\$5,000	\$285,000	(\$280,000)	\$1,004,771
ROADWAY PROJECTS	JOHNSON STP 030-2(21)	\$1,984,000	\$1,010,819	\$455,059	\$555,760	\$973,181
ROADWAY PROJECTS	JOHNSON STP 030-2(25)	\$1,185,489	\$959,782	\$192,180	\$767,602	\$225,707
ROADWAY PROJECTS	MORRISTOWN STP F 029-1(2)	\$31,258,470	\$2,338,823	\$5,657,585	(\$3,318,762)	\$28,919,647
ROADWAY PROJECTS	PITTSFORD NH 019-3(491)	\$10,017,828	\$475,000	\$125,000	\$350,000	\$9,542,828
ROADWAY PROJECTS	PITTSFORD NH 019-3(493)	\$14,657,203	\$50,000	\$900,000	(\$850,000)	\$14,607,203
ROADWAY PROJECTS	PITTSFORD-BRANDON NH 019-3(494)	\$12,130,000	\$250,000	\$750,000	(\$500,000)	\$11,880,000
ROADWAY PROJECTS	RUTLAND CITY STP 019-3(57)	\$3,653,645	\$145,527	\$2,685,073	(\$2,539,546)	\$3,508,118

**Vermont Agency of Transportation**  
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Program	Project Name And Number	Project Total	Projected FY2012 Costs	FY2012 Budget	FY2012 Over/(Under)	Non-FY2012 Budget
ROADWAY PROJECTS	SOUTH BURLINGTON STP 5200(18)	\$3,337,500	\$500,000	\$1,326,619	(\$826,619)	\$2,837,500
ROADWAY PROJECTS	SOUTH BURLINGTON NH 121-1(1)	\$15,448,312	\$900,000	\$0	\$900,000	\$14,548,312
ROADWAY PROJECTS	ST ALBANS HPP 8000(17)	\$1,847,380	\$450,000	\$750,000	(\$300,000)	\$1,397,380
ROADWAY PROJECTS	STOWE STP 0235(10)	\$617,852	\$30,000	\$270,000	(\$240,000)	\$587,852
ROADWAY PROJECTS	SUDBURY-BRANDON STP 0158(3)	\$1,405,996	\$102,922	\$410,000	(\$307,078)	\$1,303,074
ROADWAY PROJECTS	WATERBURY-BOLTON IM 089-2(37)	\$4,505,950	\$275,000	\$0	\$275,000	\$4,230,950
ROADWAY PROJECTS	WILLISTON STP M 5500(7)S	\$3,867,161	\$50,000	\$260,149	(\$210,149)	\$3,817,161
ROADWAY PROJECTS	WINDSOR TCSP TCSE(008)	\$1,000,000	\$0	\$445,000	(\$445,000)	\$1,000,000
<b>ROADWAY PROJECTS TOTAL</b>					(\$7,651,970)	
STATE HIGHWAY BRIDGES	ADDISON-CROWN PT NY VTNY(3)	\$6,300,000	\$1,155,185	\$0	\$1,155,185	\$5,144,815
STATE HIGHWAY BRIDGES	ADDISON-CROWN PT, NY 032-1(17)	\$8,760,000	\$3,594,360	\$0	\$3,594,360	\$5,165,640
STATE HIGHWAY BRIDGES	ALBURGH-ROUSES POINT BHF MEMB(24)	\$3,337,500	\$1,623,500	\$650,000	\$973,500	\$1,714,000
STATE HIGHWAY BRIDGES	BERKSHIRE BHF 0283(9)S	\$2,169,019	\$264,637	\$403,539	(\$138,902)	\$1,904,382
STATE HIGHWAY BRIDGES	BETHEL BHF 0241(30)	\$3,679,885	\$1,529,500	\$960,500	\$569,000	\$2,150,185
STATE HIGHWAY BRIDGES	BETHEL BRF 022-1(14)	\$9,624,306	\$3,808,850	\$2,614,500	\$1,194,350	\$5,815,456
STATE HIGHWAY BRIDGES	BRIDGEWATER BRS 0149(4)	\$2,915,882	\$1,551,256	\$704,000	\$847,256	\$1,364,424
STATE HIGHWAY BRIDGES	BRIDPORT STP CULV(21)	\$205,491	\$108,153	\$0	\$108,153	\$97,338
STATE HIGHWAY BRIDGES	CAMBRIDGE BRF 027-1(4)	\$6,451,321	\$249,900	\$1,141,900	(\$392,000)	\$6,201,421
STATE HIGHWAY BRIDGES	CHESTER BRF 025-1(28)	\$1,407,062	\$810,000	\$1,900,000	(\$1,090,000)	\$597,062
STATE HIGHWAY BRIDGES	CHESTER BRF 025-1(37)	\$2,611,690	\$1,300,000	\$2,950,000	(\$1,350,000)	\$1,311,690
STATE HIGHWAY BRIDGES	CORNWALL BRS 0172(6)	\$6,678,162	\$223,500	\$1,368,000	(\$1,144,500)	\$6,454,662
STATE HIGHWAY BRIDGES	EAST HAVEN BRF 0269(11)	\$1,506,142	\$273,832	\$1,439,024	(\$1,160,192)	\$1,227,310
STATE HIGHWAY BRIDGES	FAIR HAVEN-RUTLAND BHF BPNT(10)	\$2,370,000	\$505,000	\$2,005,000	(\$1,500,000)	\$1,865,000
STATE HIGHWAY BRIDGES	FAIRFIELD BM12080	\$200,000	\$200,000	\$0	\$200,000	\$0
STATE HIGHWAY BRIDGES	HIGHGATE BHF 0285(15)	\$1,285,000	\$1,265,000	\$1,778,000	(\$513,000)	\$20,000
STATE HIGHWAY BRIDGES	HIGHGATE STP 0297(8)	\$295,000	\$10,674	\$295,000	(\$284,326)	\$284,326
STATE HIGHWAY BRIDGES	IRASBURG STP CULV(20)	\$331,114	\$213,400	\$55,000	\$158,400	\$117,714
STATE HIGHWAY BRIDGES	NEWBURY BHF ST 0113(64)	\$775,000	\$353,520	\$705,000	(\$351,480)	\$421,480
STATE HIGHWAY BRIDGES	PITTSFIELD-STOCKBRIDGE STP 022-1(22)S	\$1,453,000	\$1,030,000	\$30,000	\$1,000,000	\$423,000
STATE HIGHWAY BRIDGES	RICHMOND STP RS 0284(11)	\$17,147,842	\$8,910,000	\$7,000,000	\$1,910,000	\$8,237,842
STATE HIGHWAY BRIDGES	ROXBURY ER 0187(9)	\$656,436	\$656,436	\$0	\$656,436	\$0
STATE HIGHWAY BRIDGES	RYEGATE STP CULV(10)	\$6,050,000	\$3,135,000	\$2,900,000	\$235,000	\$5,915,000
STATE HIGHWAY BRIDGES	SHOREHAM BHF ST 0164(2)	\$517,500	\$508,273	\$0	\$508,273	\$9,227
STATE HIGHWAY BRIDGES	ST JOHNSBURY BHF MEMB(28)	\$866,926	\$610,500	\$963,164	(\$352,664)	\$256,426
STATE HIGHWAY BRIDGES	STOCKBRIDGE BRF 022-1(20)S	\$5,182,870	\$1,900,000	\$2,100,000	(\$200,000)	\$3,282,870
STATE HIGHWAY BRIDGES	WINHALL STP CULV(22)	\$428,608	\$300,525	\$101,791	\$198,734	\$128,083
<b>STATE HIGHWAY BRIDGES TOTAL</b>					\$4,031,585	

