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STATE OF VERMONT
LEGISLATIVE JOINT FISCAL COMMITTEE

Agenda

Wednesday, November 12, 2014

Room 10, State House

- 9:30 a.m. A. Call to order and approve minutes of August 11-13, 2014 **[APPROVED]** and September 5, 2014 **[APPROVED]**
- 9:35 a.m. B. Administration's Updates
1. Taxation & Regulation of Marijuana Report Update
[Sec. 8a of Act 155 of 2014]
Jeb Spaulding, Secretary, Agency of Administration, and
Beau Kilmer, Ph.D., Co-Director, RAND Drug Policy Research Center, and
Senior Policy Researcher, RAND Corporation
 - 10:05 a.m. 2. FY 2015 Efficiency and Enhancement Savings
[Sec. B.1103 of Act 179 of 2014]
James Reardon, Commissioner, Department of Finance & Management
 - 10:30 a.m. 3. PILOT Positions Report on Employee Impacts
[Sec. E.100(d)(6) of Act 179 of 2014]
Maribeth Spellman, Commissioner, Dept. of Human Resources
 - 10:50 a.m. 4. Vermont Veteran's Home Funding Review [Sec. E.100.2 of Act 179 of 2014]
Secretary Spaulding and Commissioner Reardon
 - 11:15 a.m. 5. LIHEAP Update
Richard Moffi, Fuel, Utility Program Dir., Dept. for Children and Families
- 11:45 p.m. Lunch Break and Farewell to Representative Heath
- 12:45 p.m. C. Administration's Fiscal Updates – Secretary Spaulding and Commissioner Reardon
1. Budget and Revenue Update
 2. VT Campaign Finance Grants [17 V.S.A. § 2985(a)(2)] [Doc]
 3. Genetically Modified Organisms (GMO) Defense Fund [Doc]
 4. Report on FY2015 Budget Adjustment Pressures [Doc]
 5. Report on FY 2016 Budget Dev. Process and Projected Budget Gap [Doc]
- 1:20 p.m. E. VT Strong Scholars Initiative – Org. and Economic Details Report
[Sec. 48 of Act 199 of 2014] [Doc]
Lucy Leriche, Deputy Secretary, Agency of Commerce & Community Dev.
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1:40 p.m. F. Grants:

JFO#2716 - Donation of drainage improvements, land, a conservation easement, and right-of-way access (estimated value: \$425,000) from New England Waste Services of Vermont (NEWSVT) to the Agency of Transportation for the Newport State Airport. [Doc] **[APPROVED]**
Chris Cole, PPAID – Trans. Planning Director, and
Guy Rouelle, Aviation Program Manager, Agency of Transportation

2:15 p.m. G. Fiscal Office Updates

1. Basic Needs Budget – Dan Dickerson, Fiscal Analyst, Nolan Langweil, Senior Fiscal Analyst, and Sara Teachout, Senior Fiscal Analyst
Proposals to Change Methodology [Doc] **[APPROVED]**
2. Fiscal Officer's Report - Stephen Klein, Chief Fiscal Officer [Doc]
3. Medicaid Pressures – Stephanie Barrett, Associate Fiscal Officer
4. Education Fund Outlook Update – Mark Perrault, Senior Fiscal Analyst

2:45 p.m. H. FY2015 State Budget Rescission Process Discussion

3:00 p.m. Adjourn

Other Report/Submissions

General Government

- I. Annual report on allocation of funds contained in annual pay acts [3 V.S.A. § 2281(4)]
[Department of Finance & Management] [received]
- II. Small Grants Quarterly Report [32 V.S.A. § 5(a)(3)] [Joint Fiscal Office] [received quarter 1]
- III. Quarterly report on excess receipts and additional memo response from JFO. [32 V.S.A. § 511 as amended by Sec. 60 of Act 142 of 2014] [Administration] [received quarter. 1]
- IV. Special funds balance and list of funds created. [32 V.S.A. § 588(6)] [received]
- V. Tax Computer System Modernization Fund Receipts [Sec. 282(e) of Act 65 of 2007 as amended by Sec. C.103 of Act 63 of 2011 as amended by Sec. 62 of Act 95 of 2014] [Tax]
[received]
- VI. Position Pilot Program [Sec. E.100(d)(4) of Act 179 of 2014] [received]

Protection

Quarterly report of costs and expenditures for proceedings of the Federal Energy Regulatory Commission [30 V.S.A. § 20(b)(9)] [Dept. and Board — Public Service] [received quarter 1]

Human Services

- I. Substance abuse treatment services objective and performance measures [Sec. E.306.2 of Act 179 of 2014] [Dept. of Health] [received]

- II. Vermont Tobacco Evaluation and Review Board [18 V.S.A. § 9505(9)] [VTER Board]
[received]
- III. Mental Health monthly report [2 documents - September and October 2014] [Dept. of
Mental Health] [received]

Joint Transportation Oversight Committee

- I. Project Status Report [19 V.S.A. § 12b(d)(1)] [received]
- II. Contract Bid Report [19 V.S.A. § 12b(d)(1)] [received]



STATE OF VERMONT
LEGISLATIVE JOINT FISCAL COMMITTEE

Wednesday, November 12, 2014

Minutes

Members present: Representatives Ancel, Branagan, Heath, Johnson, and Sharpe, and Senators Ashe, 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, Representative Heath, called the meeting to order at 9:36 a.m. Senator Kitchel moved to accept the minutes of both August 11-13, 2014 and September 5, 2014, and the Committee approved the motion.

B. Administration's Updates 1. Taxation and Regulation of Marijuana Report Update

Jeb Spaulding, Secretary, Agency of Administration, and Beau Kilmer, Ph. D, co-Director, RAND Drug Policy Research Center, gave an update on the report. Secretary Spaulding reviewed the statutory charge for the report and the subsequent written request by Senator White to expand the report to other areas, including possible affects to the health and safety of Vermonters from the legalization of marijuana. Because of the expansive request and the limited resources available, the Administration contracted with RAND Corporation to assist with the research and writing of the report from a nonbiased perspective. Funding for the report included \$100,000 raised by the RAND Corporation and \$20,000 from the State. A series of public hearings were scheduled to be held starting on November 12, 2014. through Vermont Interactive Technologies (VIT), to receive input and suggestions from throughout the State. Secretary Spaulding commented that the information collected by RAND should be helpful to other states discussing this issue.

Mr. Kilmer gave background on the RAND Corporation stating that it was a nonprofit, nonpartisan research organization. RAND has a research staff of about 1,200 from 30 countries working on a variety of policy issues. Mr. Kilmer explained that recent examples of places that RAND had researched the use of marijuana and associated policy were for the White House, the State of Washington, the Netherlands Ministry of Securities and Justice, and the Country of Uruguay.

Mr. Kilmer explained that the main areas researched for the report included the overall landscape of marijuana use in Vermont and how much had been spent on enforcement and regulation. Other areas that the report would focus on included health and safety issues surrounding the legalization of marijuana, the design of the model of how marijuana would be produced and sold, including possible options such as co-ops or home production, different scenarios of how marijuana would be taxed, regulation or advertising of products, and projections of State tax

revenues if the drug were legalized. Mr. Kilmer explained that RAND would vet the draft report through its in-house rigorous peer review process before delivering the report to the State in mid-January, 2015.

Mr. Kilmer explained the various state and international policies on the regulation and production of marijuana and how they had affected those market areas. He reminded the Committee that marijuana was still illegal on the federal level but the Department of Justice released a memo in August of 2013 that indicated the federal government would not block the implementation of legalization of marijuana in individual states such as Washington and Colorado as long as they had strong regulation and enforcement policies in place.

Mr. Kilmer suggested that there were nine factors relating to public health and safety that would shape the discussion regarding whether marijuana should be legalized. These discussion factors are the “Nine Ps” and include Production, Profit motive, Promotion, Prevention, Penalties (depending upon the state, 20-25% of the market includes people below the age of 21), Potency (the possible regulation of Tetrahydrocannabinol (THC) and Cannabidiol (CBD)), Purity (regulation of molds, pesticides, or flavors), Price (price sensitivity and tax impact), and Permanency (new regulation could begin as a pilot or have a sunset).

Senator Sears asked how the price affected the black market and how much states set aside for enforcement. Mr. Kilmer responded that by increasing production there would be a downward pressure on prices, which could have the effect of choking out the black market. Senator Sears suggested that if Vermont were to legalize marijuana, it should have information on the costs associated with the enforcement and regulation.

Senator Ashe asked if the report factored in cultural issues such as advertising of the product. Mr. Kilmer responded that those types of decisions would be part of the design of the model adopted for regulation. Secretary Spaulding suggested that the advertising of marijuana could follow the model currently in place for the sale of alcohol. Senator Ashe inquired whether RAND had enough information to assess the current level of production of marijuana in Vermont to get a current picture of the landscape. Mr. Kilmer stated that his team had some insights into Vermont’s production through the State’s law enforcement and the drug task force, along with other sources, but that the information was incomplete and not accurate enough to give a true estimate.

Representative Sharpe noted that people in Colorado were accessing medical marijuana for personal use through medical cards rather than going through the over-the-counter venue. Mr. Kilmer responded that Colorado overestimated the amount of people that would sign up or remain on the medical marijuana program because of the privacy issues involved, but many people chose to apply or keep their medical cards to avoid double taxes on the products. Senator Kitchel suggested that the assumptions and projections within the data should include treatment as a cost to the state. She also asked whether the report would have a review of the expenditures associated with legalization in addition to the projected revenue. Mr. Kilmer stated that there would be reviews of projected costs associated with legalization that included some large up-front costs, but the costs would be difficult to determine.

2. FY2015 Efficiency and Enhancement Savings

James Reardon, Commissioner, Department of Finance & Management, identified areas of reductions within the Executive Branch to achieve \$1.5 million in savings mandated in Act 179 of 2014. Areas of possible reduction included efforts to reduce the amount of landline telephones within some departments, to reduce state employee overtime, to find vacancy savings, and to review in-state and out-of-state travel expenses for savings. Commissioner Reardon noted that some agencies and departments had used the savings from reducing landlines in the August 2014 rescission exercise. Agencies and departments would be sent a savings target along with suggested areas for savings that would accompany the FY2016 budget instructions.

Representative Branagan asked if the Administration had considered a reduction in personal services and a corresponding reduction in employee workload. Commissioner Reardon agreed that if a department found savings in personal services, that it then should have good tools to perform its duties more efficiently or to eliminate work. Representative Sharpe mentioned an initiative from the Department of Environmental Conservation that created savings from a single streamlined permitting process. He then asked if there were other areas in State government for that type of concept. Commissioner Reardon responded that he needed time to vet the suggestion with the Chief Performance Officer, but he was aware of the initiative's potential for success.

3. PILOT Positions Report on Employee Impacts

Maribeth Spellman, Commissioner, Department of Human Resources, distributed a report and some data summarizing the positions, and gave an overview of information. Three of the four agencies and departments given authority to use the PILOT positions initiative had requested positions; these included the Agency of Transportation (AOT), the Department of Environmental Conservation (DEC), and the Department for Children and Families (DCF). DCF had the largest request for PILOT positions due to its high case load for caseworkers. Currently, DCF caseworkers have an average of 21 cases each, whereas the national norm was 12, and with the new positions, that number would reduce to about 16 per caseworker.

Commissioner Spellman explained that AOT requested 24 positions, and by doing so, had determined it could reduce its use of consultants and save over \$1 million. The DEC had requested 17 positions, with 9 converted from temporary positions. By the creation of the new full-time positions, DEC was able to access additional federal funds of \$300k. It was anticipated that the Department of Buildings and General Services (BGS) would also request PILOT positions. Senator Ashe asked for clarification on the benefits of transferring part-time positions to full-time status. Commissioner Spellman explained that there was a value in transitioning employees from temporary to full-time, who were already trained, rather than training new people year-after-year. She gave another example of hiring a consultant that could receive overtime rather than a full-time employee that only received time to be used later (comp time) to complete work tasks.

Representative Heath explained that the concept of the PILOT positions was for a small group of agencies and departments to be allowed to request enough full-time employees instead of temporary staff to accomplish its workload, but in keeping with its existing budget. Those agencies and departments were required to show the Legislature how the new positions were to be funded and what the impacts were to other areas of its budget where funds were transferred. Representative Heath asked how the PILOT agencies and departments were planning on showing the Legislature what the financial implications were for adding the new positions. Senator Ashe commented that

there was a third option and that was for agencies and departments to maximize its current full-time staff time to accomplish more work instead of adding additional staff. Senator Kitchel added that agencies and departments could reduce costs by taking on fewer projects. She then commented that there should be flexibility in how agencies and departments respond to the variables that arise during tight fiscal times.

Representative Ancel asked what would happen if there were no longer a need for the extra classified positions, and if there was flexibility in addressing the reduction in positions during fiscal downturns. Commissioner Spellman responded that the only recourse for reducing classified positions was either to use the reduction in force (RIF) mechanism or for a voluntary reassignment to another position. Representative Heath stated she agreed with both Representative Ancel and Senator Kitchel that there should be flexibility with those positions created through the pilot.

4. Vermont Veterans' Home Funding Review

Secretary Spaulding and Commissioner Reardon, reviewed the Vermont Veterans' Home funding status, and Secretary Spaulding explained the report would be officially presented on November 17, 2014. The Administration has been working with the Veterans' Home to find ways to reduce its dependency on the State for funding. Areas for consideration included adjusting staff levels to be more consistent with the Home's census; diversification of the use of the Home's building for additional revenue; and a review of the effectiveness of the Home's marketing plan. The Secretary explained that other sources of revenue were being considered for the Home, such as a small fee on break open tickets or the creation of a special dedicated lottery.

Senator Ashe asked for the average age of residents in the Home. Commissioner Reardon responded that residents were typically admitted at a younger age than general nursing homes. Most people prefer to be at home, which is positive and use places such as the Veterans' Home as an end-of-life facility which results in a higher rate of deaths and causes a constant fluctuation in the census rate. Senator Ashe inquired what was the amount of residents who were independent as opposed to requiring skilled nursing. Commissioner Reardon responded there were ten plus people in the Domiciliary not requiring skilled nursing. Senator Ashe suggested increasing the range of people that would qualify to live at the facility to increase the census. Senator Sears suggested the Home build a stronger relationship and recruit more Veterans through relocating the Veterans' clinic back within its facility.

Representative Sharpe asked if there was still a possibility for a partnership with the State of Massachusetts Veterans' Hospital to share its overflow residents with Vermont. Commissioner Reardon responded that Massachusetts declined to pay for residents outside its state. He stated that one opportunity was for recruiting Veterans' from New York since Vermont was eligible to receive Medicaid for caring for residents of that state. He also suggested reducing the Home's census from 171 to 130 and then converting some of its semi-private rooms to private to increase revenue. Senator Kitchel asked for the current staffing ratio of the Home. Commissioner Reardon stated the current staff ratio was for 150 residents but the census had been on average at 130.

Senator Sears asked for confirmation that there were fewer incidences of staff calling in sick than in the past. The Commissioner confirmed that was correct but added the incidences were still too high. He commented that additional temporary staff would allow the facility to have more flexibility and enable the facility to run more efficiently.

5. – Low Income Heating and Energy Assistance Program (LIHEAP)

Richard Moffi, Fuel, Utility Program Director, Department for Children and Families, gave an update on the LIHEAP program. The current projection for this heating season, 2014/2015 is that there will be 26,000 fuel liability households that will receive an average full season benefit of \$792. This is a level funded benefit from the prior year with a slightly lower caseload. Representative Heath inquired about how the modified benefit methodology from Act 50 of 2013 and the lower fuel market prices that we are experiencing this season will impact the client's purchasing power. Mr. Moffi responded that the lower prices allow the clients benefit to purchase more fuel and that the Department is in the process of surveying dealers that are participating in the new Margin-over-Rack pricing to determine how their prices stacked up to other dealers. He stated that once the survey had been completed, he would forward that information to the Committee. The information would include how the Margin-over-Rack impacted recipient's purchasing power. The Chair requested the information be sent to JFO who would forward it to the Committee.