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Program	Project Name And Number	Project Total	Projected FY2012 Costs	FY2012 Budget	FY2012 Over/(Under)	Non-FY2012 Budget
TOWN HIGHWAY BRIDGES	BARRE TOWN BRF 6100(7)	\$2,995,000	\$169,579	\$619,947	(\$450,368)	\$2,825,421
TOWN HIGHWAY BRIDGES	BRISTOL BRO 1445(32)	\$2,350,000	\$95,000	\$744,732	(\$649,732)	\$2,255,000
TOWN HIGHWAY BRIDGES	DUMMERSTON BHO 1442(28)	\$2,538,657	\$312,764	\$0	\$312,764	\$2,225,893
TOWN HIGHWAY BRIDGES	HARTFORD (WILDER) STP 1444(35)	\$2,826,869	\$1,930,644	\$1,466,000	\$464,644	\$896,225
TOWN HIGHWAY BRIDGES	HARTFORD-LEBANON, NH BRF A000(627)	\$700,000	\$700,000	\$460,000	\$240,000	\$0
TOWN HIGHWAY BRIDGES	MIDDLEBURY-WEYBRIDGE BHO 1445(33)	\$3,688,867	\$2,346,217	\$2,696,217	(\$350,000)	\$1,342,650
TOWN HIGHWAY BRIDGES	NEWFANE BRF 0106(3)S	\$2,335,302	\$962,045	\$1,405,735	(\$443,690)	\$1,374,257
TOWN HIGHWAY BRIDGES	NEWPORT CITY BRO 1449(25)	\$716,247	\$3,053,319	\$1,510,000	\$1,543,319	\$4,110,928
TOWN HIGHWAY BRIDGES	RANDOLPH BHO 1444(53)	\$654,000	\$654,000	\$309,576	\$344,424	\$0
TOWN HIGHWAY BRIDGES	ROCKINGHAM-WALPOLE BHF A000(687)	\$0	\$0	\$150,000	(\$150,000)	\$0
TOWN HIGHWAY BRIDGES	SPRINGFIELD BRO 1442(26)	\$2,027,000	\$594,467	\$1,934,890	(\$1,340,423)	\$1,432,533
TOWN HIGHWAY BRIDGES	THETFORD BHF 0177(9)	\$2,686,109	\$819,000	\$587,000	\$232,000	\$1,267,109
TOWN HIGHWAY BRIDGES	WOODSTOCK BHO 1444(52)	\$2,989,690	\$1,300,000	\$100,000	\$1,200,000	\$1,689,690
<b>TOWN HIGHWAY BRIDGES TOTAL</b>					\$952,938	
<b>TOTAL</b>					(\$16,826,957)	

**Key to Project Status Reports Columns:**

**ProjectTotal =** Current project total cost estimate.

**Projected FY2012 Costs =** Revised estimated costs for current fiscal year.

**FY2012 Budget =** Amount included in current fiscal year budget as passed.

**FY2012 Over(Under) =** Estimated amount over or (under) budget in current fiscal year (column D - column E)

**Non-FY2012 Budget =** Estimated costs budgeted in earlier or subsequent fiscal years (multi year projects) (column C - column D)

**Notes:**

These reports are generated using the following criteria, and thus do not include all projects - only those that meet the reporting threshold.

**Criteria:** Front of book projects > \$500,000 budget with expected deviation from budget of + or - 20%;

and projects with no budget funds but are expected to expend > \$100,000.

All amounts are total funds, state plus federal in most cases.

Deviations typically result from project slippage or acceleration - which results in costs shifting to the following or preceding fiscal years.



Office of the Secretary  
**Agency of Agriculture, Food & Markets**  
116 State Street  
Montpelier, VT 05620-2901  
**www.VermontAgriculture.com**

[phone] 802-828-1619  
[fax] 802-828-2361

*Agency of Agriculture Food & Markets*

To: Secretary Jeb Spaulding  
Agency of Administration

From: Secretary Chuck Ross  
Agency of Agriculture, Food & Markets

Date: October 12, 2011

Re: Grant Funding for "Farm First Program" – Vermont's own Dairy Producer  
Assistance Program

This memo is to inform the Agency of Administration that the VT Agency of Agriculture will be collaborating with other organizations for the program entitled "Farm First". This program will offer VT dairy producers support and resources. What is Farm First? It is short-term counseling for any concern, resource/referral information on any issue and it's confidential and free. Farm First provides dairy producers and their families personal assistance and information for almost any concern such as: stress, legal issues, financial, medical issues, family issues, elderly parent care, anxiety, nutrition, conflict, depression, disability, childcare and family alcohol.

Agri-Mark will be supporting this project with an additional \$1,000.00

We are submitting this memo in accordance with Title 32 Chapter 1 Section 5(a)(3).

If you have any questions, please contact me.

Cc: Joint Fiscal Committee  
Mary Morrison, Business Manager





Department of Vermont Health Access  
SFY 12 Catamount Health Actual Revenue and Expense Tracking  
Tuesday, October 18, 2011

	SFY '12 Appropriation			Consensus Estimates for SFY to Date			Actuals thru 9/30/11			
	<=200%	>200%	Total	<=200%	>200%	Total	<=200%	>200%	Total	% of SFY to-Date
<b>TOTAL PROGRAM EXPENDITURES</b>										
Catamount Health	37,583,124	14,894,418	52,477,542	9,211,649	3,650,632	12,862,281	8,607,295	4,207,266	12,814,562	99.63%
Catamount Eligible Employer-Sponsored Insurance	1,549,861	1,093,183	2,643,044	380,155	268,139	648,294	272,547	128,092	400,639	61.80%
Subtotal Program Spending	39,132,985	15,987,601	55,120,586	9,591,804	3,918,771	13,510,575	8,879,842	4,335,358	13,215,200	97.81%
DVHA Administration	1,296,865	529,828	1,826,693	324,216	132,457	456,673	324,216	132,457	456,673	100.00%
DCF Administration	875,023	357,487	1,232,510	218,756	89,372	308,128	218,756	89,372	308,128	100.00%
Subtotal Administration Spending	2,171,888	887,315	3,059,203	542,972	221,829	764,801	542,972	221,829	764,801	100.00%
<b>TOTAL GROSS PROGRAM SPENDING</b>	<b>41,304,873</b>	<b>16,874,916</b>	<b>58,179,789</b>	<b>10,134,776</b>	<b>4,140,600</b>	<b>14,275,376</b>	<b>12,307,294</b>	<b>5,981,358</b>	<b>18,288,653</b>	<b>128.11%</b>
<b>TOTAL STATE PROGRAM SPENDING</b>	<b>17,407,059</b>	<b>7,111,573</b>	<b>24,518,631</b>	<b>4,189,264</b>	<b>1,711,539</b>	<b>5,900,804</b>	<b>2,685,530</b>	<b>1,286,643</b>	<b>3,972,173</b>	<b>67.32%</b>
<b>TOTAL OTHER EXPENDITURES</b>										
Immunizations Program	2,500,000	-	2,500,000	625,000	-	625,000	625,000	-	625,000	100.00%
VT Dept. of Labor	-	401,993	401,993	-	100,498	100,498	-	100,498	100,498	100.00%
Marketing and Outreach	500,000	-	500,000	125,000	-	125,000	125,000	-	125,000	100.00%
Blueprint	1,846,713	-	1,846,713	461,678	-	461,678	461,678	-	461,678	100.00%
<b>TOTAL OTHER SPENDING</b>	<b>4,846,713</b>	<b>401,993</b>	<b>5,248,706</b>	<b>1,211,678</b>	<b>100,498</b>	<b>1,312,177</b>	<b>1,211,678</b>	<b>100,498</b>	<b>1,312,177</b>	<b>100.00%</b>
<b>TOTAL STATE OTHER SPENDING</b>	<b>2,042,405</b>	<b>401,993</b>	<b>2,444,398</b>	<b>510,801</b>	<b>100,498</b>	<b>611,099</b>	<b>500,302</b>	<b>100,498</b>	<b>600,800</b>	<b>98.31%</b>
<b>TOTAL ALL STATE SPENDING</b>	<b>19,449,463</b>	<b>7,513,566</b>	<b>26,963,029</b>	<b>4,699,865</b>	<b>1,812,038</b>	<b>6,511,903</b>	<b>3,185,832</b>	<b>1,387,141</b>	<b>4,572,973</b>	<b>70.22%</b>
<b>TOTAL REVENUES</b>										
Catamount Health Premiums	5,118,571	4,933,526	10,052,097	1,254,565	1,209,211	2,463,776	1,322,252	1,262,187	2,584,439	104.90%
Catamount Eligible Employer-Sponsored Insurance Premiums	356,157	441,156	797,314	87,359	107,258	194,617	83,032	67,673	150,705	77.44%
Subtotal Premiums	5,474,728	5,374,682	10,849,411	1,341,925	1,316,468	2,658,393	1,405,284	1,329,860	2,735,144	102.89%
Federal Share of Premiums	(3,167,512)	(3,109,618)	(6,277,130)	(787,844)	(772,899)	(1,560,743)	(825,042)	(781,027)	(1,606,069)	102.90%
<b>TOTAL STATE PREMIUM SHARE</b>	<b>2,307,216</b>	<b>2,265,064</b>	<b>4,572,280</b>	<b>554,081</b>	<b>543,570</b>	<b>1,097,650</b>	<b>580,242</b>	<b>548,833</b>	<b>1,129,075</b>	<b>102.86%</b>
Cigarette Tax & Floor Stock			10,048,500			2,512,125			3,599,160	143.27%
Employer Assessment			9,800,000			2,450,000			2,482,000	101.31%
Interest			-			-			463	0.00%
Shared Savings by > 300%			1,277,100			232,200			-	-
<b>TOTAL OTHER REVENUE</b>			<b>21,125,600</b>			<b>5,194,325</b>			<b>6,081,623</b>	<b>117.08%</b>
<b>TOTAL STATE REVENUE</b>			<b>25,697,880</b>			<b>6,291,975</b>			<b>7,210,888</b>	<b>114.80%</b>
State-Only Balance			(1,265,149)			(219,928)			134,068	
Carryforward						-			-	
<b>CATAMOUNT FUND (DEFICIT)/SURPLUS</b>			<b>(1,265,149)</b>			<b>(219,928)</b>			<b>134,068</b>	
General Fund BAA to GC on Behalf of Catamount			2,612,336			653,064			435,359	66.67%
<b>ALL FUNDS THAT SUPPORT CATAMOUNT (DEFICIT)/SURPLUS</b>			<b>1,347,187</b>			<b>433,136</b>			<b>569,427</b>	

## Green Mountain Care Enrollment Report SEPTEMBER 2011

### TOTAL ENROLLMENT BY MONTH

	Jul-07	Nov-07	Jul-08	Aug 10	Sept 10	Oct 10	Nov 10	Dec 10	Jan 11	Feb 11	Mar 11	Apr 11	May 11	June 11	July 11	Aug 11	Sept 11
<b>Adults:</b>																	
VHAP-ESIA	-	35	672	921	906	873	871	899	899	905	918	890	876	850	818	825	807
ESIA	-	21	336	731	729	768	760	764	783	785	801	801	804	782	782	759	755
CHAP	-	320	4,608	9,839	10,087	9,891	9,898	9,898	9,820	9,967	10,200	10,375	10,477	10,434	10,461	10,669	10,542
Catamount Health	-	120	697	2,474	2,491	2,483	2,552	2,498	2,545	2,718	2,810	2,622	2,852	2,386	2,921	2,964	2,960
<b>Total</b>	<b>-</b>	<b>496</b>	<b>6,313</b>	<b>13,965</b>	<b>14,213</b>	<b>14,015</b>	<b>14,081</b>	<b>14,059</b>	<b>14,047</b>	<b>14,375</b>	<b>14,729</b>	<b>14,688</b>	<b>15,009</b>	<b>14,452</b>	<b>14,982</b>	<b>15,217</b>	<b>15,064</b>
<b>Children:</b>																	
VHAP	23,725	24,849	26,441	35,408	35,852	36,019	35,730	36,669	37,093	37,194	37,820	37,383	36,988	37,412	36,569	35,953	36,886
Other Medicaid	69,764	69,969	70,947	39,590	38,663	39,913	39,777	39,414	40,384	40,462	40,799	40,794	40,094	39,962	39,897	39,773	40,530
<b>Children:</b>																	
Dr Dynasaur	19,738	19,733	19,960	19,608	19,891	20,051	20,141	21,120	21,113	21,080	21,064	21,171	20,821	20,027	20,077	20,029	22,069
SCHIP	3,097	3,428	3,396	3,500	3,508	3,613	3,587	3,539	3,499	3,657	3,605	3,622	3,612	3,721	3,789	3,790	3,843
Other Medicaid*	Included	Included	Included	38,015	39,142	39,349	38,942	38,265	38,355	38,460	38,675	38,523	37,666	38,103	37,948	37,841	38,394
<b>Total</b>	<b>116,324</b>	<b>117,979</b>	<b>120,744</b>	<b>136,121</b>	<b>137,056</b>	<b>138,945</b>	<b>138,177</b>	<b>139,007</b>	<b>140,444</b>	<b>140,853</b>	<b>141,963</b>	<b>141,493</b>	<b>139,181</b>	<b>139,225</b>	<b>138,280</b>	<b>137,386</b>	<b>141,722</b>
<b>TOTAL ALL</b>	<b>116,324</b>	<b>118,355</b>	<b>127,057</b>	<b>150,086</b>	<b>151,269</b>	<b>152,960</b>	<b>152,258</b>	<b>153,066</b>	<b>154,491</b>	<b>155,228</b>	<b>156,692</b>	<b>156,181</b>	<b>154,190</b>	<b>153,677</b>	<b>153,262</b>	<b>152,603</b>	<b>156,786</b>

**KEY:**

\* Prior to November 2008, the numbers for Other Medicaid included both children and adults enrolled in this eligibility category

VHAP-ESIA = Eligible for VHAP and enrolled in ESI with premium assistance

ESIA = Between 150% and 300% and enrolled in ESI with premium assistance

CHAP = Between 150% and 300% and enrolled in Catamount Health with premium assistance

Catamount Health = Over 300% and enrolled in Catamount Health with no premium assistance