Representative Sharpe asked if the Department were able to quantify how the efforts of the weatherization program benefitted the recipients of the fuel assistance program. Mr. Moffi explained that a report was due to the Legislature in January 2015 that would address how the two programs work together. Representative Sharpe inquired whether the two divisions had resolved their differences regarding how they managed data, with one tracking people and the other tracking addresses, to determine outcomes for the Department. Mr. Moffi responded that coordinating the two data sets to identify clients with the highest consumption will be possible once the old Legacy computer system is updated. Representative Sharpe asked if the Department issues benefits to clients who use more than one fuel source. Mr. Moffi stated that Department based benefits on the main fuel source that is used to heat the client's house, about 30% of the average recipient's seasonal heating bill.

Senator Ashe asked for clarification on who benefits from lower fuel market prices, the State or the client. Mr. Moffi stated that only the recipients benefit. Senator Ashe then inquired if the State contributed less to the program when fuel prices were lower. Mr. Moffi explained that the lower fuel prices allowed the client to have greater purchasing power but that the State received no financial benefit from the lower cost. Senator Kitchel asked whether a goal of the Department was to achieve a more equitable benefit by creating a direct data link from LIHEAP benefits to actual consumption in the new System. Mr. Moffi responded that the Department would propose a new payment structure for the program in January to the Legislature. Representative Heath commented that it was disappointing that the Department had not connected consumption from the fuel program with payments to fuel dealers.

Michael J. Obuchowski, Commissioner, Department of Buildings and General Services, and former Representative of Rockingham, thanked Representative Heath for her 20 years of service as a State representative, and presented her with a State House flag flown in her honor. The Committee then recessed for lunch at 11:45 a.m.

The Committee reconvened at 12:50 p.m., and Commissioner Reardon and Secretary Spaulding thanked Representative Heath for her service and expressed that they would miss her. Senator Kitchel and other Committee members echoed the Administration's sentiments.

C. Administrations Fiscal Updates - 1. Budget and Revenue Update

Secretary Spaulding and Commissioner Reardon gave a budget and revenue update. Secretary Spaulding explained that the FY2015 General Fund revenues were tracking to be \$12 million short of targets, but consumption taxes continued to be positive. The shortfall was mostly due to a lag in personal income tax that had been falling behind estimates for several months. The Agency was analyzing the data to discover the culprit for the decrease in the revenue. He opined that the Administration had the authority under 32 V.S.A. § 704 to adjust the current fiscal year by less than 1% of the budget without the approval or process of the Legislature (JFC). He explained that the Agency planned to move forward in the next couple of weeks on a rescission plan but would share the plan for comment with whomever the Committee deemed important to the conversation.

Secretary Spaulding explained that there was a sizable gap between revenue and spending in the FY2016 Budget. Representative Branagan asked if the federal change to the Capital Gains tax might have been the culprit in Vermont's reduced personal income tax revenue. Secretary Spaulding stated that the Administration thought the reduced tax revenue was due to the National Gross Domestic Product (GDP) and the job recovery at the national level being less than anticipated. He added that withholding tax underperformed and income tax changes at the federal level caused reduced revenue to the State in April 2014. The Administration opined the revenue shortfall was part of a larger issue of slower revenue growth and job recovery.

Representative Ancel asked for clarification on the rescission statute (32 V.S.A. § 704), and asked the Administration the total dollar amount for the 1% rescission it anticipated. Commissioner Reardon stated the rescission amount was estimated at \$14 million. Senator Kitchel asked when and how the Administration planned to brief the Committee on the rescission plan. Secretary Spaulding stated the Administration was required by the rescission statute to file the proposed plan with the Committee, which would be available to the Committee in a week or two. Representative Ancel asked for JFO to send the rescission statute to the Committee. The Chair stated the Committee would discuss its thoughts at the end of the meeting on how it would like to organize and react to a proposed rescission plan from the Administration.

2. Vermont Campaign Finance Grants

Commissioner Reardon reviewed a memo, sent to the Committee previously by the Secretary of State on the Vermont Campaign Finance Grants, with the Committee. There was a \$150k grant expended to one campaign within the FY2015 budget to Dean Corren for his campaign for Lieutenant Governor. Senator Sears asked that if there were unexpended funds from the grant after the campaign, was the candidate or campaign under obligation to return those unexpended funds to the State. Commissioner Reardon stated he would have to research for an answer. Senator Ashe queried if the statute directed the funds to go to the Campaign or to the candidate. Commissioner Reardon responded he would include that in his research and get back to the Committee.

3. Genetically Modified Organisms (GMOs) Defense Fund

Commissioner Reardon summarized a memo he provided to the Committee that gave an update on the GMO Defense Fund. The State collected, since November 3, 2014, a total of \$333k in donations to the fund. Since the end of October 2014, the Attorney General's Office had spent about \$435K on the GMO litigation.

4. Report on FY 2015 Budget Adjustment Act (BAA) Pressures

Commissioner Reardon distributed a document on the FY2015 BAA pressures and summarized the information. He explained that the Administration's goal was to offset the gap through reducing other areas of the budget. Representative Ancel asked for the amount of Vermont Health Exchange funds that were included in the FY2015 State budget. Commissioner Reardon responded that the estimated operating costs were \$5.5 million for a half year, starting January 2015. Medicaid was showing a net increase in caseload, which could be attributed partly to the new Hepatitis C treatment for correctional inmates, and the new Adult FMAP Rate was receiving enhanced federal funding that could offset the Medicaid caseload increase.

Commissioner Reardon explained that there were recipients of Reach Up out of work due to medical reasons that would be reassessed through the medical review contract but there may be upfront costs associated with those reviews. Senator Kitchel asked JFO for a follow-up to Act 179 of 2014 language on the Reach Up medical review contract. The Commissioner stated that the Veterans' Home budget gap could be as much as \$1 million which was primarily due to low census. There were some multi-agency and department fit-up costs associated with disabled State employee moves to new locations (St. Albans, White River Junction, and Montpelier). The State employees' health benefit plan increases in its new contract could add \$3.5 million to the State budget gap.

5. Report on FY 2016 Budget Development Process and Projected Budget Gap

Commissioner Reardon explained that the Department sent budget instructions out to agencies and departments in September. Within those instructions, agencies and departments were to produce two budgets, a level-funded budget and a budget with a 5% reduction in the current service level. Most agencies and departments responded by October 11 and then met with the Commissioner and his fiscal team. Next week the Department would begin to access the information from the proposed individual's budgets from those subsequent meetings and then create a list of possible budget reduction areas to close the estimated \$100 million State budget gap.

Commissioner Reardon distributed a document summarizing the projected FY2016 budget gap. He suggested that information technology should have a base budget for all of State government to make it more sustainable and for better fiscal predictability. Representative Branagan asked for the timing of when the Department and JFO would analyze the shrinking personal income tax revenue. Stephen Klein, Chief Fiscal Officer, Legislative Joint Fiscal Office, responded that both the Legislature's and the Administration's economists were working together to analyze the data and would share preliminary information to the Committee when done. Representative Branagan suggested that the federal change in the Capital Gains tax may be the issue for the personal income tax decline. She then asked if the budget gap could be higher in January if the current estimates were based on July's previous consensus forecast. Commissioner Reardon agreed the budget gap could be greater in January's new consensus forecast.

E. Vermont Strong Scholars Initiative – Organizational and Economic Details Report

Lucy Leriche, Deputy Secretary, Agency of Commerce and Community Development, distributed a preliminary report on the Vermont Strong Scholars Initiatives organizational and economic details, and explained the key decision points formed by the Agency. The Agency thought it financially prudent to delay the program and not offer financial services to students currently enrolled in classes but to begin committing to students enrolling in college for the first time in 2016. The agency listed a limited amount of high demand jobs that would be eligible for awards. The

objective of the initiative was to encourage students to select courses of study that had higher pay scales than average and were plentiful in Vermont.

Ms. Leriche explained that administering the new program could prove operationally complex for the Vermont Student Assistance Corporation (VSAC), and, therefore, VSAC has requested some revisions to the legislation. Ms. Leriche summarized a memo from VSAC included in the preliminary report listing proposed legislative changes. Representative Sharpe asked for clarification on potential funding sources for the program. Ms. Leriche responded that one of the potential funding sources identified by the Agency was the Workforce Education Training Fund (WETF). The WETF consisted of flexible General Funds that were administered by the Department of Labor and used primarily for workforce education training initiatives. Representative Sharpe inquired who currently received WETF funds. Ms. Leriche responded that small technical centers received funds through the Next Generation Program along with various other educational training entities.

Senator Ashe asked where the Vermont Strong Scholars Initiative originated. Ms. Leriche stated that the Governor originally proposed the initiative that then morphed to what the Legislature passed in the 2014 session. Senator Ashe inquired if there should be a link to smaller business types that are struggling to find specific skill sets rather than targeting students to choose a certain skill. Ms. Leriche stated the program's concept was to keep Vermont's next generation of children here in Vermont with good paying jobs. Senator Ashe expressed concern for the possibility of creating a subsidy program for businesses that would lessen the benefits companies pay to workers. Representative Sharpe asked that if an award recipient was hired by a business in Vermont but then was moved to another location of the same business outside Vermont, would the recipient still receive the benefits of the award. Ms. Leriche responded that the award recipient would no longer be eligible for the remainder of the award, but the statute was in need of clarification for these types of scenarios.

Senator Kitchel asked for clarification on whether the Agency had requested a deferment from the program's implementation. Ms. Leriche responded that the Agency was requesting a delay for a year of the financial commitment. This would mean that students beginning courses of studies in 2015 could apply for an award. Senator Kitchel asked how the State could better make the connection between students' academic choices and workforce needs. Ms. Leriche suggested that the Department of Labor's efforts to connect Vermont students with Vermont employers through internship opportunities were a way to showcase what workforce skills were in highest demand. Senator Ashe asked if the new University of Vermont (UVM) Science Technology Engineering and Math (STEM) facility had impacted the timing of the program or future funding demands. Ms. Leriche responded that the Agency based its projections on current enrollment in Vermont colleges but it was possible the program could increase applications for grant awards in the future. She added that the estimates were high, and that the reality was there would be many students that would not want to dedicate their work years in Vermont after college graduation.

F. Grants - JFO #2716 – Land Donation

Chris Cole, Transportation Planning Director, and Guy Rouelle, Aviation Program Manager, Agency of Transportation, summarized JFO #2716 grant (Donation of drainage improvements, land, a conservation easement, and right-of-way access, with an estimated value of \$425,000, from New England Waste Services of Vermont (NEWSVT) to the Agency of Transportation (AOT) for

the Newport State Airport). Mr. Cole explained that the State received \$9.8 million from the U.S. Aviation Administration to extend the Newport Airport runway by 1,000 feet. In order for the extension to work, additional easements and drainage improvements were needed to comply with conservation permit rules. The airport's neighbor, Casella Waste Systems, agreed to donate land and improvements to the State to fulfill its requirements for the conservation easement but with the caveat that the State would provide technical assistance in the future with its potential federal aviation permit application to expand its operation in Coventry. Representative Branagan asked why the airport was in need of the extended airstrip. Mr. Cole responded that there was a need to land international flights for new businesses forming from the EB5 program in the Northeast. Senator Kitchel moved to accept grant #2716, and Senator Sears seconded the motion. The Committee approved the motion.

G. Fiscal Office Updates – 1. Basic Needs Budget

Dan Dickerson, Fiscal Analyst, Sara Teachout, Senior Analyst, and Nolan Langweil, Senior Analyst, Joint Fiscal Office, distributed and summarized proposals to change the methodology of the Basic Needs Budget. Senator Kitchel asked if it was known what the overall impact of the new methodologies of Health Care would have on individuals' basic needs. Mr. Langweil responded that it was anticipated that people without employer-sponsored insurance would need a greater subsidy to cover their medical insurance. Representative Sharpe inquired how groceries were factored into the Basic Needs Budget report. Mr. Dickerson responded that there was only one consistently reliable source of data for estimating groceries. Representative Sharpe asked JFO for additional information on the data source used in the report for estimating groceries. Representative Johnson moved to approve the proposals to change the methodology for the Basic Needs Budget report, and the Committee approved the motion.

2. Fiscal Officers' Report

Mr. Klein asked if there were any areas of the Fiscal Officers' report on which the Committee had questions. There were no questions and the Chair moved on to the next agenda item.

3. Medicaid Pressures

Stephanie Barrett, Associate Fiscal Officer, Joint Fiscal Office, explained the process for estimating Medicaid pressures that was presented to the Emergency Board for action. She referred to a document previously handed out by Commissioner Reardon showing a Medicaid gap of \$35.8 million. Factors creating the Medicaid shortfall included revenue sources such as reductions in the Tobacco Fund, the State Health Care Resources Fund, and federal Medicaid match, and in addition, projections fell short on actual caseload expenditures. Costs for categories of service are projected out. The estimation group planned to reevaluate its work with the newest data in round two of meetings. Areas of the Medicaid projection not part of the Department of Vermont Health Access budget were from the mental health and developmental services budgets and were based on year-end data trends. There were no assumptions built into the projection on rate increases to providers, Accountable Care Organization payments, or for increased or expanded Blueprint payments. Representative Sharpe asked if the projection showed an increase in utilization. Ms. Barrett responded there was a modest increase in caseload and utilization in the current estimate.

4. Education Fund Outlook Update

Mark Perrault, Senior Analyst, Joint Fiscal Office, gave an update on the Education Fund outlook. The Commissioner of Taxes would announce the FY 2016 education property tax rates, to balance the Education Fund, within the next couple of weeks. The anticipated consensus forecast for education spending was projecting that school districts would spend \$3.8% above the previous fiscal year, which was significantly over the inflation rate, assuming implementation of pre-kindergarten. The estimate anticipated a \$45 million shortfall if the homestead and nonresidential property tax rates remained at the same rate as the previous fiscal year. The assumption was then that the Commissioner would suggest an increase of 4-5 cents on the property tax rate.

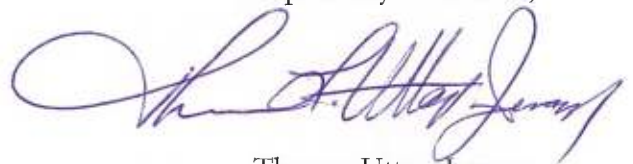
Mr. Perrault announced that for the first time, since 2005, the average homestead property tax rate could exceed the nonresidential rate. Because of this shift, the statute requires the Commissioner to revisit the allocation of the tax burden between the two rates. Representative Sharpe asked for clarification on the starting tax rate on household income for FY 2015 of 1.94% and how it impacted the current estimate. Mr. Perrault stated that because of the provision in statute, the increase to the rate applied to the FY 2016 taxes and allowed the property tax rates to be set one penny lower. Representative Ancel asked what assumption was included in the estimate for the education fund reserve. Mr. Perrault responded 5% was estimated, but the Legislature could lower it to 3.5% which reduced the tax rate by an additional penny. In response to Senator Kitchel's question on whether the statewide grand list would affect the rate for FY 2016, Mr. Perrault explained that the grand list would be returned to the black. Mr. Perrault stated that the FY 2015 BAA would include a \$6 million reversion to the FY 2016 budget because property tax revenue came in higher than anticipated.

The Chair asked for a discussion on the issue of process and the authority of the Administration for State budget rescissions. Representative Ancel asked for clarification on the threshold of the Administration's authority under statute for rescissions. Representative Heath added to the query of whether the Administration could rescind in anticipation of a forecast estimate change. Mr. Klein stated the proposed rescission process was unprecedented and believed the statutory intent did not allow for the Administration to rescind without legislative approval. Representative Heath asked for a legal opinion from the Legislative Council if the Administration was within its authority. Mr. Klein agreed there should be legal clarification from Legislative Council.

A discussion ensued on the issue. Senator Sears suggested that contingent on the Legislative Council opinion that the Chair and Vice chair determine if the Committee should convene a meeting to react to a possible proposal from the Administration. The Committee agreed to this suggestion.

Mr. Klein and the Committee thanked Representative Heath for her service. The Committee then adjourned at 3:04 p.m.