VHAP = Enrolled in VHAP with no ESI that is cost-effective and/or approvable

Dr. Dynasaur = Enrolled in Dr. Dynasaur

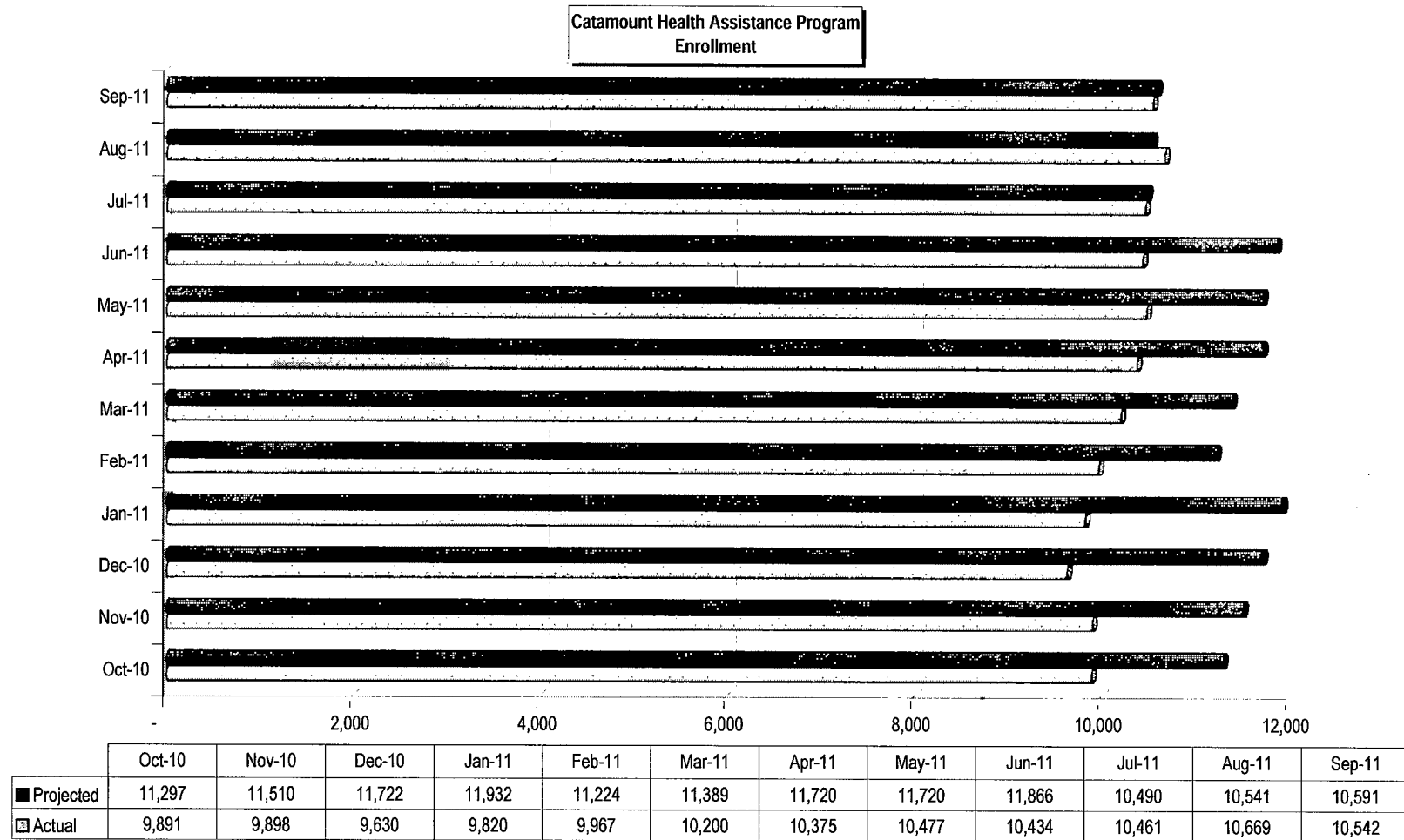
SCHIP = Enrolled in SCHIP

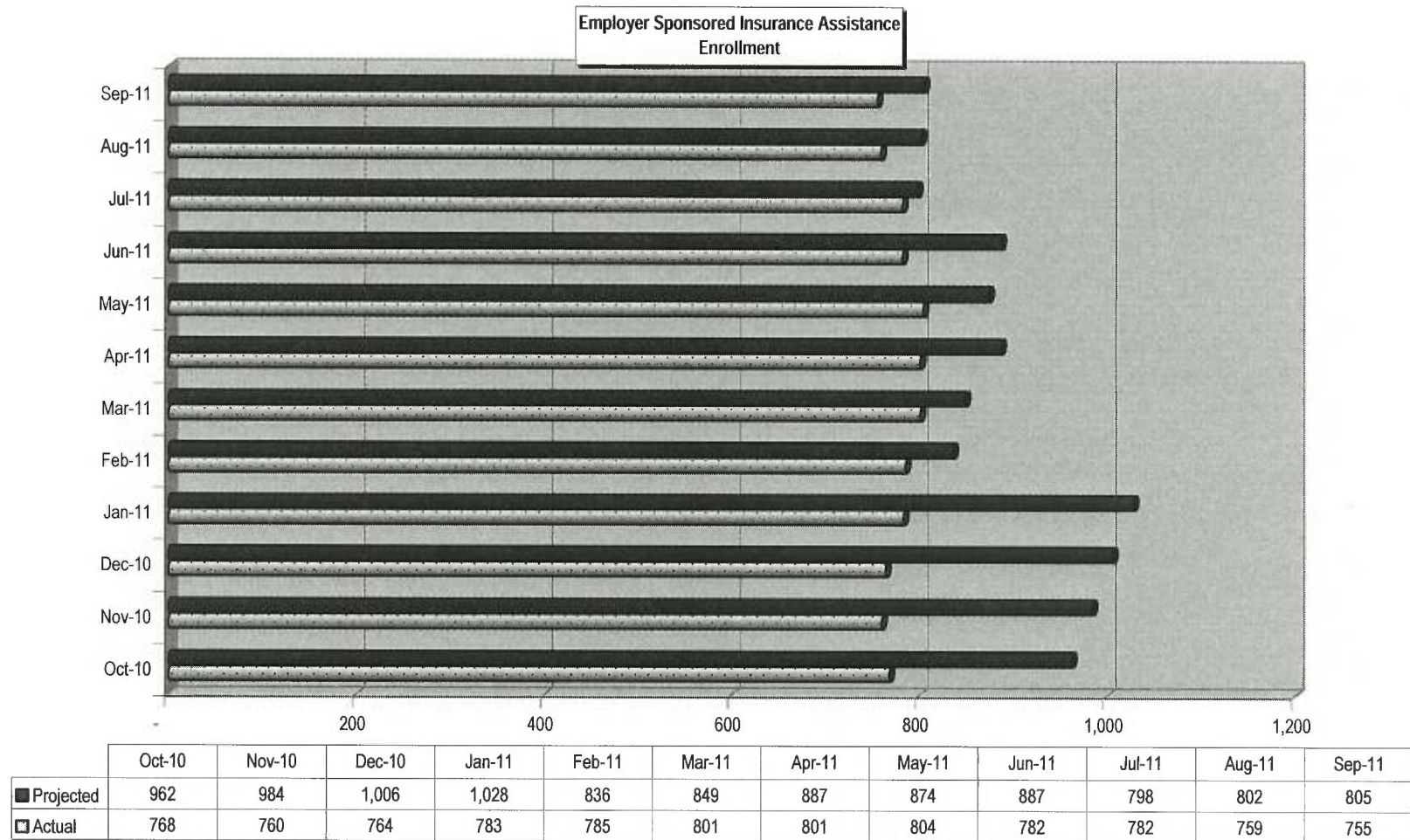
Totals do not include programs such as Pharmacy, Choices for Care, Medicare Buy-in

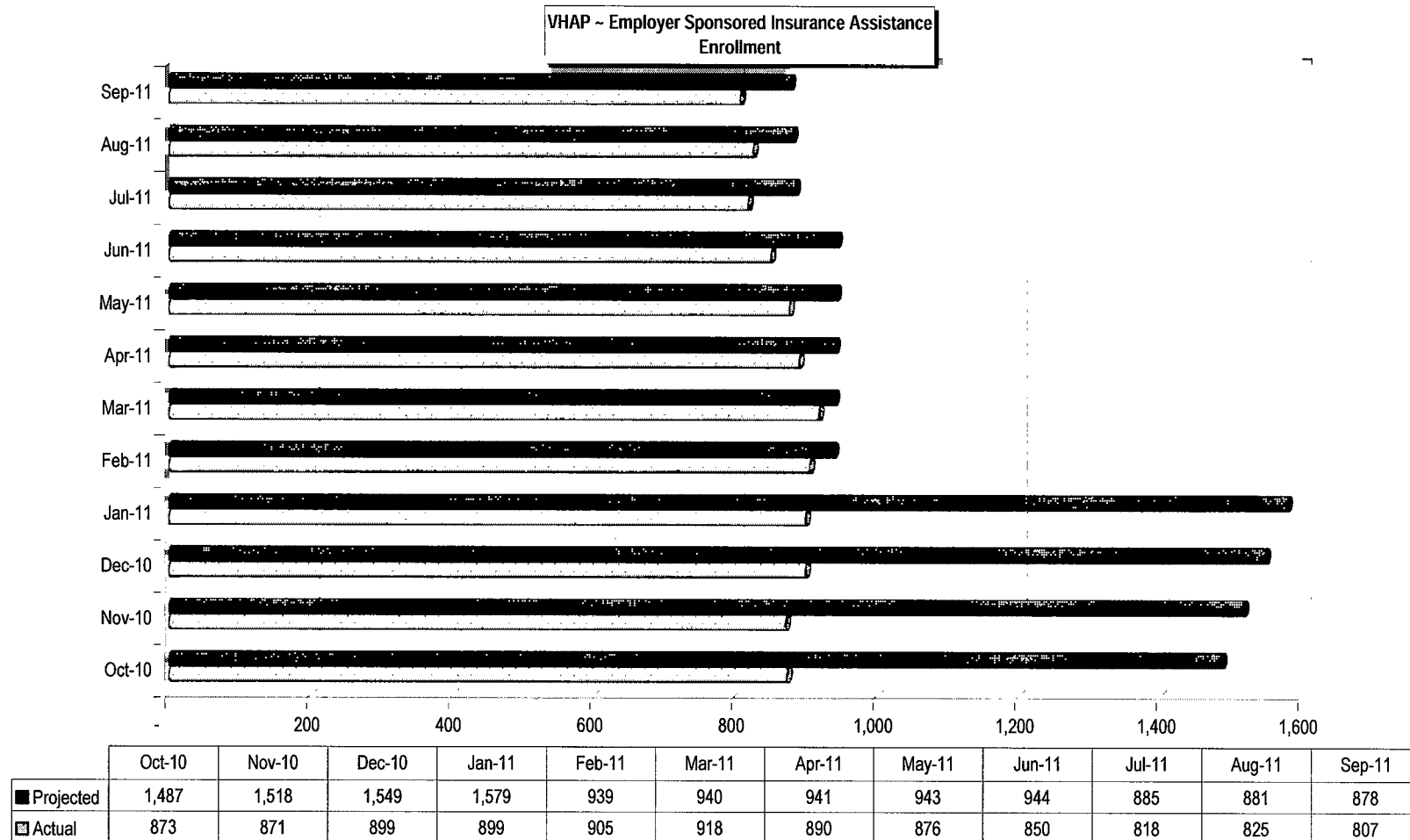
Data on the range and types of ESI plans has not been included in this report, but will be included as soon as the data is available.

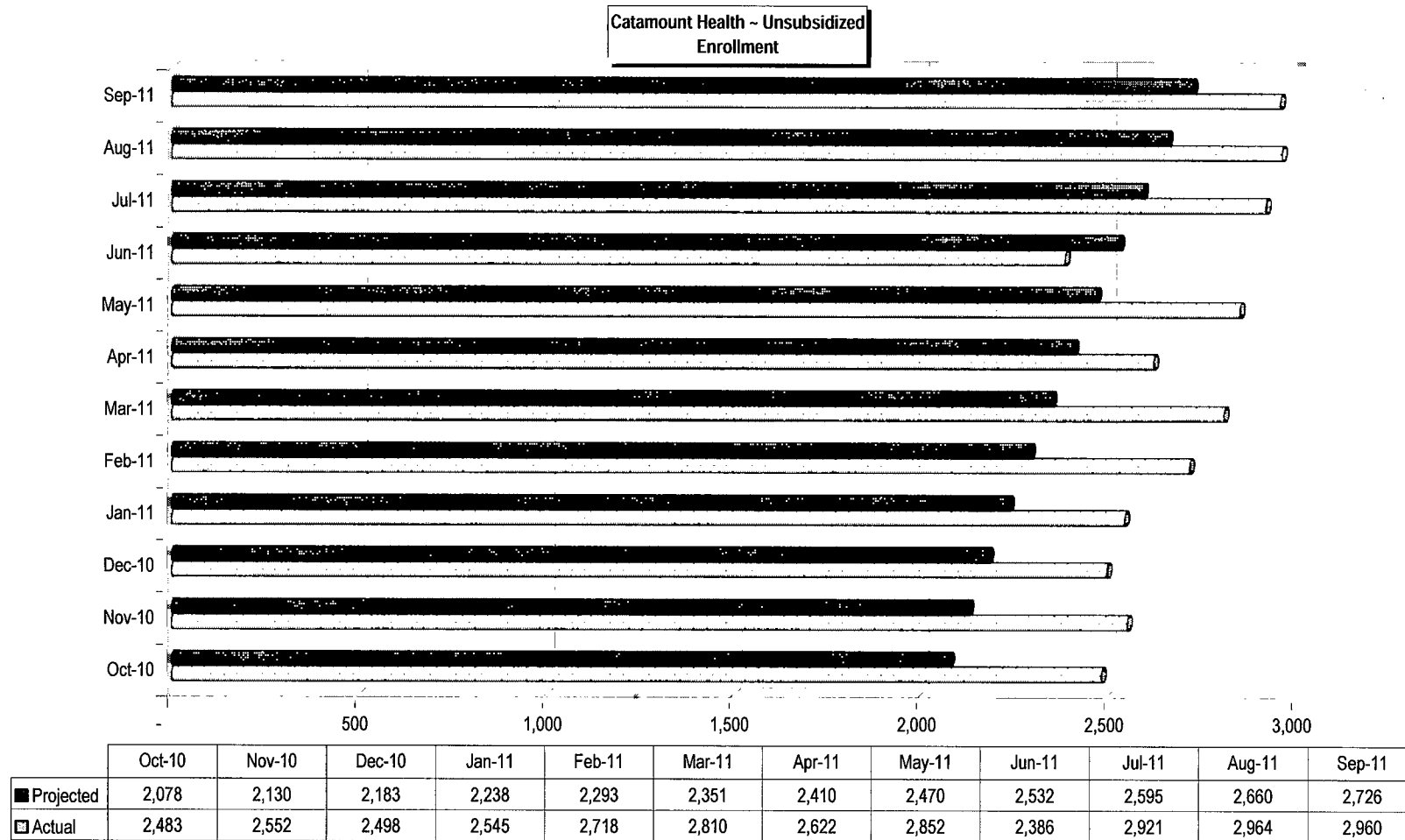
Green Mountain Care Enrollment Report					
SEPTEMBER 2011 Demographics					
Income	VHAP-ESIA*	ESIA*	CHAP*	TOTAL	
0-50%	32	3	524	559	
50-75%	29	2	95	126	
75-100%	76	-	114	190	
100-150%	389	15	337	741	
150-185%	275	211	3757	4,243	
185-200%	3	259	2563	2,825	
200-225%*	2	124	1432	1,558	
225-250%	0	97	1005	1,102	
250-275%	1	41	520	562	
275-300%	-	3	195	198	
<b>Total</b>	<b>807</b>	<b>755</b>	<b>10,542</b>	<b>12,104</b>	
Age	VHAP-ESIA	ESIA	CHAP	TOTAL	
18-24	29	61	1,876	1,966	
25-35	262	194	2,016	2,472	
36-45	288	227	1,629	2,144	
46-55	190	194	2,348	2,732	
56-64	37	78	2,666	2,781	
65+	1	1	7	9	
<b>Total</b>	<b>807</b>	<b>755</b>	<b>10,542</b>	<b>12,104</b>	

Green Mountain Care Enrollment Report (continued)				
SEPTEMBER 2011 Demographics				
Gender	VHAP-ESIA	ESIA	CHAP	TOTAL
Male	278	274	4586	
Female	529	481	5956	
Total	807	755	10,542	12,104
County	VHAP-ESIA	ESIA	CHAP	TOTAL
Addison	46	40	614	700
Bennington	77	74	636	787
Caledonia	26	21	664	711
Chittenden	189	181	1971	2,341
Essex	4	4	144	152
Franklin	70	51	688	809
Grand Isle	13	6	112	131
Lamoille	48	64	523	635
Orange	40	35	543	618
Orleans	33	45	597	675
Other	1	-	7	8
Rutland	95	76	1109	1,280
Washington	66	65	994	1,125
Windham	39	41	911	991
Windsor	60	52	1029	1,141
Total	807	755	10,542	12,104











Department of Vermont Health Access  
SFY 12 Catamount Health Actual Revenue and Expense Tracking  
Wednesday, November 16, 2011