Respectfully Submitted,



Theresa Utton-Jerman
Legislative Joint Fiscal Office

Theresa Utton

From: Stephen Klein
Sent: Monday, December 22, 2014 1:33 PM
To: Theresa Utton
Subject: FW: Update to Joint Fiscal ~ Average Fuel Assistance Benefit

From: Martha Heath [<mailto:mpheathvt@gmail.com>]
Sent: Monday, December 22, 2014 12:59 PM
To: Stephen Klein
Subject: Fwd: Update to Joint Fiscal ~ Average Fuel Assistance Benefit

Hi Steve,
Would you please have
Theresa forward this to the other members of the JFC? Thanks, Martha

Sent from my iPad

Begin forwarded message:

From: "Moffi, Richard" <Richard.Moffi@state.vt.us>
Date: December 22, 2014 at 11:42:57 AM EST
To: "'Janek45@hotmail.com'" <Janek45@hotmail.com>, "Martha Heath (mpheathvt@gmail.com)" <mpheathvt@gmail.com>, "Steve Klein (sklein@leg.state.vt.us)" <sklein@leg.state.vt.us>
Cc: "Reardon, Jim" <Jim.Reardon@state.vt.us>, "Chen, Harry" <Harry.Chen@state.vt.us>, "Giffin, Jim" <Jim.Giffin@state.vt.us>, "Hal Cohen (HCohen@capstonevt.org)" <HCohen@capstonevt.org>, "Schatz, Ken" <Ken.Schatz@state.vt.us>, "Clark, Leo" <Leo.Clark@state.vt.us>, "Brown, Sean P." <Sean.Brown@state.vt.us>, AHS - ESD - FUEL <AHS-ESD-FUEL@state.vt.us>
Subject: Update to Joint Fiscal ~ Average Fuel Assistance Benefit

Dear Representative Heath and Senator Kitchel,

At the November 12th meeting of the Joint Fiscal Committee I testified that the projected average annual full Fuel Assistance benefit would be \$795, just several dollars over last winter's \$792 average. Regrettably, I made an error in setting the payment rate (the "rateable") and the average benefit was/is \$783

When November data was available in ACCESS I discovered the error. After reviewing the rateable and the 22,006 households that received a full season benefit in November I was able to identify how this occurred. Fortunately, the loss of benefit dollars has been more than offset with falling petroleum fuel prices and a relatively mild start to the winter.

Please accept my apologies and my assurance that in the future (as my Grandson says) "You gotta focus Grandpa."

Respectfully Submitted, Richard

Richard Moffi, Fuel & Utility Programs Director
AHS/DCF/ESD/Fuel & Utility Assistance Office
802-769-6448
Richard.Moffi@state.vt.us

Theresa Utton

From: Daniel Dickerson
Sent: Thursday, December 18, 2014 12:01 PM
To: David Sharpe
Cc: Sara Teachout
Subject: Basic Needs Budget food expenditure calculations

Rep. Sharpe,

My apologies for not getting you this information sooner. Calculating the cost of food in our report is a three-step process as outlined below:

1. We get our information from the USDA's Center for Nutrition Policy and Promotion. They release a monthly report on the cost of food plans for individuals and families. We always use the June information (reported in July) as a proxy for average costs for a particular year. There are 4 different cost levels; Thrifty, Low, Moderate and Liberal. We currently use the Moderate cost plan in our calculations. For June 2014 the costs were:
 - a. \$170.30/mo. for a child 4-5 yrs. Old
 - b. \$232.60/mo. for a child 6-8 yrs. Old
 - c. \$302.70/mo. for an adult male 19-50
 - d. \$258.80/mo. for an adult female 19-50
2. The USDA calculates the numbers given above for individuals based on a 4-person family. Therefore, in order to calculate the costs for single individuals or 2-person families, an adjustment needs to be made to account for reduced "efficiencies" from the 4-person family format. USDA recommends adjusting the above costs upwards by 20% for a single person, 10% for two people and 5% for 3 people.
3. Finally, because the USDA food plan represents an average cost for the entire country, we use the Consumer Expenditure Survey to establish a final cost that is more representative of Vermont. In order to do this we collect data for annual "Food at Home" expenditures, which excludes costs of eating out, for the entire country and for the Northeast. We calculate an average difference between food costs for the northeast and the country as a whole over a 10-year period (in this case from 2003-2012). For the 2014 report, the percentage difference is 6.3%.

Taking the numbers from step 1 and adjusting them by steps 2-3 brings us to the numbers given below. Our methodology for calculating food costs has not changed from the first basic needs budget report in 1999 aside from presenting only the Moderate cost food plan from 2007 onwards. Previously, both the Low and Moderate cost food plans had been incorporated. These numbers should be considered preliminary until the final report is released on January 15, 2015.

<u>Family Configuration</u>	<u>Monthly food cost</u>
Single	\$330
Single w/ shared housing	\$330
Single +1 child	\$502
Single +2 children	\$739
Two Adults +0	\$657
Two Adults +2 children	\$1,025
Two Adults (one working) +2 children	\$1,025

Use feel free to call or email me if you have any questions about this information or any other aspect of the basic needs budget.

Daniel Dickerson

Fiscal Analyst

Legislative Joint Fiscal Office

One Baldwin Street | Montpelier, VT 05633-5701

802.828.2472

Response

Theresa Utton

From: Clark, Sarah <Sarah.Clark@state.vt.us>
Sent: Saturday, December 13, 2014 9:29 AM
To: Theresa Utton
Cc: Stephen Klein; Reardon, Jim; Campbell, Heather M
Subject: FW: Response from November 2014 JFC meeting

Theresa,
See the response from the Secretary of State's office below. Do you need a more formal response?

Thanks,
Sarah

Sarah Clark
Deputy Commissioner
Department of Finance & Management
109 State Street
Montpelier, VT 05609

802-828-4005

From: Betit, Marlene [mailto:marlene.betit@sec.state.vt.us]
Sent: Friday, December 12, 2014 2:09 PM
To: Clark, Sarah
Cc: Campbell, Heather M; Senning, Will; Holub, Sara; Condos, Jim
Subject: FW: Response from November 2014 JFC meeting

Sarah:

Mr. Corren is responsible for returning any funds remaining in his campaign account to the Secretary of State's office (special services fund) within 40 days of the election. The 40th day following this year's election is Sunday December 14th, and Elections Director Senning has indicated to Mr. Corren the last day to receive the reporting would be Monday, December 15th.

As to how the amount returned to us was determined, the Elections Director reviewed the statute closely and determined that Mr. Corren is required to deposit whatever amount he has remaining in his account to the SoS, despite whether the money is a portion of the grants or the \$19,283 that was raised. Per the Statute, and it's reference to Subdivision 2, he is required to deposit all qualifying contributions, which includes the Vermont campaign finance grants, and any contributions accepted in accordance with the provisions of Section 2985.

Campaign Finance Grants from SoS Special Fund 21928:	\$ 180,717.00
Plus: funds raised by Mr. Corren	\$ 19,283.00
Total all funds raised & CF grants	\$ 200,000.00

Loss: funds spent by Mr. Corren	\$ (199,926.40)
Balance of account to SoS Special fund 21928 - received 12/12/14	\$ 73.60

We received the payment of \$73.60 this afternoon. Mr. Corren will be filing his Campaign Finance paperwork on Monday with our office.

Statute:

§ 2983. Vermont campaign finance grants; conditions

(a) A person shall not be eligible for Vermont campaign finance grants if, prior to February 15 of the general election year during any two-year general election cycle, he or she becomes a candidate by announcing that he or she seeks an elected position as Governor or Lieutenant Governor or by accepting contributions totaling \$2,000.00 or more or by making expenditures totaling \$2,000.00 or more.

(b) A candidate who accepts Vermont campaign finance grants shall:

(1) not solicit, accept, or expend any contributions except qualifying contributions, Vermont campaign finance grants, and contributions authorized under section 2985 of this chapter, which contributions may be solicited, accepted, or expended only in accordance with the provisions of this subchapter;

(2) deposit all qualifying contributions, Vermont campaign finance grants, and any contributions accepted in accordance with the provisions of section 2985 of this chapter in a federally insured noninterest-bearing checking account; and

(3) not later than 40 days after the general election, deposit in the Secretary of State Services Fund, after all permissible expenditures have been paid, the balance of any amounts remaining in the account established under subdivision (2) of this subsection. (Added 2013, No. 90 (Adj. Sess.), § 3, eff. Jan. 23, 2014.)

Please contact me if you have any questions.

Thank you,

Marlene

Marlene Betit, M.B.A.

Director of Administrative Services

Vermont Secretary of State

Phone: (802)-828-2477

Fax: (802)-828-2496

From: Clark, Sarah [<mailto:Sarah.Clark@state.vt.us>]

Sent: Friday, December 12, 2014 11:24 AM

To: Betit, Marlene

Cc: Campbell, Heather M

Subject: FW: Response from November 2014 JFC meeting

Marlene,

Please see the follow up questions as a result of the JFC meeting. Can your office provide a response to me that we will forward to JFO?

Thanks,

Sarah

Sarah Clark

Deputy Commissioner
Department of Finance & Management
109 State Street
Montpelier, VT 05609

802-828-4005

From: Theresa Utton [<mailto:TUTTON@leg.state.vt.us>]
Sent: Friday, December 12, 2014 10:55 AM
To: Clark, Sarah
Cc: Reardon, Jim; Morse, Linda; Stephen Klein
Subject: Response from November 2014 JFC meeting

Sarah –

There were a couple of requests from the November JFC meeting for the following, in regards to the Vermont Campaign Finance Grants (you could have someone from SOS respond):

- Of the \$150K expended in the FY 2015 budget to Dean Corren campaign for LT. Governor, if there were unexpended funds after the campaign, would those funds revert back to the State budget? If they do rollover, how much came back to the State?
- Does the authorizing statute direct the funds go to a campaign account or to an individual candidate account?

Thank you, ~Theresa

Theresa Utton-Jerman, Staff Associate
Records Officer, Legislative Joint Fiscal Office
One Baldwin Street
Montpelier, VT 05633-5701
(802) 828-5767 - Phone
(802) 828-2483 – Fax
www.leg.state.vt.us/jfo

Joint Fiscal Committee
Statutory Language for November 12, 2014 Meeting

B.1. Taxation & Regulation of Marijuana Report [Sec. 8a. of Act 155 of 2014]

On or before January 15, 2015, the Secretary of Administration shall report to the General Assembly regarding the taxation and regulation of marijuana in Vermont. The report shall analyze:

- (1) the possible taxing systems for the sale of marijuana in Vermont, including sales and use taxes and excise taxes, and the potential revenue each may raise;
- (2) any savings or costs to the State that would result from regulating marijuana; and
- (3) the experiences of other states with regulating and taxing marijuana.

2. FY2015 Efficiency and Enhancement Savings [B.1103 of Act 179 of 2014]

(a) The Secretary of Administration shall reduce appropriations and make transfers to the General Fund for a total of \$1,500,000, within the Executive Branch of State government from savings from efficiency and enhancement initiatives. The Secretary shall report to the Joint Fiscal Committee in November 2014 on the reductions and transfers identified.

3. PILOT Positions Report on Employee Impacts [Sec. E.100(d)(6) of Act 179 of 2014]

(d) Position Pilot Program. A Position Pilot is hereby created to assist participating departments in more effectively managing costs of overtime, compensatory time, temporary employees, and contractual work by removing the position cap with the goal of maximizing resources to the greatest benefit of Vermont taxpayers.

(6) On or before November 2014, the Commissioner of Human Resources shall provide the Joint Fiscal Committee and the House and Senate Committees on Government Operations a report of any employee impacts such as reduction in force rights that may arise from the implementation of the Pilot.

(7) This Pilot shall sunset on July 1, 2017, unless extended or modified by the General Assembly.

4. Vermont Veteran's Home Funding Review [Sec. E.100.2 of Act 179 of 2014]

(a) The Secretary of Administration shall carry out a review of the revenue and budget options for the Vermont Veterans' Home and develop a business plan with the following goals:

- (1) creation of a revenue and budget approach that does not present a long-term structural deficit for the Vermont State budget; and
- (2) development of a strategy that eliminates the need for ongoing General Fund subsidies by fiscal year 2018.

(b) This review shall be submitted to the Joint Fiscal Committee before November 15, 2014.

6. 2015 Special Investigative Unit Lease Update [Sec. E.112 of Act 179 of 2014 per 29 V.S.A. § 165(h)(2)]

(a) Notwithstanding 29 V.S.A. § 165(h), the Commissioner of Buildings and General Services shall extend through June 30, 2015 the lease for space for the Chittenden Unit for Special Investigations at current payment rates. For fiscal year 2016 and beyond, the Commissioner shall develop a long-term lease or fee-for-space arrangement for space for the Chittenden Unit for Special Investigations. If the lease or fee-for-space arrangement includes a payment below prevailing area market prices, then the Commissioner shall

present it to the Joint Fiscal Committee as required by 29 V.S.A. § 165(h)(2) for approval at a Joint Fiscal Committee meeting after September 1, 2014.

C. 2. Vermont Campaign Finance Grants [17 V.S.A. § 2985(a)(2)]

(a)(1) The Secretary of State shall make grants from the Secretary of State Services Fund in separate grants for the primary and general election periods to candidates who have qualified for Vermont campaign finance grants under this subchapter.

(2) To cover any campaign finance grants to candidates who have qualified under this subchapter, the Secretary of State shall report to the Commissioner of Finance and Management, who shall anticipate receipts to the Services Fund and issue warrants to pay for those grants. The Commissioner shall report any such anticipated receipts and warrants issued under this subdivision to the Joint Fiscal Committee on or before December 1 of the year in which the warrants were issued.

E. Vermont Scholars and Intern Initiatives [Sec. 48 of Act 199 of 2014]

On or before November 1, 2014, the Secretary of Commerce and Community Development shall report to the Joint Fiscal Committee on the organizational and economic details of the Vermont Strong Scholars Initiative, including:

- (1) the economic sectors selected for loan forgiveness;
- (2) the projected annual cost of the Initiative,
- (3) the proposed funding sources;
- (4) programmatic proposals and economic projections on the feasibility and impacts of expanding eligibility for the loan forgiveness program to include Vermont residents who attend postsecondary institutions outside Vermont and out-of-state residents who attend Vermont postsecondary institutions;
- and
- (5) the projected balance of the Vermont Strong Scholars Fund for each fiscal year through fiscal year 2018.

Reports

General Government

I. Annual 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:

- (1) To administer the financial transactions of the State, including payroll transactions, in accordance with the law and within the limits of appropriations made by the General Assembly.
- (2) To conduct management studies and audits of the performance of State government.
- (3) To prepare the Executive budget.
- (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. The provisions of 2 V.S.A. § 20(d) (expiration of required reports) shall not apply to the report to be made under this subdivision.
- (5) To maintain a central payroll office which shall be the successor to and continuation of the payroll functions of the Department of Human Resources.

II. Small Grants Quarterly Report [32 V.S.A. § 5(a)(3) as amended by Sec. 17 of Act 167 of 2014 and further amended by Sec. 54 of Act 142 of 2014 and further amended by Sec. E.342.7 of Act 179 of 2014]

Acceptance of grants and procedures.

(a) No original of any grant, gift, loan, or any sum of money or thing of value may be accepted by any agency, department, commission, board, or other part of state government except as follows:

(1) All such items must be submitted to the Governor who shall send a copy of the approval or rejection to the Joint Fiscal Committee through the Joint Fiscal Office together with the following information with respect to said items:

(3)(A) This section shall not apply to the following items, provided that the acceptance of those items will not incur additional expense to the State or create an ongoing requirement for funds, services, or facilities:

(B) 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. The provisions of 2 V.S.A. § 20(d) (expiration of required reports) shall not apply to the report to be made under this subdivision.

**III. Quarterly report on excess receipts and additional memo response from JFO.
[32 V.S.A. § 511 as amended by Sec. 60 of Act 142 of 2014]**

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 General Assembly. 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. The provisions of 2 V.S.A. § 20(d) (expiration of required reports) shall not apply to the report to be made under this section.

IV. Special funds balance and list of funds created [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.

V. Tax Computer System Modernization Fund Receipts [Sec. 282(e) of Act 65 of 2007 as amended by Sec. C.103 of Act 63 of 2011 as amended by Sec. 62 of Act 95 of 2014]

(a) Creation of fund.

(e) The Commissioner of Taxes 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.

VI. Position Pilot Program [Sec. E.100(d)(4) of Act 179 of 2014]

(d) Position Pilot Program. A Position Pilot is hereby created to assist participating departments in more effectively managing costs of overtime, compensatory time, temporary employees, and contractual work by removing the position cap with the goal of maximizing resources to the greatest benefit of Vermont taxpayers.

(4) At least 15 days prior to the establishment of Pilot positions, the Joint Fiscal Committee, the Government Accountability Committee, and the House and Senate Committees on Government Operations shall be provided a written description from the Pilot entity and the Commissioner of Human Resources of the method for evaluating the cost-effectiveness of the positions.

Protection

I. 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 subsection 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;

Human Services

I. Substance abuse treatment services objective and performance measures [Sec. E.306.2 of Act 179 of 2014]

(a) Program Objectives And Performance Measures:

(1) On or before September 15, 2014, the Chief of Health Care Reform, the Secretary of Human Services, and the Commissioners of Health and of Vermont Health Access in consultation with the Chief Performance Officer shall submit to the Joint Fiscal Committee, the House and Senate Committees on Appropriations, the House Committee on Human Services, and to the Senate Committee on Health and Welfare the program objectives for the State's substance abuse treatment services and three performance measures to measure success in reaching those program objectives.

II. Vermont Tobacco Evaluation and Review Board [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 House and Senate Committees on Appropriations by October 1 of each year.



State of Vermont
Department of Human Resources
Office of the Commissioner
110 State Street, Drawer 20
Montpelier, VT 05620-3001
www.humanresources.vermont.gov

Agency of Administration

[phone] 802-828-3491
[fax] 802-828-3409

TO: Joint Fiscal Committee
Government Accountability Committee
House Committee on Government Operations
Senate Committee on Government Operations

FROM: Maribeth Spellman, Commissioner

DATE: November 12, 2014

SUBJECT: Position Pilot Program – Status Report

Overview

Section E.100(d) of Act 179 established a position pilot program with the goal of assisting participating departments in more effectively managing cost of overtime, compensatory time, temporary employees, and contractual work by removing the position cap with the goal of maximizing resources to the greatest benefit of Vermont taxpayers. The organizations authorized to participate in the position pilot were the Agency of Transportation (AOT), the Department of Children and Families (DCF), the Department of Environmental Conservation (DEC), and the Department of Buildings and General Services (BGS). Section E.100(d)(6) requires that, "[o]n or before November 2014, the Commissioner of Human Resources shall provide the Joint Fiscal Committee and the House and Senate Committees on Government Operations a report of any employee impacts such as reduction in force rights that may arise from the implementation of the Pilot." Accordingly, this report is submitted for your consideration.

Current status

I am pleased to report that the position pilot has not resulted in reduction in force in the pilot organizations and there have been no reports of the program resulting in negative impacts to employees. The pilot has resulted in a positive impact on employees in part because departments have used the pilot to convert temporary positions to classified positions in cases where the work is more appropriately performed by classified employees (either limited service or permanent). The Department for Children and Families, AOT and DEC have all submitted

requests and created positions under the position pilot. The position requests have been reasonable, based on organizational needs, and reflect a deliberate process by the requesting organizations.

The Department for Children and Families made requests for positions under the pilot on two occasions.

- In July 2014, DCF requested 27 positions in family services as part of their response to rapid systems change to address recent child fatalities. The flexibility provided by the position pilot had an incredibly positive impact on both workload and morale. Prior to the pilot caseloads averaged 21 to 1. With the position pilot DCF was able to bring that ratio down to 16 to 1; closer to the recommended national average of 12 to 1. The only challenge reported by DCF was difficulty finding enough qualified candidates, especially in Washington County.
- At the end of August 2014, DCF was authorized to convert up to 113 temporary positions in the Health Access Eligibility Unit (HEAU). To date we have created 73 positions for HAEU to convert from the temporary positions. The DCF reports that the conversion of the 73 positions helped them with both recruitment and retention and has greatly reduced the high turnover in temporary employees.

The Department of Environmental Conservation made one request for positions under the pilot.

- DEC requested 17 positions and is still in the process of recruiting and interviewing to fill the requested positions. DEC first concentrated on creating nine positions to help address their use of temporary staff to do ongoing and full-time work. Two of the positions were filled with former temporary employees.
- Eight of the requested positions will be used to address key areas of need and critical program initiatives in alignment with their FY 2013-2015 Strategic Plan.

The Agency of Transportation made one request under the pilot on October 23, 2014. The positions were effective November 11, 2014. AOT asked to create 24 positions at this time to achieve cost savings by reducing consultant costs through hiring classified employees. AOT spent over \$20 million on consultants in FY14, and anticipates these positions will reduce consultant costs by over \$1 million. AOT expects to reduce overtime costs, draw down additional federal funds, and receive more state fund revenues through the investment in new staff. In addition to cost savings, and equally important, the new positions will assist AOT with advancing their strategic plan goals, improving outcomes for the travelling public, and achieving efficiencies in the Agency.

Discussions are ongoing with the Department of Buildings and General Services on appropriate use of their pilot authority within current budgetary constraints. BGS has identified eight positions which they intend to create once they are able to identify financial resources to support those positions on an ongoing basis.

Attached you will find pilot position detail by Agency or Department. The lists indicates if the position is filled or vacant. If the position resulted in the reduction of the use of temporary employees you will find notes to that effect.

Moving forward

Since coming to DHR in September of this year, Deputy Commissioner Kari Miner and I have made it a priority to visit with every Agency and Department within State government to listen and learn what is working well and what is not working well in relation to human resource functions and services. Organizations have consistently relayed to us their frustration over the lack of flexibility they have to adjust organizational focus based upon changing organizational needs. In short, it is difficult to deliver the high quality services Vermonters rightly deserve if organizations do not have the flexibility to structure their organizations in a way that most effectively and efficiently deliver those services. The Legislature's willingness to authorize the position pilot has been greatly appreciated by the organizations trusted with this responsibility and is being viewed throughout State government as a positive first step in a continuing conversation about organizational structure and position management.

Total Positions:	Classified & Exempt		Temporary	
	1-Jul-14	31-Oct-14	1-Jul-14	31-Oct-14
Buildings & General Services	334	334	66	56
Children and Families	1050	1163	167	112
Environmental Conservation	295	314	27	23
Transportation	1292	1295	220	185
Executive Branch	8659	8836	1336	1079

reg change	temp change
0	-10
113	-55
19	-4
3	-35
177	-257

Pilot Positions Authorized:	July	August	September	October	November	Total
Buildings & General Services						
Children and Families	27		113			140
Environmental Conservation			17			17
Transportation				24		24
Grand Total	27	0	130	24	0	181

Pilot Positions Created:	July	August	September	October	November (anticipated)	Total
Buildings & General Services						
Children and Families	25		73		2	100
Environmental Conservation			10	6	1	17
Transportation					24	24
Grand Total	25	0	83	6	27	141

#filled
n/a
78
2
n/a
80

7/1/2014 9/11/2014 10/23/2014 11/11/2014

Classified Positions must be filled through an open competitive process. The State's recruitment process requires jobs to be posted for a minimum of 10 days before hiring managers may begin the selection process. It is not unusual for the recruitment and selection process to take at least a month, and in the case of hard to fill positions it can take several months.

**Department for Children and Families - June 16, 2014 Pilot Request - Twenty-Seven
Classified Positions Authorized, Including Conversion of Eight Temporary Positions and
Two Contracts**

	Position Number Created Effective July 1, 2014	Title	Filled/ Vacant	Incumbent was Previously Employed as a Temp
1	751186	Policy & Operations Manager	filled	
2	751187	Woodside Asst Ops Director	filled	
3	751188	Domestic Violence Specialist	vacant	
4	751189	Clinical Social Worker	vacant	
5	751190	Administrative Assistant A	filled	yes
6	751191	Social Services Supervisor	filled	
7	751192	Social Services Supervisor	filled	
8	751193	Social Worker	filled	
9	751194	Social Worker	filled	
10	751195	Social Worker	vacant	
11	751196	Social Worker	filled	
12	751197	Social Worker	filled	
13	751198	Social Worker	filled	
14	751199	Social Worker	filled	
15	751200	Social Worker Trainee	filled	
16	751201	Social Worker	filled	
17	751202	Social Worker	filled	
18	751203	Social Worker	filled	
19	751204	Social Worker	filled	
20	751205	Social Worker	filled	
21	751206	Social Worker	filled	
22	751207	Social Worker	filled	
23	751208	Social Worker	vacant	
24	751209	Social Worker	filled	
25	751210	Social Worker	filled	
26	not created	Foster Care Manager	n/a	
27	not created	Post Permanance Manager	n/a	

**Department of Environmental Conservation - August 13, 2014 Pilot Request -
Seventeen Classified Positions Authorized, Including Converting Nine
Temporary Positions.**

	Position Number	Created Effective	Title	filled/v acant	<i>Incumbent was Previously Employed as a Temp</i>
1	660422	9/11/2014	Env & Agriculture Lab Director	vacant	
2	660423	9/11/2014	Program Services Clerk	vacant	
3	660424	9/11/2014	Environmental Engineer III	vacant	
4	660425	9/11/2014	Auditor B	vacant	
5	660426	9/11/2014	Environ Tech III AC: General	vacant	
6	660427	9/11/2014	Administrative Assistant B	filled	yes
7	660428	9/11/2014	Environ Tech III AC: Admin	vacant	
8	660429	9/11/2014	Env Anal II AC: General	vacant	
9	660430	9/11/2014	Environ Tech III AC: Admin	filled	yes
10	660431	9/11/2014	Administrative Assistant B	vacant	
11	660432	9/11/2014	ANR Regulatory Policy Analyst	vacant	
12	660433	10/19/2014	Env Analyst IV AC: General	vacant	
13	660434	10/19/2014	Environ Tech III AC: Admin	vacant	
14	660435	10/19/2014	Environmental Analyst VI	vacant	
15	660436	10/19/2014	Env Analyst V AC: General	vacant	
16	660437	10/19/2014	Env Enforcement Off	vacant	
17	Not Created				

**Department for Children and Families - August 26, 2014 Pilot Request - Classified
Limited Service Positions Authorized To Convert Up To 113 Temporary Positions**

	Position Number Created Effective 9/11/14	Title	Filled/ Vacant	Incumbent was Previously Employed as a Temp
1	751227	Benefits Prog Spec AC HAEU	filled	yes
2	751228	Benefits Prog Spec AC HAEU	filled	yes
3	751229	Benefits Prog Spec AC HAEU	filled	
4	751230	Benefits Prog Spec AC HAEU	filled	yes
5	751231	Benefits Prog Spec AC HAEU	filled	yes
6	751232	Benefits Prog Spec AC HAEU	filled	yes
7	751233	Benefits Prog Spec AC HAEU	filled	
8	751234	Benefits Prog Spec AC HAEU	filled	
9	751235	Benefits Prog Spec AC HAEU	filled	
10	751236	Benefits Prog Spec AC HAEU	filled	
11	751237	Benefits Prog Spec AC HAEU	filled	yes
12	751238	Benefits Prog Spec AC HAEU	filled	yes
13	751239	Benefits Prog Spec AC HAEU	filled	yes
14	751240	Benefits Prog Spec AC HAEU	filled	yes
15	751241	Benefits Prog Spec AC HAEU	filled	yes
16	751242	Benefits Prog Spec AC HAEU	filled	yes
17	751243	Benefits Prog Spec AC HAEU	filled	yes
18	751244	Benefits Prog Spec AC HAEU	filled	yes
19	751245	Benefits Prog Spec AC HAEU	filled	yes
20	751246	Benefits Prog Spec AC HAEU	filled	yes
21	751247	Benefits Prog Spec AC HAEU	filled	yes
22	751248	Benefits Prog Spec AC HAEU	filled	
23	751249	Benefits Prog Spec AC HAEU	filled	yes
24	751250	Benefits Prog Spec AC HAEU	filled	yes
25	751251	Benefits Prog Spec AC HAEU	filled	yes
26	751252	Benefits Prog Spec AC HAEU	filled	
27	751253	Benefits Prog Spec AC HAEU	filled	yes
28	751254	Benefits Prog Spec AC HAEU	filled	
29	751255	Benefits Prog Spec AC HAEU	filled	
30	751256	Benefits Prog Spec AC HAEU	filled	yes
31	751257	Benefits Prog Spec AC HAEU	filled	
32	751258	Benefits Prog Spec AC HAEU	filled	yes
33	751259	Benefits Prog Spec AC HAEU	filled	yes
34	751260	Benefits Prog Spec AC HAEU	filled	yes
35	751261	Benefits Prog Spec AC HAEU	filled	yes
36	751262	Benefits Prog Spec AC HAEU	filled	yes
37	751263	Benefits Prog Spec AC HAEU	filled	
38	751264	Benefits Prog Spec AC HAEU	vacant	
39	751265	Benefits Prog Spec AC HAEU	filled	yes

	Position Number Created Effective 9/11/14	Title	Filled/ Vacant	Incumbent was Previously Employed as a Temp
40	751266	Benefits Prog Spec AC HAEU	filled	
41	751267	DCF Health Care Prog Spec	filled	yes
42	751268	Benefits Prog Spec AC HAEU	filled	
43	751269	Benefits Prog Spec AC HAEU	filled	
44	751270	Benefits Prog Spec AC HAEU	filled	yes
45	751271	Benefits Prog Spec AC HAEU	filled	
46	751272	Benefits Prog Spec AC HAEU	filled	yes
47	751273	Benefits Prog Spec AC HAEU	filled	yes
48	751274	Benefits Prog Spec AC HAEU	filled	yes
49	751275	Benefits Prog Spec AC HAEU	filled	yes
50	751276	Benefits Prog Spec AC HAEU	filled	
51	751277	Benefits Prog Spec AC HAEU	filled	yes
52	751278	Benefits Prog Spec AC HAEU	filled	
53	751279	Benefits Prog Spec AC HAEU	filled	yes
54	751280	Benefits Prog Spec AC HAEU	filled	
55	751281	Benefits Prog Spec AC HAEU	filled	
56	751282	Benefits Prog Spec AC HAEU	vacant	
57	751283	Benefits Prog Spec AC HAEU	vacant	
58	751284	Benefits Prog Spec AC HAEU	filled	
59	751285	Benefits Prog Spec AC HAEU	vacant	
60	751286	Benefits Prog Spec AC HAEU	vacant	
61	751287	Benefits Prog Spec AC HAEU	vacant	
62	751288	Benefits Prog Spec AC HAEU	vacant	
63	751289	Benefits Prog Spec AC HAEU	vacant	
64	751290	Benefits Prog Spec AC HAEU	vacant	
65	751291	Benefits Prog Spec AC HAEU	vacant	
66	751292	Benefits Prog Spec AC HAEU	vacant	
67	751293	Benefits Prog Spec AC HAEU	vacant	
68	751294	Benefits Prog Spec AC HAEU	vacant	
69	751295	Benefits Prog Spec AC HAEU	vacant	
70	751296	Benefits Prog Spec AC HAEU	vacant	
71	751297	Program Technician I	filled	yes
72	751298	Program Services Clerk	filled	
73	751299	Program Services Clerk	vacant	

Agency of Transportation - October 23, 2014 Pilot Request - Twenty-Four Classified Positions Authorized

	Position Number	Anticipate Effective	Working Title
1	n/a	11/11/2014	Commercial Vehicle Enforcement Officer
2	n/a	11/11/2014	Project Manager
3	n/a	11/11/2014	Civil Engineer
4	n/a	11/11/2014	Civil Engineer
5	n/a	11/11/2014	Civil Engineer
6	n/a	11/11/2014	Civil Engineer
7	n/a	11/11/2014	Civil Engineer
8	n/a	11/11/2014	Civil Engineer
9	n/a	11/11/2014	Civil Engineer
10	n/a	11/11/2014	Civil Engineer
11	n/a	11/11/2014	Civil Engineer
12	n/a	11/11/2014	Civil Engineer
13	n/a	11/11/2014	Civil Engineer
14	n/a	11/11/2014	Civil Engineer
15	n/a	11/11/2014	Civil Engineer
16	n/a	11/11/2014	Civil Engineer
17	n/a	11/11/2014	Civil Engineer
18	n/a	11/11/2014	AOT Planning Coordinator
19	n/a	11/11/2014	Marketing Specialist
20	n/a	11/12/2014	Civil Engineer
21	n/a	11/11/2014	Go! VT Program Manager
22	n/a	11/11/2014	State Airport Operations Specialist
23	n/a	11/11/2014	Business Process Manager
24	n/a	11/11/2014	Administrative Assistant



C.1.