0.4127				Consensus Estimates for SFY to Date			Actuals thru 10/31/11			
SFY '12 Appropriation										
	<=200%	>200%	Total	<=200%	>200%	Total	<=200%	>200%	Total	% of SFY to-Date
<b>TOTAL PROGRAM EXPENDITURES</b>										
Catamount Health	37,583,124	14,894,418	52,477,542	11,907,473	4,719,382	16,626,856	11,466,734	5,645,798	17,112,532	102.92%
Catamount Eligible Employer-Sponsored Insurance	1,549,861	1,093,183	2,643,044	508,032	358,337	866,369	364,364	167,436	531,800	61.38%
Subtotal Program Spending	39,132,985	15,987,601	55,120,586	12,415,505	5,077,719	17,493,224	11,831,099	5,813,234	17,644,332	100.86%
DVHA Administration	1,296,449	530,244	1,826,693	432,150	176,748	608,898	432,150	176,748	608,898	100.00%
DCF Administration	874,743	357,767	1,232,510	291,581	119,256	410,837	291,581	119,256	410,837	100.00%
Subtotal Administration Spending	2,171,192	888,011	3,059,203	723,731	296,004	1,019,734	723,731	296,004	1,019,734	100.00%
<b>TOTAL GROSS PROGRAM SPENDING</b>	<b>41,304,177</b>	<b>16,875,612</b>	<b>58,179,789</b>	<b>13,139,236</b>	<b>5,373,723</b>	<b>18,512,959</b>	<b>15,439,310</b>	<b>7,533,409</b>	<b>22,972,718</b>	<b>124.09%</b>
<b>TOTAL STATE PROGRAM SPENDING</b>	<b>17,406,765</b>	<b>7,111,866</b>	<b>24,518,631</b>	<b>5,466,642</b>	<b>2,235,763</b>	<b>7,702,405</b>	<b>5,219,283</b>	<b>2,521,282</b>	<b>7,740,565</b>	<b>100.50%</b>
<b>TOTAL OTHER EXPENDITURES</b>										
Immunizations Program	2,500,000	-	2,500,000	833,333	-	833,333	833,333	-	833,333	100.00%
VT Dept. of Labor	-	401,993	401,993	-	133,998	133,998	-	133,998	133,998	100.00%
Marketing and Outreach	500,000	-	500,000	166,667	-	166,667	166,667	-	166,667	100.00%
Blueprint	1,846,713	-	1,846,713	615,571	-	615,571	615,571	-	615,571	100.00%
TOTAL OTHER SPENDING	4,846,713	401,993	5,248,706	1,615,571	133,998	1,749,569	1,615,571	133,998	1,749,569	100.00%
<b>TOTAL STATE OTHER SPENDING</b>	<b>2,042,405</b>	<b>401,993</b>	<b>2,444,398</b>	<b>680,802</b>	<b>133,998</b>	<b>814,799</b>	<b>671,633</b>	<b>133,998</b>	<b>805,631</b>	<b>98.87%</b>
<b>TOTAL ALL STATE SPENDING</b>	<b>19,449,170</b>	<b>7,513,859</b>	<b>26,963,029</b>	<b>6,147,443</b>	<b>2,569,761</b>	<b>8,717,204</b>	<b>5,890,943</b>	<b>2,655,280</b>	<b>8,546,223</b>	<b>100.34%</b>
<b>TOTAL REVENUES</b>										
Catamount Health Premiums	5,118,571	4,933,526	10,052,097	1,676,705	1,616,089	3,292,794	1,721,715	1,667,950	3,389,665	102.94%
Catamount Eligible Employer-Sponsored Insurance Premiums	356,157	441,156	797,314	116,746	143,337	260,083	1,456,478	1,435,523	2,892,000	1111.95%
Subtotal Premiums	5,474,728	5,374,682	10,849,411	1,793,450	1,759,427	3,552,877	3,178,193	3,103,473	6,281,665	176.81%
Federal Share of Premiums	(3,167,512)	(3,109,618)	(6,277,130)	(1,047,833)	(1,027,954)	(2,075,787)	(1,845,883)	(1,802,273)	(3,648,156)	175.75%
<b>TOTAL STATE PREMIUM SHARE</b>	<b>2,307,216</b>	<b>2,265,064</b>	<b>4,572,280</b>	<b>745,618</b>	<b>731,473</b>	<b>1,477,091</b>	<b>1,332,310</b>	<b>1,301,200</b>	<b>2,633,509</b>	<b>178.29%</b>
Cigarette Tax & Floor Stock			10,648,500			3,549,500			4,472,107	125.99%
Employer Assessment			9,800,000			2,450,000			2,892,000	118.04%
Interest									755	0.00%
Shared Savings by > 300%			1,277,100			348,300			257,671	73.98%
<b>TOTAL OTHER REVENUE</b>			<b>21,725,600</b>			<b>6,347,800</b>			<b>7,364,861</b>	<b>116.02%</b>
<b>TOTAL STATE REVENUE</b>			<b>26,297,880</b>			<b>7,824,891</b>			<b>9,998,370</b>	<b>127.78%</b>
State-Only Balance			(665,149)			(692,313)			1,452,175	
Carryforward										
			(665,149)			(692,313)			1,452,175	
General Fund BAA to GC on Behalf of Catamount			2,612,336			870,779			870,779	100.00%
<b>ALL FUNDS THAT SUPPORT CATAMOUNT (DEFICIT)/SURPLUS</b>			<b>1,947,187</b>			<b>178,465</b>			<b>2,322,953</b>	

## Green Mountain Care Enrollment Report OCTOBER 2011

### TOTAL ENROLLMENT BY MONTH

	Jul-07	Nov-07	Jul-08	Sept 10	Oct 10	Nov 10	Dec 10	Jan 11	Feb 11	Mar 11	Apr 11	May 11	June 11	July 11	Aug 11	Sept 11	Oct 11
<b>Adults:</b>																	
VHAP-ESIA	-	35	672	906	873	871	899	899	905	918	890	876	850	818	825	807	823
ESIA	-	21	336	729	768	760	764	783	785	801	801	804	782	782	759	755	751
CHAP	-	320	4,608	10,087	9,891	9,898	9,898	9,820	9,967	10,200	10,375	10,477	10,434	10,461	10,669	10,542	10,647
Catamount Health	-	120	697	2,491	2,483	2,552	2,498	2,545	2,718	2,810	2,622	2,852	2,386	2,921	2,964	2,960	2,992
<b>Total</b>	-	<b>496</b>	<b>6,313</b>	<b>14,213</b>	<b>14,015</b>	<b>14,081</b>	<b>14,059</b>	<b>14,047</b>	<b>14,375</b>	<b>14,729</b>	<b>14,688</b>	<b>15,009</b>	<b>14,452</b>	<b>14,982</b>	<b>15,217</b>	<b>15,064</b>	<b>15,213</b>
<b>Children:</b>																	
VHAP	23,725	24,849	26,441	35,852	36,019	35,730	36,669	37,093	37,194	37,820	37,383	36,988	37,412	36,569	35,953	36,886	36,465
Other Medicaid	69,764	69,969	70,947	38,663	39,913	39,777	39,414	40,384	40,462	40,799	40,794	40,094	39,962	39,897	39,773	40,530	38,935
<b>Children:</b>																	
Dr Dynasaur	19,738	19,733	19,960	19,891	20,051	20,141	21,120	21,113	21,080	21,064	21,171	20,821	20,027	20,077	20,029	22,069	20,284
SCHIP	3,097	3,428	3,396	3,508	3,613	3,587	3,539	3,499	3,657	3,605	3,622	3,612	3,721	3,789	3,790	3,843	3,924
Other Medicaid*	Included	Included	Included	39,142	39,349	38,942	38,265	38,355	38,460	38,675	38,523	37,666	38,103	37,948	37,841	38,394	37,556
<b>Total</b>	<b>116,324</b>	<b>117,979</b>	<b>120,744</b>	<b>137,056</b>	<b>138,945</b>	<b>138,177</b>	<b>139,007</b>	<b>140,444</b>	<b>140,853</b>	<b>141,963</b>	<b>141,493</b>	<b>139,181</b>	<b>139,225</b>	<b>138,280</b>	<b>137,386</b>	<b>141,722</b>	<b>137,164</b>
<b>TOTAL ALL</b>	<b>116,324</b>	<b>118,355</b>	<b>127,057</b>	<b>151,269</b>	<b>152,960</b>	<b>152,258</b>	<b>153,066</b>	<b>154,491</b>	<b>155,228</b>	<b>156,692</b>	<b>156,181</b>	<b>154,190</b>	<b>153,677</b>	<b>153,262</b>	<b>152,603</b>	<b>156,786</b>	<b>152,377</b>

**KEY:**

\* Prior to November 2008, the numbers for Other Medicaid included both children and adults enrolled in this eligibility category

VHAP-ESIA = Eligible for VHAP and enrolled in ESI with premium assistance

ESIA = Between 150% and 300% and enrolled in ESI with premium assistance

CHAP = Between 150% and 300% and enrolled in Catamount Health with premium assistance

Catamount Health = Over 300% and enrolled in Catamount Health with no premium assistance

VHAP = Enrolled in VHAP with no ESI that is cost-effective and/or approvable

Dr. Dynasaur = Enrolled in Dr. Dynasaur

SCHIP = Enrolled in SCHIP

Totals do not include programs such as Pharmacy, Choices for Care, Medicare Buy-in

Data on the range and types of ESI plans has not been included in this report, but will be included as soon as the data is available.