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

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

Agency of Administration

MEMORANDUM

TO: Joint Fiscal Committee
CC: Jeb Spaulding, Sarah Clark, Steve Klein, Stephanie Barrett and Theresa Utton-Jerman;
FROM: Jim Reardon, Commissioner
RE: Campaign Finance Grants – 17 VSA Sec. 2985 (a) (2) as amended by Sec. 3 of Act 90 of 2014 Session
DATE: November 3, 2014

Pursuant to the requirement in 17 VSA Sec. 2985 (a) (2) as amended by Sec. 3 of Act 90 of the 2014 Session, I am reporting that \$150,000 was paid to Dean Corren, Progressive Candidate for Lieutenant Governor in FY 2015. The date of the automated clearing house transaction to Mr. Corren was September 11, 2014. I have attached the report issued to me from Secretary of State Jim Condos related to this matter.

Please contact me if you require additional information.





State of Vermont
Office of the Secretary of State

128 State Street
Montpelier, VT 05633-1101

[phone] 802-828-2363
[fax] 802-828-2496
www.sec.state.vt.us

James C. Condos, Secretary of State
Brian H. Leven, Deputy Secretary

MEMORANDUM

To: Jim Reardon, Commissioner
Department of Finance & Management

From: *Marlene Betit*
Marlene Betit, Director
Administrative Services

Date: October 29th, 2014

Subject: Campaign Finance Grant

Please note that as required by 17 V.S.A. Sec. 2985(a)(2) as amended by Sec. 3 of Act 90 of 2014, \$150,000.00 was paid to Dean Corren, Progressive Candidate for Lieutenant Governor in fiscal year 2015. The date of the automated clearing house transaction to Mr. Corren's bank account was September 11, 2014. I have attached for your records the Public Finance Affidavit submitted by Mr. Corren to our Elections Division. Please do not hesitate to contact me if you have any questions.

Thank you.

Cc: Secretary of State Jim Condos
Will Senning, Elections Division Director
Heather Campbell, Budget Analyst

FY 2015 General Fund BAA Pressures*	
Item	Explanation
Homeowner & Renter Rebate, Current Use	Net adjustment across all three programs.
Defender General	Based on increased caseload.
Health Care Exchange	Includes security & renewals.
Medicaid Caseload	
New Adult FMAP Rate	
DCF Caseload	Includes foster care, adoption and emergency housing.
Other AHS	Includes Reach Up medical review contract.
Vermont Veterans' Home	Low census.
Space Needs	Across multiple agencies & departments. Some is one-time fit-up.
Benefit Plan Increases	Across all agencies & departments.
TOTAL POTENTIAL NEED	

*Subject to Change.

FY 2016 Budget Gap
12-Nov-14

	FY16	
GF Revenue - July 2014 Projected	1,411.7	Estimate built on July 2014 forecast. A subsequent revenue adjustment could change this gap analysis.
Dir Apps and Reversions Estimate	25.0	
	1,436.7	

Total GF Sources	1,436.7
-------------------------	----------------

FY15 Base Approps (post rescission)	1,418.8	
FY15 Base Transfers	5.2	Next Gen, CIT, Waterbury Complex
	1,423.9	

		Appropriation changes in the FY15 rescission which will require funding in FY16. This includes the use of global commitment and LTC carry forward, delays in various projects (including Burlington Shelter and transitional housing) and key vacancies across state government.
Backfill one-time funds from the FY15 rescission	8.4	
Medicaid	35.8	Includes loss of FMAP, half of two year ACA bump, reduced tobacco funding, Medicaid caseload & annualized Exchange Costs .
Other AHS/DOC	13.7	Includes replacement of DOC one-time funds, DOC OOS caseload, and other.
Vermont Veterans' Home	1.0	Lower census.
State/Teacher Employee Related	28.2	Includes Pay Act, Benefit Rate Increase, Retirement & Retiree Teacher Health Care
Transfer to the Ed Fund	7.5	
Debt Service	5.1	
IT Projects	10.0	
Public Safety TF Reduction	2.5	
TOTAL USES	1,536.2	

TOTAL ESTIMATE BUDGET GAP*	99.5
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*The budget gap estimate is preliminary and will change.



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Department of Finance & Management
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Agency of Administration

MEMORANDUM

TO: Joint Fiscal Committee
CC: Jeb Spaulding, Sarah Clark, Steve Klein, Stephanie Barrett and Theresa Utton-Jerman;
FROM: Jim Reardon, ~~Commissioner~~
RE: Food Fight Fund Update
DATE: November 3, 2014

Since its establishment in the 2014 session in Act 120 Section 4, the Food Fight Fund has received \$333,000 in donations from individuals and organizations. Through October 31, 2014, \$435,356 has been spent by the Attorney General's office in the implementation and administration of the labeling of food produced from genetic engineering. The majority of these expenses are payments for personal service contracts to provide legal services related to the defense of Act 120.

In addition to donations, the Food Fight Fund may also receive funds from court settlements beyond those amounts that are currently appropriated in the FY 2015 budget. The FY 2015 budget was built relying on \$2,028,000 in settlements from the Attorney General's office. As of October 31, 2014, the Attorney General's office has received \$1,809,000 in settlements, net the funds used by their office to fund operations. Once the FY 2015 budget target is met, up to \$1,500,000 may be deposited into the Food Fight Fund for use in the implementation and administration of Act 120.

Please contact me if you require additional information.



Theresa Utton

From: Clark, Sarah <Sarah.Clark@state.vt.us>
Sent: Friday, October 24, 2014 12:26 PM
To: Theresa Utton
Subject: FW: Food Fight Fund update

Just FYI – we will also be submitting an update to the JFC as outlined below.

Sarah Clark
Deputy Commissioner
Department of Finance & Management
109 State Street
Montpelier, VT 05609

802-828-4005

From: Nathan Lavery [<mailto:NLavery@leg.state.vt.us>]
Sent: Thursday, October 02, 2014 8:35 AM
To: Clark, Sarah
Subject: Food Fight Fund update

Hi Sarah,

Sen. Sears has requested an update on the Food Fight Fund for the November JFC meeting.

He is content with a short written update (no need to prepare a presentation). He just wants the basics:

1. How much has been pledged to the fund?
2. How much has actually been received? (this may be the same, or perhaps less than #1)
3. How much has been expended by the fund?
4. General categories of expenditures (ex: to reimburse AG for department staff? Pay contract attorneys? Some other type of expenditures?)

Does this make sense? Is that possible for the November meeting?

Please let me know. Thanks.

Nathan Lavery
Senior Fiscal Analyst
Legislative Joint Fiscal Office
One Baldwin Street
Montpelier VT 05633-5301
(802) 828-1488
nlavery@leg.state.vt.us



FY 2016 BUDGET INSTRUCTIONS

Department of Finance & Management
Budget & Management Division

Issued: September 12, 2014

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A. FY 2016 Budgets (NEW)

These budget instructions offer guidance in preparing responses to the budgetary challenges facing us in FY 2016 and beyond. **They ask for responses to two funding targets for FY 2016. One set at a decrease of 5% from FY 2015 General Fund levels as adjusted by the August 13, 2014 rescission adopted by the Joint Fiscal Committee and one set at level funding from FY 2015 General Fund levels as adjusted by the August 13, 2014 rescission.** Departments are also expected to absorb the annualization of the FY 2015 Pay Act. In addition, your Budget submissions, to the degree possible, should be consistent with your Strategic Plan.

Summary Responses must be approved by the Agency Secretary and Commissioner or the exempt head of your Department or Office, and **must be submitted electronically to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us) by October 10, 2014.** (See the "FY 2016 Budget Development Timetable" at end of this document for a complete list of due dates.) **NEW: Responses will be submitted on the "Budget Development Form" – Attachment B of this document. This form can be supplemented with a narrative as appropriate.**

1. Funding Levels:

All FY 2016 programs, services and activities must be designed to be affordable within the specified funding levels. If you have any questions about your FY 2016 General Fund target amount, please consult your budget analyst.

Special fund and Tobacco Settlement Fund spending authority should be set in-line with available revenues.

a. Budgeting of Anticipated Federal Funds

As always, federal funding should be conservatively estimated, cognizant of current Federal actions and prospects. **In this upcoming year, however, please be particularly mindful of any potential reductions to your federal grants. Do not assume that federal reductions will be covered with increased General Funds; rather, you should assume that these programs will not be replaced unless you can demonstrate they meet a critical State policy goal.**

If your budget reflects reduced federal activity, it is expected that there will be a corresponding reduction in associated limited service positions and administrative expenses.

2. "Pressures" in FY 2016:

There may be many routine expenditure pressures that must be covered within your funding targets, such as the July 1, 2014 cost of living adjustment and step increases that are expected to take place during FY 2015. Other potential factors include general inflation; specific cost centers experiencing elevated price increases; other contractual increases; growing caseloads and workload demands; and reductions in federal funding.

a. Cost of salaries in FY 2016

Under Vermont's budgeting convention, for the FY 2016 budgets, the Vantage budget system reflects the annualized cost of the July 2014 cost of living adjustment and step increases that are expected to take place during FY 2015. As usual, the salary changes that are expected to take place DURING FY 2016 are handled separately (i.e., under the Pay Act) and are not to be included in your budget request.

b. Health care and dental premium costs and other benefit rates:

We will centrally install the benefit rates on the Vantage budget system for FY 2016 benefit calculations. We have not yet determined new retirement or benefit rates. At this time, you should assume no change to those rates. We will notify you promptly when the retirement and benefits rates have been determined.

3. Response to funding levels (NEW):

a. Submissions due:

Your submissions are due and must be submitted electronically to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us) by October 10, 2014. Please use the "Budget Development Form" included here as Attachment B for your submission. Linda Morse will contact you shortly to schedule meetings with Commissioner Reardon. Responses must be approved by your Commissioner or the exempt head of your Agency, Department or Office.

b. Restructuring and Reductions:

In developing your budget, elimination and/or reductions to on-going programs may be necessary to achieve base savings sufficient to place the budget on a sustainable path for the future. Any combination of proposals may be considered.

Please itemize the restructuring, elimination and reductions in programs, services, staffing, activities, etc. necessary to meet the FY 2016 targets. A major focus of your additional documentation should be an explanation of the elimination and/or changes in programs, services, staffing and activities that will be needed in order to function within the assigned FY 2016 funding levels assigned.

Preference should be given to the elimination of entire program(s) and/or service(s) rather than across-the-board reductions that jeopardize the stability and sustainability of multiple programs and/or services.

Please consider whether any proposed reductions can begin in FY 2015, so that the programmatic changes will be in effect for the entire FY 2016. Please use the FY 2015 Budget Adjustment Bill for this purpose.

Finally, list the order in which you would restore programs, services, etc. if your funding were to increase, and explain your rationale for the prioritization of your list.

Agencies and Departments may shift funding among programs and organizational units to best accomplish their mission and goals, as long as impacts are clearly identified.

c. Vantage Budget System:

Vantage system instructions are available on the Finance & Management website at: http://finance.vermont.gov/state_systems/vantage.

Vantage system training will be held on September 17, 2014 for users that need a refresher and September 19, 2014 for new users. Training is mandatory for new Vantage users.

Departments should advance their budget requests in Vantage as far as possible before their meeting with the Finance Commissioner; however, completed Vantage entry is not required for the meeting.

d. Performance Measures (NEW):

Each year, departments are expected to present to the appropriations committees summary information related to their strategic overview, program profile, and performance information, as required under 32 VSA §307(c). The Department of Finance and Management has annually provided a template (Attachment A) format for such presentation, for your convenience. Departments, however, have had flexibility to develop their own presentation of program and performance information.

For the FY 2016 budget cycle, **in addition to departments' individual presentations described above**, and in accordance with 2014 Act 186 (An act relating to reporting on population-level outcomes and indicators and on program-level performance measures), departments – and specific appropriations -- will incorporate performance measures into the Vantage system. Department Performance Accountability Liaisons (PALs) have been working with the Chief Performance Officer, Sue Zeller, and have selected programs to be included in the Vantage system. Department business offices should work with their budget analyst and PALs on the programs that will be included in Vantage. The Vantage instructions will include more detailed information on how to set up performance measures in the system, and how to enter the related data.

e. Additional Detail in EXCEL or WORD:

In addition to the Vantage budget materials, please provide additional detail and backup to your submission in the EXCEL "Budget Development Form" form and a WORD document addressing the following issues if needed:

- Upward and downward pressures relative to your FY 2015 base appropriation;
- Reductions needed to meet funding targets; and,
- Priority of restoration; rationale of prioritization.

A simple format for your response would be the following:

Funding target: \$

Upward pressures that you face, including the increases due to payroll, growing caseloads, reduced federal funding etc.; and changed or expanded programs, services, activities.

1.	\$\$	Explanation
2.	\$\$	Explanation
Etc.		

Reductions or eliminations or revisions in programs, services, activities necessary to meet target - Please be very specific as to program / service impact.

1.	\$\$	Explanation
2.	\$\$	Explanation
Etc.		

Restoration of programs, services, etc. if funding level improves. Rank in order of priority (i.e., 1= first thing to restore / add if more funding is made available).

1.	\$\$	Explanation
2.	\$\$	Explanation
Etc.		

4. Employee Suggestions (NEW):

Many departments have incorporated employee feedback as part of the budget development process. As part of this year's budget process, we would like all agencies and departments to utilize a meaningful method to solicit employee suggestions on how to most effectively address this spending reduction. Employee suggestions should be solicited and discussed with your management teams and, where appropriate, incorporated into your budget proposals. If employee ideas are used as part of the budget response, highlight those areas in your submission.

5. Final Budget Submission:

Final budget targets will be issued in mid-December. Upon receipt of a final target, please finalize Vantage entries as soon as possible, and notify the department's budget analyst when they are complete. Vantage entries must match final target exactly.

Additional materials must be submitted electronically to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us).

6. Current Services Budget

Section E.100.2(b) of Act 162 of the 2012 Session (see below) contains legislative language that places emphasis on developing a "current services" budget; i.e., "an estimate of what the current level of services is projected to cost in the next fiscal year." As we do every year, in developing the Governor's recommendation, we will identify our current service needs separately from new initiatives. Given the recent language, however, we ask that you pay particular attention to the budget instructions (in subsection (3)(e)) -- identifying current service needs and new initiatives -- as you develop your summary materials for your meetings with the Commissioner of Finance. In addition, the Vantage

budget system specifically requires departments to differentiate between their current services budget and new initiatives.

Sec. E.100.2(b): Current Services:

The administration shall develop and publish annually for public review as part of the budget submission process a current services budget, providing the public with an estimate of what the current level of services is projected to cost in the next fiscal year. The initial current services budget shall be submitted with the administration's fiscal year 2014 budget proposal.

7. Information technology projects or activity

The Legislature requires that all information technology (IT) activities with a lifecycle cost in excess of \$100,000 be identified through DII as part of the budget submission. IT activities are defined in 3 V.S.A. §2222(a)(10). DII's Enterprise Project Management Office (EPMO) will solicit this information from your Departments in October. It is critical that each and every IT activity that is valued in excess of \$100,000 is clearly identified. Budget requests for IT funding that were not included in DII's unified presentation of IT costs risk not being approved. The detail required by DII includes:

1. **IT Activity Name:** The name given to an IT Activity. Based on State statute, an IT Activity may be an on-going IT maintenance activity or an IT project (which is a temporary endeavor undertaken to implement a unique product, service or result).
2. **IT Activity Description:** A brief ("elevator pitch") description of the IT Activity.
3. **IT Activity Business Lead:** The name of the lead person on this IT Activity. This person should be very familiar with the project/IT Activity details.
4. **IT Activity Phase:**
 - For IT projects, list the current project phase:
 - **Exploration:** In the idea stage of the project and you're exploring alternatives.
 - **Initiating:** Beginning to define high-level objectives and are looking to commit to a project.
 - **Planning:** Actively planning the project, including creating detailed business requirements, performing procurement activities (RFP or contract) and developing a project plan/schedule.
 - **Execution:** A project team is executing a project plan and the project manager is monitoring scope/schedule/budget.
 - **Closing:** The project is wrapping up, go-live is complete, and support is being transitioned to operations.
 - For on-going IT maintenance (i.e., not a project) list **Maintenance** as the IT Activity Phase.
5. **IT Activity Type:**
 - If it's an IT project, list the type:
 - **New Technology:** Implementing a brand new technology for either a new service or for a service that is currently manually provided.
 - **Replace Existing Technology:** The current system is being replaced with something new.

- **Upgrade Existing Technology:** Features, functionality and/or enhancements are being added to an existing system.
 - **Other:** The project doesn't fit into any of the above descriptions.
 - If it's on-going IT maintenance (i.e., not a project) list **Maintenance** as the IT Activity Type.
6. Indicate how the **IT Activity aligns with the goals of the FY 2015 - FY 2018 IT Strategic Plan: Modernization, Effective Operations, Sustainability, Productivity Improvement or New Solutions Partnering with Other Agencies.**
7. Provide **Five Year Cost Information** for each IT Activity broken down by Implementation versus Operating costs (see definitions below chart), as well as funding source (i.e., are you using State or Federal money to fund your IT Activity or if it's both what is the percentage split?). Here is a visual of the cost information being requested:

FY 15 Costs	FY16 Costs	FY17 Costs	FY18 Costs	FY19 Costs
Implementation: \$	Implementation: \$	Implementation: \$	Implementation: \$	Implementation: \$
Implementation Funding: % State: % Federal: % Other:	Implementation Funding: % State: % Federal: % Other:	Implementation Funding: % State: % Federal: % Other:	Implementation Funding: % State: % Federal: % Other:	Implementation Funding: % State: % Federal: % Other:
Operating: \$	Operating: \$	Operating: \$	Operating: \$	Operating: \$
Operating Funding: % State: % Federal: % Other:	Operating Funding: % State: % Federal: % Other:	Operating Funding: % State: % Federal: % Other:	Operating Funding: % State: % Federal: % Other:	Operating Funding: % State: % Federal: % Other:

Implementation costs are the one-time project costs (that can span across multiple fiscal years) to get that IT Activity up and running (e.g. implementation/installation costs, hardware, software licenses purchased as part of the installation, project management or other contracted resources, and the State labor implementation costs).

Operating costs are the on-going costs of performing that IT Activity (e.g., annual maintenance fees, software and hardware costs, licensing fees, hosted cloud provider fees, and labor costs).

8. Indicate if the IT Activity **generates Revenue** for the State.
9. Provide an **explanation for any expected increases in the cost of the IT Activity from FY 2015 to FY 2016** (i.e., will more be spent on this IT Activity in the upcoming fiscal year than in the current one).

Indicate if this IT Activity will be **included in the FY16 budget submission**.

If you have questions about whether an activity or project for which funds will be expended meets the criteria to report those projects to DII, contact DII Commissioner Richard Boes at 828-4141, or Deputy Commissioner Darwin Thompson at 828-1142.

Please note, in constructing budget detail submissions, it is not appropriate to budget IT contracting in 507600 - Other Contracts and 3rd Party Services. Use a specific IT-related account.

8. New positions:

Only those requests for new positions for which the requesting department has existing or available base funds to support the position will be considered. Your request for new positions must include the formal title of the position, fund source, position type (limited service, classified, exempt), estimated cost (personnel and operating), and detailed justification. For multiple position requests, please prioritize the positions within your department or agency.

9. Budget Development Form and Interdepartmental Transfer / Federal Receipts Form:

32 VSA §307(b) requires as part of the budget submission detailed information concerning:

- (1) The specific special funds used as receipts in the budget.
- (2) Explanations of interdepartmental transfers, including which department is the source. **If your funding is reliant on interdepartmental transfers, be sure to coordinate with the source department.** Do not assume that both departments have the same expectations. Written funding agreements are recommended.
- (3) Budgeted positions.
- (4) Changes in program funding levels and associated policy changes in the requested budget.

Vantage is configured to meet all four of these requirements; however, departments are responsible for the accuracy of their Vantage entries, and any supplementary, summary, or explanatory information, including the Budget Development Form. Documentation on Interdepartmental Transfers Receipts and Federal Receipts are now generated by departments from the Vantage system.

A blank template "Budget Development Form" to illustrate changes from your FY 2015 appropriation to your FY 2016 request is attached as Attachment B. This is the form to be submitted as part of the exercise.

10. Grants, gifts, loans, things of value:

32 VSA § 5 requires that **all new grants, gifts, loans or things of value** with a value over \$5,000 received by the State must be accepted in accordance with the statutory procedure requiring submission to the Joint Fiscal Office through the Governor. (Form AA-1 is the administrative vehicle for this submission.) **Including these items in the budget is not a substitute for this process.** However, once duly accepted, grants (on-going revenues and expenditures) should be budgeted in subsequent years.

Please note that items of \$5,000 or less may be accepted, with notice to the Secretary of Administration and the Joint Fiscal Office (see 32 VSA Sec 5(a)(3)).

B. FY 2015 Budget Adjustment:

The budget adjustment process may be considered for extraordinary needs that we have not already identified, and for internal funding changes that cannot be accommodated by administrative means (i.e., appropriation transfers, excess receipts, etc.). There is limited capacity this year to deal with expenditure increases in the FY 2015 budget adjustment.

For development of the Governor's recommended FY 2015 Budget Adjustment bill, we will utilize the July 24, 2014 revenue forecast approved by the Emergency Board. Further adjustments to the FY 2015 Budget Adjustment proposal may be necessary based upon any revisions to the consensus revenue forecast by the Emergency Board at its January 2015 meeting.

The first recourse in solving current-year budget issues is to redirect resources within your existing funding. Please bring to our attention any significant issues that will be handled in this way, identifying the problem and a solution, and whether Budget Adjustment action (e.g., transfer of funding between appropriations) is required.

Any requests for additional General Fund spending will be subject to a very high standard of necessity. Prior to consideration of a request, the requesting department's budget will be reviewed by Budget & Management to ascertain why the budget adjustment need developed, and whether other factors exist with the department's current-year spending pattern that could mitigate the need for the request.

As noted above, we may be using the Budget Adjustment for funding and programmatic changes that can be implemented prior to FY 2016. Please bring to our attention any opportunities to trim funding, reduce or restructure and eliminate program activities in FY 2015, to ease the transition to reductions required by the funding constraints of FY 2016 and future fiscal years.

Notification of budget adjustment proposals should include a description of the causes of increased or decreased expenditures or receipts, the related actions already taken to contain increased spending, and the proposed remedy. A request should cite all specific sections of the FY 2015 Appropriations Act that are affected and include draft language of the changes required.

Requests for inclusion in the Budget Adjustment must be submitted electronically to the Governor, through the Secretary of Administration using the mail folder adm-budget@state.vt.us by October 10, 2014. Responses must be approved by the Commissioner or the exempt head of your Agency, Department or Office.

Finance and Management encourages requests for transfers of appropriations or expenditure of "excess receipts" that can be anticipated, which (1) represent on-going expenditures that have repeatedly been handled as excess receipts; or (2) for large amounts, be presented for the FY 2015 Budget Adjustment. While administrative solutions (i.e., approval by the Commissioner of Finance & Management) remain available for such items that cannot be predicted, Finance and Management wants to utilize the Budget Adjustment more fully for the review and approval process and most certainly for sizeable and potentially controversial transfers or increased expenditures.

As noted above, new grant receipts (e.g., federal grants) should be submitted for approval per 32 VSA § 5. They will be sent to the Joint Fiscal Committee separately; **do not include them in the Budget Adjustment as proposed changes to appropriations.**

C. Executive Fee Bill

In the 3-year cycle, the focus of the Executive Fee Bill this year will be on Human Services and Agency of Natural Resources. Other than for emergency situations, only these areas of State government will be considered for inclusion in the Fee Bill. Changes in fee legislation might include: new fees, changes to existing fees, reauthorization or termination of fees, re-designating the funds into which the fees are deposited, and clarifications in current statutory authorities to charge and retain fees. Any changes proposed should be designed so that no additional adjustments would be needed at least for three years, when the opportunity to change fees will again occur.

Fee changes should be consistent with budget proposals and any fee changes that would create differences from revenue projections based on current fee or charge structures need to receive specific approval from Finance and Management.

Please be sure that ALL fee change proposals are forwarded to Finance and Management office for inclusion in the Fee Bill, even if the associated programmatic changes were to occur in different pieces of legislation. They may ultimately be rejoined in other legislation, at the Legislature's discretion.

Proposals should cite the existing statute, showing exactly how it needs to be changed, and provide a strong rationale for the necessity of the change. Any revenue impact should also be clearly shown.

32 V.S.A. §605(d)(2) specifies the justifications deemed acceptable in support of fee requests, and which should accompany the requests. The prime consideration is an analysis or discussion of the relationship between the revenue to be raised by the fee or the change in the fee, and the cost or the change in the cost of the service, product or regulatory function supported by the fee. The underlying premise is that, normally, fees are tied to costs of service; other justifications may be advanced, but they must be clearly supported and grounded in policy considerations. Please contact your Budget Analyst at Budget & Management to discuss any such rationales.

The Legislature has asked that proposals for the Fee Bill be prepared using a specific electronic format which we will send on request. (Contact Aimee Pope at: aimee.pope@state.vt.us to request the format.) **Please submit your proposals to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us) by October 10, 2014.**

D. Miscellaneous Tax Bill

Budget submissions should clearly identify legislative proposals that have tax implications. The submission should include a description of the proposal, a revenue estimate if known, whether an agency or a department intends to advance the proposal as part of the Miscellaneous Tax Bill or a separate piece of legislation, and the appropriate contact person at the department. This information will be used to ensure that proper revenue estimates are provided by the Tax Department to the Department of Finance & Management, and ensure the Tax Department is aware of and understands all tax proposals prior to their submission to the Legislature. **Please submit these proposals electronically to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us). Upon submission, tax proposals should be clearly labelled as such. If you would like to discuss proposals, please contact Mary Peterson, Tax Commissioner, at 828-3763.**

E. Appropriations Bill Narrative

Please closely review the verbiage associated with your appropriations or programs in Act 179 of the 2014 session and identify to us any **necessary** changes that **must** be made in order to implement your department's budget plan as part of the FY 2015 Budget Adjustment and/or the FY 2016 Appropriations Bill. The best way to communicate these changes is to return a copy of those portions of Act 179, marked up for any deletions, additions, or changes. It is your responsibility to be aware of language from other bills in prior years which may need modification.

Please submit your marked-up narrative portions to your Budget & Management Analyst by **October 10, 2014 for Budget Adjustment language changes and by **December 12, 2014** for FY 2016 Big Bill language.**

F. Self-Assessment of Internal Controls Scorecard:

The Commissioner of Finance and Management will be requesting an update on the status of compliance with Administrative Policies and Procedures. See below from the Self-Assessment of Internal Controls.

IMPORTANT: New Requirement for Metric #3 - Compliance with Administrative Policies and Procedures

For each item (*if any*) of non-compliance (i.e., 'NO' response to any of the 58 questions pertaining to Administrative Policies and Procedures) – **If substantive compliance is not achieved by October 31, 2014, then a written corrective action plan must be submitted by the department's appointing authority to the Commissioner of Finance & Management by December 1, 2014.** For each non-compliance item, the plan must specify: (1) **expected date** that compliance will be achieved, (2) summary of **key steps** to be taken to achieve compliance, and (3) **contact information** for the responsible person(s).

A corrective action plan is not required if compliance is attained by October 31st.

[Budget Development Timetable follows on next page.]

G. FY 2016 Budget Development Timetable

The following set of dates may help in planning tasks in the development of the FY 2016 budget and the FY 2015 budget adjustment. Dates are for planning purposes only and are subject to change; you will be notified of any changes in due dates.

	Due Date	Deliverable Description and Comments
Calendar Year 2014	Now	Vantage Budget System opens for field departments' development of current services budget, as training is completed.
	Sept. 12	FY 2016 Budget Instructions Issued.
	Oct. 10	Summary responses to targets submitted electronically to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us).
	Oct.10	Summary proposals for FY 2015 Budget Adjustment requests submitted electronically to the Governor, through the Secretary of Administration using the mail folder (adm-budget@state.vt.us), including any language changes necessary for the Budget Adjustment.
	Oct. 10	Executive Fee Bill requests due in electronic format with accompanying statutory changes and justifications.
	Mid-December	Governor's Budget Adjustment Recommendations compiled and prepared – to be presented to the fiscal committees when the legislature convenes in January.
	Mid-December	Final targets issued by Budget & Management. Vantage entries to be finalized promptly thereafter.
	Dec. 12	Narrative sections of Appropriations Bill due at Budget & Management.
CY 2015	Jan. 7, 2015	"The General Assembly shall meet biennially on the first Wednesday next after the first Monday of January." (VT Constitution, Chapter II, Section 7).
	TBD – approx mid-Jan.	Exec Budget Book goes to BGS Print Shop.
	TBD - no later than Jan. 27	Governor's budget address (by 3rd Tuesday of the session - 32 VSA §306(a)).
	TBD	Exec Budget Book distributed at budget address. Big Budget Book posted to Finance & Management's website.
	Jan. 15 (on or about)	Emergency Board revenue estimate (32 VSA §305a).
	1 week prior to testimony	All budget materials, including Vantage and supplemental materials, to Appropriation Committees, with copy to Budget & Management.

Vermont Strong Scholars Interim Report

Prepared by Deputy Secretary Lucy Leriche
November 1, 2014

Sec. 48. VERMONT STRONG INTERIM REPORT

On or before November 1, 2014, the Secretary of Commerce and Community Development shall report to the Joint Fiscal Committee on the organizational and economic details of the Vermont Strong Scholars Initiative, including:

- (1) the economic sectors selected for loan forgiveness;
- (2) the projected annual cost of the Initiative,
- (3) the proposed funding sources;
- (4) programmatic proposals and economic projections on the feasibility and impacts of expanding eligibility for the loan forgiveness program to include Vermont residents who attend postsecondary institutions outside Vermont and out-of-state residents who attend Vermont postsecondary institutions; and
- (5) the projected balance of the Vermont Strong Scholars Fund for each fiscal year through fiscal year 2018.

Background

Vermont Strong Scholars was passed in the 2014 Legislative Session. Students who meet the eligibility requirements can have their final year (four year degrees) or final semester (Associate's Degrees) paid back through forgiveness of their VSAC Vermont Advantage Loan. To launch the program, eligible professions have been chosen. A discussion of the professions and process follows. This can be expanded or contracted based on available funds and the success of the program.

Policy Objectives

- Help Vermont students afford college
- Encourage students to pursue disciplines in high demand, high skill, and high wage professions
- Link students to Vermont employers
- Support VT colleges and universities
- Encourage students to work and live in Vermont after graduation

Eligibility Requirements

- Vermont Resident
- First-time college student
- Full-time college student (finish Associates Degree in no longer than 3 years and four-year degree in no longer than 5 years)
- At UVM, a Vermont State College, or a VT Independent College
- Graduating in an eligible major as determined by ACCD for two and four-year degrees

- Remains in Vermont to work after graduation
- Works in an eligible sector as defined by ACCD
- Has a VSAC Vermont Advantage private loan

(1) Economic Sectors

Courses of study were chosen in consultation with the Commissioner of Labor, Secretary and Deputy Secretary of Education, the Secretary of Human Services, the Vermont State Colleges, the University of Vermont, and the Vermont Student Assistance Program. While the legislation specifically asks for economic sectors, the group, after much discussion, came to the conclusion that it is preferable to choose courses of study and /or professions over sectors, to provide clarity for students and funding certainty for the program. In addition, there are no sectors that have uniformity of skills and educational background. For example, Tech companies might have nontechnical administrative or other staff, or hospitality sector companies could have network administrators or web designers or others with technical skills..

Methodology

The Agency of Commerce and Community Development (ACCD) selected majors by matching fields of study with occupations based on information received from local Vermont businesses, the Agency of Education (AOE), the Vermont Department of Labor (VDOL) and post-secondary educational institutions. ACCD prioritized the selected occupations based upon the Agency's focus on the traditional economic development strategy of growing base industries. Base industries have a high level of export activity because much of the products and services generated are for out of state customers or clients. As a result, these companies import money and grow the local economy – a priority strategy for state economic health. . The selected occupations and their corresponding fields of study are also designed to support existing Vermont businesses and their stated need to fill positions. Majors were chosen with three criteria in mind: high skill, high demand, and high pay.