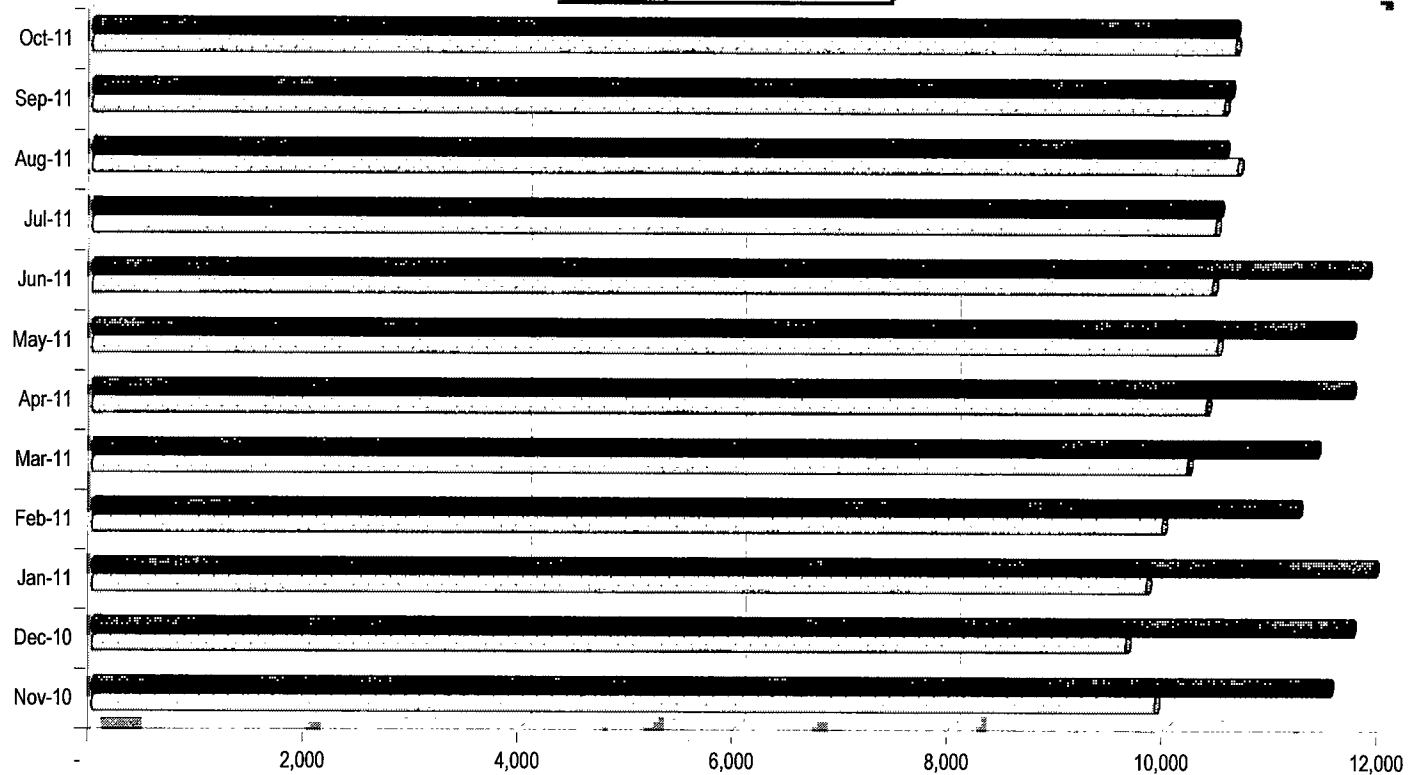
Green Mountain Care Enrollment Report				
OCTOBER 2011 Demographics				
Income	VHAP-ESIA*	ESIA*	CHAP*	TOTAL
0-50%	24	4	533	561
50-75%	29	1	95	125
75-100%	80	-	122	202
100-150%	403	15	326	744
150-185%	278	212	3767	4,257
185-200%	4	250	2613	2,867
200-225%	3	119	1459	1,581
225-250%	2	103	1030	1,135
250-275%	-	41	540	581
275-300%	-	6	162	168
<b>Total</b>	<b>823</b>	<b>751</b>	<b>10,647</b>	<b>12,221</b>

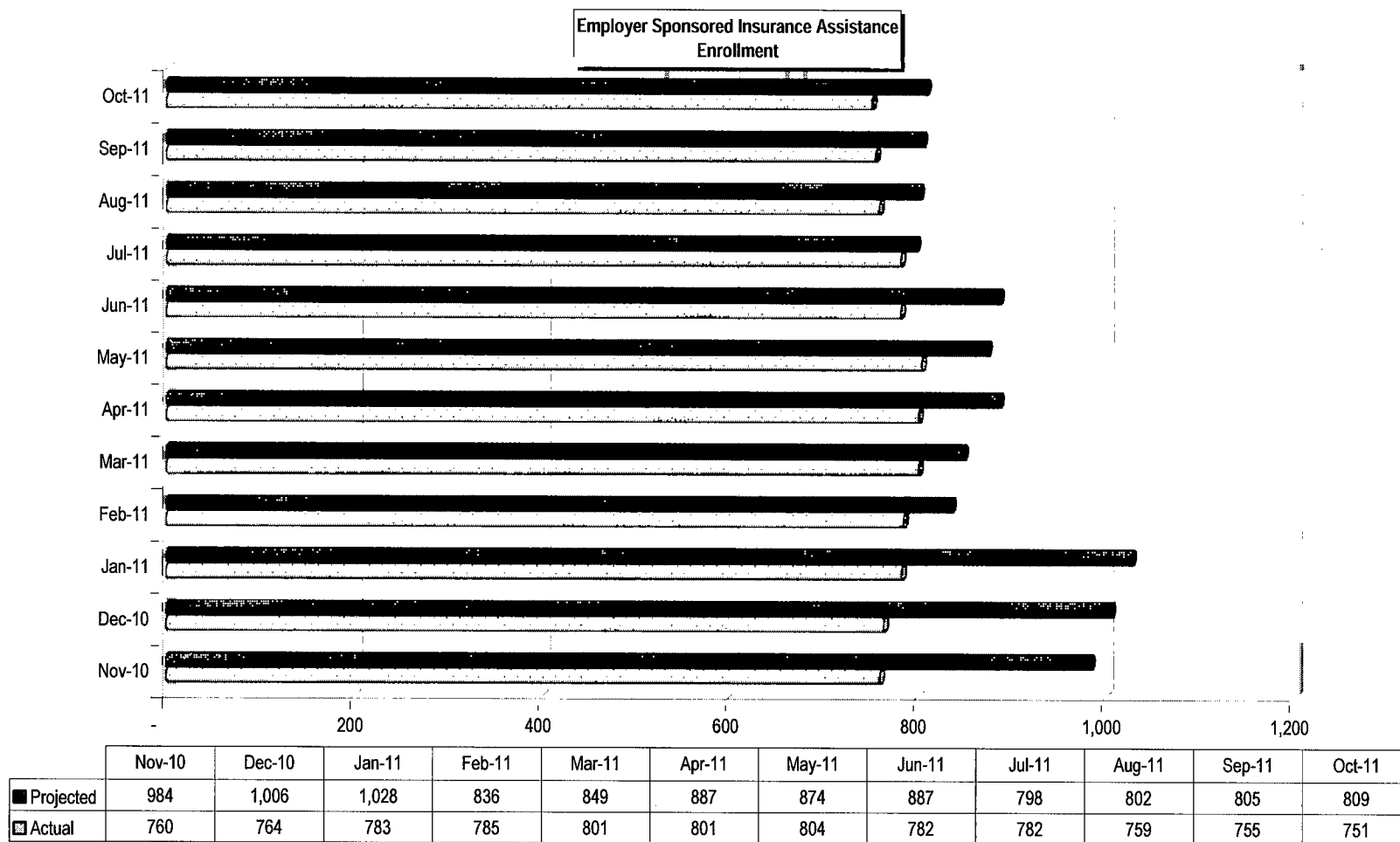
Age	VHAP-ESIA	ESIA	CHAP	TOTAL
18-24	29	56	1,892	1,977
25-35	269	190	2,045	2,504
36-45	293	234	1,631	2,158
46-55	193	192	2,380	2,765
56-64	38	78	2,698	2,814
65+	1	1	1	3
<b>Total</b>	<b>823</b>	<b>751</b>	<b>10,647</b>	<b>12,221</b>