Courses of Study

Associates and Bachelors Degrees in:

- Electrical and Mechanical Engineering and
- Computer Science and Software Development

(2) Cost estimates

Please see attached spreadsheet outlining the cost estimates for the program assuming 384 students a year (134 Associates/250 four-year degree), which are consistent with estimates discussed as this proposal moved through the legislature.

- Loan forgiveness is for tuition only (not room and board) and is tied to the VSC base in-state tuition rate (\$8,928 for four-year degrees, \$5,411 for two-year degrees)
- VSAC will administer this program at no cost, as it already collects and maintains relevant information including addresses and employment info for students
- VSAC can administer this program through loan forgiveness as the vast majority of VT students receive a private VSAC loan of \$8,000 or more

If a graduate moves out of Vermont during the payback period, loan forgiveness ceases but the graduate does not need to pay back the loan forgiveness he or she has already received

(3) Proposed Funding Sources

As noted in the attached spreadsheet, the funding needs for this program do not begin until FY18, and then ramp up from an initial, modest level of funding to a projected stable funding of about \$3.7 million by FY24. Therefore, the legislature and the administration have over two budget years to secure appropriate funding, beginning with relatively small amounts in the first few years of the program.

- VSAC is an enthusiastic partner and is permitted to target some federally mandated annual loan forgiveness around the parameters of this program to share costs. VSAC expects its contribution will be approximately \$100,000 per year.
- VT businesses are interested in sponsoring students through this program as well, which will help expand it to more students and/or reduce costs to the state. As a next step in developing this program, the Agency and its partners will approach businesses for this purpose.
- No money will be needed until the beginning of 2018, the third year after establishing the program, when the first group of Associates enrollees completes the program. The funding needs then ramp over five years, at which time they level off when the program reaches full capacity. This allows time for ACCD to work with the legislature to identify a sustainable source of funding as the costs increase incrementally.
- By FY18 when the small amount of initial funding is needed, the program may be funded through a line item appropriation from the General Fund, and/or using strategies from other funding sources as agreed upon by the legislature including:
 - Workforce Education and Training Fund
 - Higher Education Trust Fund
 - Other allocated special funds

(4) Expanding Eligibility

During the legislative debate, programmatic costs and expectations were discussed and developed. To keep in line with those expectations, our present assessment is that it is not feasible to expand the program to include Vermont residents who attend postsecondary institutions outside of Vermont and out-of-state residents who attend Vermont postsecondary institutions due to cost. As a matter of fiscal prudence, we have made conservative assumptions when budgeting for this program, therefore this assessment might change if greater private support is secured or other undying assumptions prove too conservative.

(5) Balance of the Fund through FY18

As noted in the attached spreadsheet and Section 2 of this report, funding for this program will

not begin until FY18, when it will cost an estimated \$229,542. Of that total, \$100,000 will be covered by VSAC targeting their federally mandated loan forgiveness.

Vermont Strong Scholarship

Estimate of Costs: AS graduates = 134 per year; BA graduates = 250 per year

Schedule, Cohort 1			Cohort 1	Cohort 2	Cohort 3	Cohort 4	Cohort 5	Cohort 6	Cohort 7	Cohort 8	Total by FY
AS	BA										
Sch Yr 1	Sch Yr 1	FY16									0
Sch Yr 2	Sch Yr 2	FY17									0
Bene Yr 1	Sch Yr 3	FY18	\$229,542								\$229,542
Bene Yr 2	Sch Yr 4	FY19	\$229,542	\$236,428							\$465,970
Bene Yr 3	Bene Yr 1	FY20	\$774,738	\$236,428	\$243,521						\$1,254,688
	Bene Yr 2	FY21	\$545,196	\$797,981	\$243,521	\$250,827					\$1,837,525
	Bene Yr 3	FY22	\$545,196	\$561,552	\$821,920	\$250,827	\$258,352				\$2,437,847
	Bene Yr 4	FY23	\$545,196	\$561,552	\$578,399	\$846,578	\$258,352	\$266,102			\$3,056,179
	Bene Yr 5	FY24	\$545,196	\$561,552	\$578,399	\$595,751	\$871,975	\$266,102	\$274,085		\$3,693,061
		FY25		\$561,552	\$578,399	\$595,751	\$613,623	\$898,134	\$274,085	\$282,308	increases
		FY26			\$578,399	\$595,751	\$613,623	\$632,032	\$925,078	\$282,308	3% annually
		FY27				\$595,751	\$613,623	\$632,032	\$650,993	\$952,831	
School years		FY28					\$613,623	\$632,032	\$650,993	\$670,523	
Benefit years		FY29						\$632,032	\$650,993	\$670,523	
		FY30							\$650,993	\$670,523	
										\$670,523	

Total by Cohort: \$3,414,608 \$3,517,047 \$3,622,558 \$3,731,235 \$3,843,172 \$3,958,467 \$4,077,221 \$4,199,537

Vermont Strong Scholarship

Calculation Worksheet

		Tuition Estimates			
		Year 1	Year 2	Year 3	Year 4
VSC Tuition	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
Castleton	\$9,768	\$10,061	\$10,363	\$10,674	\$10,994
Johnson	\$9,600	\$9,888	\$10,185	\$10,490	\$10,805
Lyndon	\$9,696	\$9,987	\$10,286	\$10,595	\$10,913
Average	\$9,688	\$9,979	\$10,278	\$10,586	\$10,904

Annual Tuition increase: 3%

Forgiveness estimate:

Estimate 1: assumes all graduates are eligible for loan forgiveness

Number of graduates: AS = 134; BA = 250

AS Degrees:

\$10,278 Tuition estimate, FY2016-2017

\$5,139 One-half of estimated Tuition Year 2

134 Estimated number of AS digress

\$688,626 Total AS forgiveness estimate

\$229,542 Annual AS amount to forgive (Total will be given over 3 years)

BA Degrees:

\$10,904 Tuition estimate, FY2016

250 Estimated number of BA degrees

\$2,725,982 Total BA forgiveness estimate

\$545,196 Annual BA amount to forgive (Total amount will be given over 5 years)

\$3,414,608 Total AS + BA forgiveness estimate

\$774,738 Annual amount to forgive (AS over 3 years, BA over 5 years)

Preliminary Timeline for Vermont Strong Scholars Operation Plan

2014-2015

- Identify critical need occupations for first cohort of borrowers who will be seeking loan forgiveness
- Determine estimated cost of program and identify reliable funding sources
- Develop high level Vermont Strong Scholars (VSS) Operational Plan
- Develop Marketing Plan

2015

- Begin Marketing

2015-2016 – 1st year students enroll in programs of study

- Develop application to collect student level information
 - Residency at graduation
 - Current residency
 - College Attended
 - Start date
 - Graduation date
 - Employment – job title and sector
 - Date began Employment
- Develop annual verification process
 - Continued employment in designated occupation
 - Continue to live in Vermont
- Develop forgiveness procedures
- Develop communication with borrower

2016-2017 – 2nd year students may complete AS degrees and begin seeking jobs

2017-2018 – Final year for AS students who started in 15-16 to complete AS program and third year of enrollment for students in BA programs. First year that AS students can begin to receive loan forgiveness disbursements

- Implement application
- Collect data from recent AS graduates
- Prepare for first loan forgiveness disbursement

2018-2019 4th year of enrollment for students in BA programs

- Launch annual verification process
- Continue loan forgiveness disbursements for AS recipients

2019-2020 – Prepare for first loan forgiveness disbursement for BA recipients and final year of loan forgiveness for students who completed AS in spring of '17.



Vermont Student Assistance Corporation

10 East Allen Street • PO Box 2000 • Winooski VT 05404-2601
802-655-9602 • Fax 802-654-3765 • TDD 800-281-3341
www.vsac.org • info@vsac.org • Toll-free 800-642-3177

October 31, 2014

Lucy Leriche, Deputy Secretary
Agency of Commerce and Community Development
1 National Life Drive # 6
Montpelier, VT 05620

Re: Act 199 (2014) "Vermont Strong" Study Committee Report

Dear Lucy:

We write to outline the legislative changes that may be in order to clarify some pieces of the "Vermont Strong" portions of Act 199, i.e., 16 V.S.A. sec. 2888. Those changes are:

1. Clarify that eligible students are those first entering college in FY 2016.
2. Clarify that the loan forgiveness benefits are subject to funds appropriated for that purpose.
3. Change "economic sectors" to "occupations," consistent with the study committee's research and discussions.
4. Clarify whether a graduating student who takes a job on the list of qualified occupations must stay in that job for some minimum period (e.g., one year) to receive a loan repayment benefit.

As we continue to explore the relatively complex operational challenges of this program (involving the participation of The Agency, the Department of Labor, VSAC, and possible the Department of Taxes), we may identify additional areas where revised or new legislation will be critical to the success of the program.

It is possible that some of these clarifications could be achieved through a rule-making process or the adoption of processes or procedures. We would want to be assured about that and thus we recommend starting out with the assumption that legislation is needed.

Please contact me with any questions.

Sincerely,

Thomas A. Little
Vice President & General Counsel

cc: Ally Richards

Theresa Utton

From: Daniel Dickerson
Sent: Thursday, November 06, 2014 1:22 PM
To: 'janetancel@earthlink.net'; Tim Ashe; Carolyn Branagan; Campbell, John (vt13@aol.com); Heath, Martha (mpheathvt@gmail.com); Mitzi Johnson; Conor T. Kennedy; janek45@hotmail.com; Sears, Richard (senator6@hotmail.com); David Sharpe; Snelling, Diane (dbsnelling@aol.com); Dylan Giambatista
Subject: Grant request JFO #2716
Attachments: JFO 2716 packet.pdf

Hello Joint Fiscal Committee members,

Please find attached one (1) item for your review. This item has been placed on the agenda for your meeting on November 12, 2014 and a representative from the Agency of Transportation will be on hand to answer any questions that you might have. Please feel free to contact me if you have any questions prior to that date.

A short summary follows. Thank you

JFO #2716 – Donation of drainage improvements, land, a conservation easement, and right-of-way access (estimated value: \$425,000) from New England Waste Services of Vermont (NEWSVT) to the Agency of Transportation (AOT) for the Newport State Airport. The purpose of this grant is to support the Northern Hangar Project and other future development at the airport to include runway and apron extension, as well as clearing of obstructions. This donation is in addition to one previously approved by the JFC in September 2013 and is a condition for permits from the Agency of Natural Resources and the Army Corps of Engineers. AOT will be providing NEWSVT with some technical assistance and adjustments to aviation easements for expansion of the nearby Coventry landfill facility.
[JFO received 11/05/14]

Daniel Dickerson
Fiscal Analyst
 Legislative Joint Fiscal Office
 One Baldwin Street | Montpelier, VT 05633-5701
 802.828.2472

Joint Fiscal Office

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MEMORANDUM

To: Representative Martha Heath, Chair,
Senator Jane Kitchel, Vice Chair,
Members of the Joint Fiscal Committee

From: Stephen Klein, Chief Fiscal Officer

Date: November 6, 2014

Subject: November 2014 – Fiscal Officers' Report

What follows is an update of developments, some of which will be on the agenda for the November Fiscal Committee meeting:

1. FY 2015 Revenues - The General Fund - After the first four months of the fiscal year, revenues are down \$11.9 million. For a number of reasons, this understates the level of revenue risk.

- Personal income tax is down \$14.9 million, or 6.3%. Withholding and refunds are large contributors to this shortfall. If these trends continue, the revenue shortfall for FY 2015 and beyond could be larger. As requested at the last Joint Fiscal Committee (JFC) meeting, the Administration and Joint Fiscal staff met to begin the process of ascertaining the reason for this revenue miss. The Tax Department has been pulling some data for Jeff Carr and Tom Kavet to review and we hope to have more information in the next few weeks. Jeff and Tom have been heavily involved in bringing the REMI model up to operational capacity for Health Care impact analysis which has prevented quicker action on the revenue front.
- Sales tax and meals and rooms tax are above forecasts. Both are about 3% over target, which is good. Sales tax is up \$2.5 million while meals and rooms tax is up \$1.6 million. However, these revenue sources represent a smaller share of the total General Fund.
- Corporate revenue is an interesting case. Corporate revenues are tracking 20% over forecast, or up \$4.5 million YTD. However, there is considerable risk in corporate revenues. With the pending sale of IBM to Global Foundries, the impact on corporate tax revenues may be substantial. With water's-edge unitary taxation, Vermont has benefited from IBM corporate profits. It is not clear that Global Foundries will produce the same level of profit and corporate tax revenues that IBM did.
- The estate tax is difficult to estimate and does not lend itself to monthly targets. If it were to come in monthly, we would have expected \$5.5 million more YTD so it is something of a wild card in forecasting.

2. FY 2015 Revenues - The Transportation Fund - The Transportation Fund is \$1 million, or just over 1%, above YTD targets. A slight shortfall in gas tax revenue is offset by ups in purchase and use tax, diesel tax, and fees.

3. FY 2015 Revenues - The Education Fund - The Education Fund is up \$500,000, or just less than 1%, above forecast. Sales tax and purchase and use tax overages make up for lottery receipts being 19%, or \$1.2 million, below target. Lottery receipts are irregular as to the month they are received so it is premature to worry about any fall off.

4. FY 2016 Budget Gap. Using the existing revenue estimates, we currently project a budget gap of approximately \$100 million. If FY 2015 revenue receipts continue to come in below expectations, the forecast change is likely to result in reduced FY 2016 projected revenue. This would lead to the budget gap being larger. The key budget pressures include: reliance on one-time resources; retirement and retiree health care obligations; Pay Act costs and roll out of last year's increases and employee health care costs; Human Service demands, including Medicaid, and reductions in federal health care funding (FMAP and ACA-related reductions); Education Finance funding; Debt Service; ongoing technology funding needs, and the need to strengthen reserves. We expect to have a document outlining the gap at the meeting.

5. Medicaid - The FY 2016 Medicaid funding need makes up approximately 35% of the budget gap and will need to be addressed. These pressures include decreased revenues including: decreased tobacco funds of \$4.5 million; a base FMAP funding reduction and the partial phase out of the ACA bump totaling \$21 million. Increased spending demands including the second half of Exchange operation funding estimated at \$5.3 million; added caseload and utilization of \$14 million. There is revenue offset from New Adult FMAP funds estimated at \$10.3 million. There is no assumed increase in provider payments; ACO payments or Blueprint funding.

6. Education Outlook - Mark Perrault, Deb Brighton, and the Secretary of Education are completing their financial analysis to enable the Commissioner of Taxes to write her annual letter regarding the Education Fund financing needs and subsequent tax rates. At present, early estimates indicate that the shortfall could result in 4 or more cents added to the statewide tax rate. Overall, education spending is projected to increase by about 3.9%. A large share of the increase is due to pre-K costs being much higher than anticipated. When the Legislature made the eligibility for pre-K services portable, this dramatically increased usage. Mark Perrault will provide more information on this in the weeks ahead as the numbers solidify.

7. Health Care Economic Analysis - As we move to increase capacity to understand the economic impact of health care reform, the Administration and our office are expanding the current capacity of the REMI model. REMI is designed to model economic impacts of major economic changes. The added capacity, called REMI Tax-PI, is a new tool for evaluating the total fiscal and economic effects of tax policy changes. As proposals take shape, for changes in taxes as an alternative to pay for health care, this modeling gives us the capacity to understand the tax fiscal impacts. Tom Kavet and Joyce Manchester are the two consultants/staff who are leading the JFO work on the REMI model. Sara Teachout is also involved. Jeff Carr represents the Administration. The impact of health care finance analysis looms large on our capacity to do other fiscal work.

8. Below Market Leases – Chittenden Unit for Special Investigations (CUSI) lease and below market leases generally - Last session the Legislature passed language in section E.112

of the Appropriations Bill (Act 179), specifically allowing continuation of a below market lease for the Chittenden SIU. As Commissioner Obuchowski updated this lease, he identified and brought to our attention that 29 V.S.A. §165(h), which governs leasing of property for less than market value, has not been historically followed. The provision was put in place in 1995. It was originally passed as part of the Capital bill - 1995, No. 185 (Adj. Sess.), § 43.