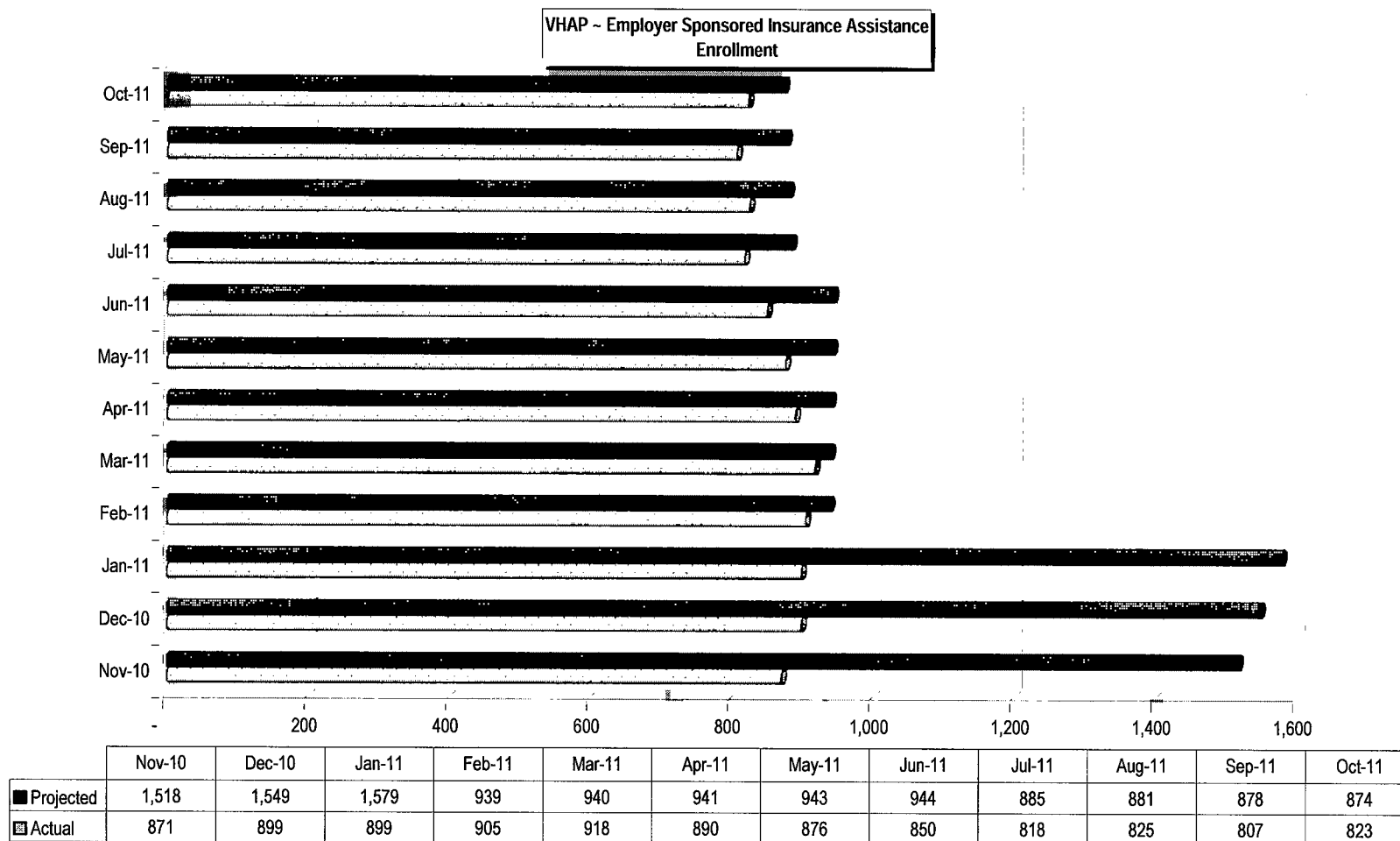
Green Mountain Care Enrollment Report (continued)				
OCTOBER 2011 Demographics				
Gender	VHAP-ESIA	ESIA	CHAP	TOTAL
Male	289	267	4641	
Female	534	484	6006	
Total	823	751	10,647	12,221
County	VHAP-ESIA	ESIA	CHAP	TOTAL
Addison	48	33	632	713
Bennington	80	75	647	802
Caledonia	25	19	673	717
Chittenden	195	174	1982	2,351
Essex	9	3	145	157
Franklin	78	50	690	818
Grand Isle	13	7	112	132
Lamoille	46	68	526	640
Orange	43	36	540	619
Orleans	37	44	625	706
Other	-	-	3	3
Rutland	92	72	1121	1,285
Washington	61	71	1007	1,139
Windham	40	39	896	975
Windsor	56	60	1048	1,164
Total	823	751	10,647	12,221

**Catamount Health Assistance Program  
Enrollment**

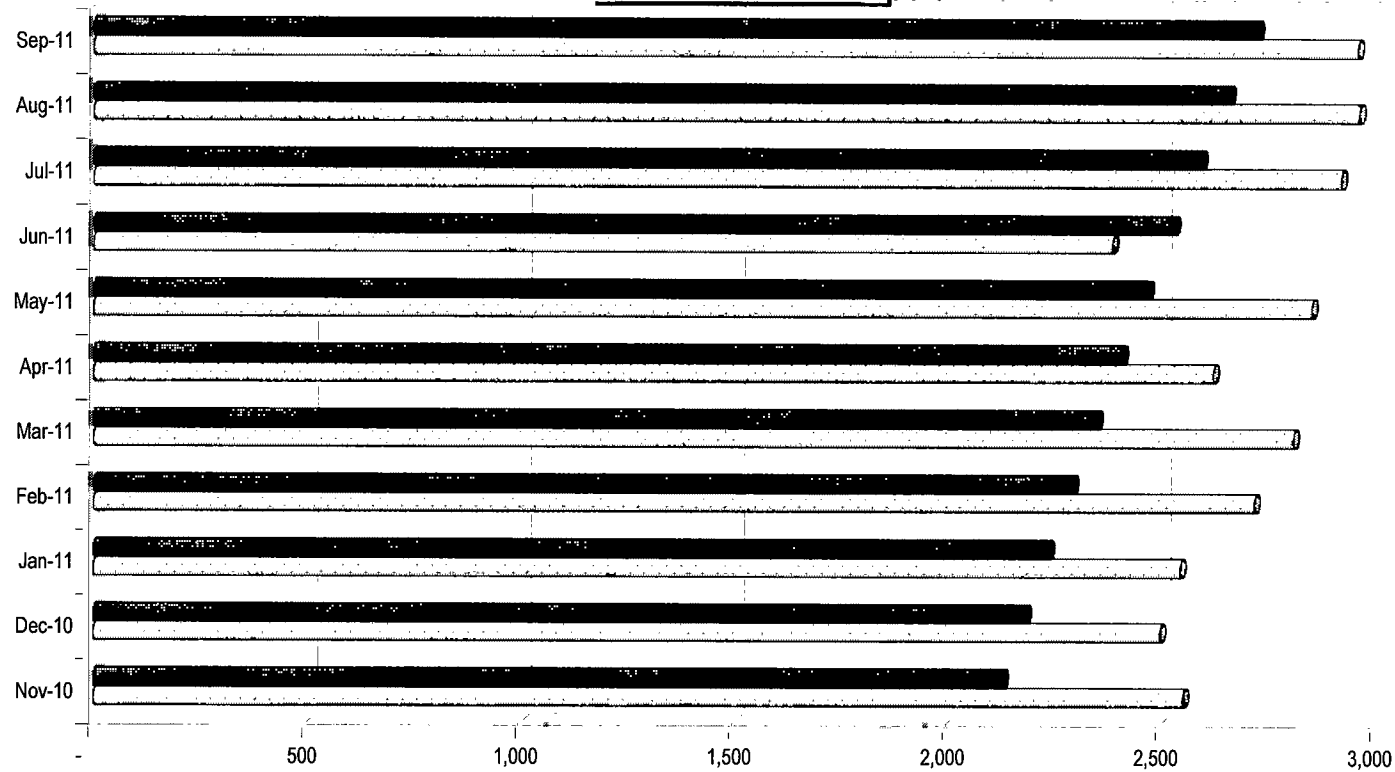


	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11
■ Projected	11,510	11,722	11,932	11,224	11,389	11,720	11,720	11,866	10,490	10,541	10,591	10,640
□ Actual	9,898	9,630	9,820	9,967	10,200	10,375	10,477	10,434	10,461	10,669	10,542	10,647





**Catamount Health ~ Unsubsidized  
Enrollment**



	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11
■ Projected	2,130	2,183	2,238	2,293	2,351	2,410	2,470	2,532	2,595	2,660	2,726	2,794
▨ Actual	2,552	2,498	2,545	2,718	2,810	2,622	2,852	2,386	2,921	2,964	2,960	2992