29 V.S.A. §165(h) governs leasing of property for less than market value. Subdivision (1) allows leases by the Commissioner of BGS for less than market value for periods of up to three years to municipalities, nonprofit organizations, school districts, or to persons whose proposed activities are determined by the Commissioner to serve a public purpose. Below market leases beyond three years, or renewals of existing leases, can only be made with the approval of the Joint Fiscal Committee under 29 V.S.A. § 165(h)(2). As a result of this provision, the Commissioner is carrying out three activities:

- First, BGS staff is identifying and inventorying all below market leases that are in place. BGS is also identifying and inventorying other arrangements through which non-State entities occupy State-owned space at below market rates.
- Second, since recognizing the JFC approval requirement, no new below market leases or extensions have been approved or negotiated.
- Third, the provision and inventory of leases will be brought to the Institutions Committees with any suggestions. The changes might propose notice rather than approval, or possibly involve a process similar to the current grant approval process.

9. Livable Wage Estimates - The Committee will be asked at the November meeting to review changes to the basic needs report methodology. Sara Teachout and Dan Dickerson have been meeting with advocates and others to discuss changes to the existing methodology. There will be some small technical changes as well as a change due to the advent of the ACA for Committee consideration. A separate memorandum will be distributed outlining these issues.

10. Joint Fiscal Office Updates

- **Nathan Lavery:** As you know, Nathan Lavery has left us for the wilds of the Burlington School District. He is the Finance Director for the schools and is responsible for developing its budget. Given the time of year, we are replacing him, in part with Dan Dickerson who has been working with Sara Teachout and, in part with other staff who will be taking on additional responsibilities. We may also contract for assistance in some of the areas he covered, such as Results First. We will assess our need and plan for a longer term solution at the end of the session.
- **Special Education/Paraprofessional Use Contract** – The contract with the UMass Donahue Institute (UMDI) is under way and a major statewide survey is about to occur. Several site visits have been scheduled concurrent with the survey. With the survey being sent to school districts, their awareness of JFO/AOE and UMDI work on reviewing the use of paraprofessionals should increase. The Secretary of Education and her staff have been part of this research effort and will be supportive participants.

- **Health Care Incidence Study** – The RAND Corporation team is working on the health incidence study. We expect a draft toward the end of November. We have been communicating with the Administration to increase the likelihood that it build its proposal on the RAND analysis. After considerable discussion and some review of the numbers, the Administration has agreed to use RAND's work in health care spending trend analysis from 2012 to 2017. We also expect that RAND work on case studies and impact analysis will be used by the Administration as it presents its analysis of the impacts of Green Mountain Care. The Joint Fiscal Staff continues to participate in weekly phone calls with RAND staff to ensure that data needs are met and coordinated to the extent that can be done.
- **The State House Security Contract** – The contractor has finished a preliminary first draft of the State House Security needs. The Lt. Governor chairs the Committee and will determine the release protocols for the document. For the staff, Catherine Benham is coordinating this project with Rebecca Wasserman of Legislative Council.
- **Kavet, Kappel, and Brighton Contracts have all been renewed for the coming year.** The Kavet contract now runs through September 30, 2015 and was last bid four years ago. Generally, five years is the longest we have gone without a re-bid. The Kappel and Brighton contracts have been extended and as these contracts are small, they are not subject to formal bidding.

11. Summer Study Committee Updates - Several summer studies have begun to meet or have begun to organize.

- **The Special Investigative Unit Study Committee** – This committee began to meet on July 24 and will have its final meeting on December 12th. A draft report is being prepared.
- **ANR Pilot Study** – A study of the formula used by PVR to calculate ANR's annual payment-in-lieu of taxes is being coordinated by Stephanie Barrett. A draft is being developed for the working group which should go out later this week. Stephanie has led this effort.
- **Renter Rebate Report** – Mark Perrault continues to work with the Vermont Housing Council, the Department of Taxes, and the Agency of Commerce and Community Development on a report of how to develop programs to assist renters in lieu of the current renter rebate program, per 32 V.S.A. § 6066(b). The report also calls for recommendations to make the existing program more effective.

A technical error in the Renter Rebate Education Fund appropriation occurred in the budget that was sent to the Governor and became Act 179 of 2014. A late change of the conference committee which adding back \$1.4 million was correct in the conference report but did not get carried in the version that the Governor signed. This could be addressed in the FY 2015 budget adjustment or through Emergency Board action.



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Daniel Dickerson, Fiscal Analyst
Date: November 5, 2014
Subject: 2015 Basic Needs Budget proposed methodology

In accordance with 2 V.S.A. § 505, the Joint Fiscal Office must report the basic needs budget (BNB) and livable wage on or before January 15 of each new legislative biennium. Any modifications to the existing methodology shall be approved by the Joint Fiscal Committee no later than November of the year preceding the release of the report. For the 2015 basic needs budget report, the Joint Fiscal Office has suggested five modifications to the methodology from the previous report. These suggested modifications stem in part from a public roundtable discussion that took place on October 8, 2014¹. The suggested changes are outlined below.

1. Health Care –

- a. Proposal Summary: The previous report did not include costs for those without employer-sponsored health insurance (ESI). The 2015 budget will provide estimates for Vermonters with ESI as well as for those who purchase individual market plans through the Vermont Health Connect (VHC). The livable wage will continue to be calculated using ESI.
- b. Rationale: The inclusion of those without employer-sponsored insurance was discontinued in 2008 because it was estimated that less than 1% of Vermonters were enrolled in individual plans. However, with the implementation of the Affordable Care Act (ACA) and the Vermont Health Connect (VHC), it is estimated that over 40,000 Vermonters will have enrolled in individual market plans through VHC in 2014, the majority of whom will likely be receiving some form of subsidy. As such, the report will take into consideration costs related to individual market plans sold through the exchange. It should be noted, however, that there are methodological complexities and numbers will be preliminary at best. In terms of determining premiums and out-of-pocket costs, JFO plans to use data from VHCURES, the Medical Expenditure Panel Survey (MEPS), and benefits package data from qualified health plans on the exchange.

¹ Participants: Ellen Kahler, Vermont Sustainable Jobs Fund; Doug Hoffer, Auditor of Accounts; Jack Hoffman, Public Assets Institute; Kari Bradley, Hunger Mountain Coop; Dan Barlow, Vermont Businesses for Social Responsibility; Deb Brighton, consultant; Steve Kappel, consultant; Sara Teachout, Nolan Langweil, and Dan Dickerson, Vermont Joint Fiscal Office.

2. Family Configuration –

- a. Proposal Summary: A sixth configuration is recommended, to be titled “Single w/ Shared Housing.”
- b. Rationale: This inclusion is suggested because data from the American Community Survey indicate that 10 – 15% of single Vermont residents between the ages of 20 and 50 may be living in shared housing, although the survey pool is small and there is no indication of the level of income of these individuals. The only difference between this configuration and that of “Single” would be that the costs for housing (2-bedroom apartment) and for household expenses would be halved.

3. Personal Expenses –

- a. Proposal Summary: The personal expense category would be expanded to each member of the household, not solely adults. Personal expenses are currently calculated as a “per diem” sum and are indexed to inflation for each biennial report. The additional personal expense for children would be calculated at one-half of the daily rate as that of adults.
- b. Rationale: The participants in the roundtable discussion felt that the category of Personal Expenses should reflect an expense for each member of the household, not solely adults. The rationale was that children needed at least some toys, books, etc. for healthy development and the best way to accommodate those types of expenses would be to extend personal expenses to children as well as adults. This will not impact the livable wage calculation as that calculation is not based on a family configuration.

4. Clothing & Household –

- a. Proposal Summary: Calculations for clothing and household expenses would once again be linked to household income rather than household configuration.
- b. Rationale: Expenses in Table 1500 of the 2013 Consumer Expenditure Survey (CEX) are derived from average household incomes that in some cases vary significantly from the approximate incomes in the BNB. The 2013 BNB report utilized the 2011 version of this table for calculating clothing and household expenses. The 2015 report would utilize different CEX tables in order to match clothing and household expenses more closely to household incomes. A table has been added below to show the differences between Table 1500 and the tables suggested to be utilized in the 2015 report.

<u>Comparison of Data for Clothing/Household Expense Calculations</u>			
Household Configuration	JFO Household Incomes for 2015 BNB report (approx.)	Annual Household Incomes/ Monthly Clothing & Household expenses (CEX Table 1500)	Annual Household Incomes/ Monthly Clothing & Household expenses (CEX suggested tables)
Single	~\$34,000	\$40,137/ \$162	\$32,292/ \$131 (Table 1400)
Single, 1 child	~\$55,000	\$35,012/ \$201	\$48,565/ \$193 (Table 1702)
Single, 2 children	~\$68,000	\$35,012/ \$201	\$60,151/ \$274 (Table 1600)
2 Adults, no children	~\$50,000	\$82,773/ \$277	\$55,386/ \$228 (Table 1702)
2 adults, 2 children	~\$85,000	\$97,441/ \$347	\$77,316/ \$282 (Table 1400)
2 adults (one working), 2 children	~\$65,000	\$97,441/ \$347	\$60,151/ \$274 (Table 1600)

5. Telecommunications –

- a. Proposal Summary: Shift the data source for calculating telecommunications expenses from Average Revenue per Unit (ARPU) data reported by telecom companies in SEC filings to a table from the Consumer Expenditure Survey (CEX) that reports on regional costs for telephone and Internet. For phone service, the expense will be the average between residential land-line service and cellular telephone service for residents in the northeast region
- b. Rationale: This BNB category consists of costs for phone service and Internet. The 2015 report would utilize table 1800 (Region of Residence) from the Consumer Expenditure Survey for computing telecommunications expenses. The reason for using the average between land lines and cellular is that there is still a mix of users of both services in Vermont and to highlight costs for only one or the other would be inaccurate. In Table 1800, Internet expenses are itemized under the category of “Other Household Expenses.” The previous method of calculating telecommunications expenses using ARPU was unreliable due to different companies reporting ARPU in inconsistent ways.

6. Dental –

- a. Proposal Summary: Use dental plans sold through the Vermont Health Connect as the proxy for the costs of dental insurance in the Basic Needs Budget.
- b. Rationale: Previous reports used the Northeast Delta Dental Voluntary Dental Benefit Options (Option #3) as the premise for premiums. That product has been discontinued.

The Joint Fiscal Committee will be expected to vote on these proposed modifications at its meeting on November 12, 2014.

State of Vermont

Department of Finance & Management
109 State Street, Pavilion Building
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Agency of Administration

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MEMORANDUM

TO: Joint Fiscal Committee
FROM: Jim Reardon, Commissioner
RE: Report on FY2015 Pay Act Allocations (per 3 VSA Sec 2281 (4))
DATE: November 10, 2014

Please find attached the report on distribution of the FY2015 Pay Act, along with these explanatory comments.

The FY2015 Pay Act appropriations for the Executive Branch are in 2014 Act 160 Sec. 9 (a)(1)(A) [\$7,150,580 General Fund] and Sec. 9 (a)(1)(B) [\$2,000,000 Transportation Fund]. The Judicial Branch is appropriated \$1,004,585 General Fund in Sec. 9 (b)(2)(A), and the Legislative Branch is appropriated \$180,000 General Fund in Sec. 9 (c)(1).

Of the GF amount described above, \$594,000 is committed to various non-salary items stipulated by the VSEA contract.

Please note that in all cases the agreed-upon FY2015 salary adjustments are being considered and addressed in the development of the proposed FY2016 appropriations. Final Pay Act transfers occur near the end of the fiscal year and may differ from transfers listed in the attached schedule.

I would be pleased to respond to any questions.

Attachment

cc: House and Senate Committees on Appropriations and on Government Operations

Footnote #1:

The methodology used in developing pay act requirements is as follows:

- Department pay act salary requirements (that is, the value of the FY2015 salary increases, both COLA and steps) are projected position-by-position for all employees on payroll at the start of FY2015. The pay act associated with budgeted overtime is also included, as is the value of the state share of benefits that attach to salary (FICA, retirement, life insurance, and LTD).
- The General and Transportation Fund share of the required pay act are derived from the FY2015 budget submissions, and adjusted for legislative actions.
- The costs of various non-salary contract items are stipulated in certain articles of the State-VSEA Bargaining Agreement.



FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need - Transp. Funds	Allocated Pay Act - Transp. Funds
1100010000 - Secretary of Administration	18,655.40			
1100020000 - Secretary of Administration	-			
1100030000 - Pay Plan Adjustment	-			
1100090000 - Secretary of Administration - Finance	-			
1100100000 - Sec. of Administration - Workers' Compensation Insurance	-			
1100110000 - Secretary of Administration - General Liability Insurance	-			
1100120000 - Secretary of Administration - All Other Insurance	-			
1105500000 - DII - communication and information technology	-			
1110003000 - Finance and management - budget and management	27,521.94			
1110006000 - University of Vermont	-			
1110007000 - University of VT - Morgan Horse Farm	-			
1110008000 - Vermont public television	-			
1110009000 - Vermont state colleges	-			
1110010000 - Vermont state colleges - allied health	-			
1110011000 - Vermont interactive television	-			
1110012000 - Vermont student assistance corporation	-			
1110013000 - Vermont council on the arts	-			
1110014000 - Vermont symphony orchestra	-			
1110015000 - Vermont historical society	-			
1110016000 - Vermont humanities council	-			
1110017000 - New England higher education compact	-			
1110020000 - Appropriation and transfer to education fund	-			
1110023000 - Geographic information system	-			
1110891301 - VSAC Non-Degree Grants	-			
1110891303 - VSC Dual Enrollment	-			
1115001000 - Finance and management - financial operations	-			
1120010000 - Human resources - operations	88,028.77			
1125000000 - Human resources - employee benefits & wellness	-			
1130030000 - Libraries	47,382.03			
1140010000 - Tax - administration/collection	413,091.76			
1140020000 - Payments in lieu of taxes	-			
1140030000 - Payments in lieu of taxes - correctional facilities	-			
1140040000 - Homeowner rebate	-			
1140060000 - Tax department - reappraisal and listing payments	-			
1140070000 - Use tax reimbursement fund - municipal current use	-			
1140330000 - Renter rebate	-			
1150100000 - Buildings and general services - administration	-			
1150300000 - Buildings and general services - engineering	-			
1150400000 - Buildings and general services - information centers	-			

FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need - Transp. Funds	Allocated Pay Act - Transp. Funds
1150500000 - Buildings and general services - purchasing	27,044.29			
1150800000 - Payments in lieu of taxes - Montpelier	-			
1160050000 - Buildings and general services - postal services	-			
1160100000 - Buildings and general services - copy center	-			
1160150000 - Buildings and general services - fleet management	-			
1160200000 - Buildings and general services - federal surplus property	-			
1160250000 - Buildings and general services - state surplus property	-			
1160300000 - Buildings and general services - property management	-			
1160350000 - Buildings and general services - all other insurance	-			
1160400000 - Buildings and general services - general liability	-			
1160450000 - Buildings and general services - worker's comp	-			
1160550000 - Buildings and general services - fee for space	-			
1200010000 - Executive office - governor's office	44,352.70			
1210001000 - Legislative council	74,552.57			
1210002000 - Legislature	25,794.31			
1210006400 - Legislative information technology	-			
1210900000 - Pay Act - Legislature	-			
1220000000 - Joint fiscal committee	35,893.87			
1230001000 - Sergeant at arms	10,386.26			
1240001000 - Lieutenant governor	4,494.45			
1250010000 - Auditor of accounts	8,844.51			
1260010000 - State treasurer	94,818.62			
1260160000 - State treasurer - unclaimed property	-			
1260980000 - Debt service	-			
1265010000 - Teachers retirement system administration	-			
1265020000 - Vermont state retirement system	-			
1265030000 - Municipal employees' retirement system	-			
1270000000 - State labor relations board	3,912.85			
1280000000 - VOSHA review board	-			
2100001000 - Attorney general	158,912.44			
2100002000 - Vermont court diversion	-			
2110000100 - Defender general - public defense	167,760.76			
2110010000 - Defender general - assigned counsel	509.00			
2120000000 - Judiciary	734,179.19			
2120950000 - Payact-Judicial Branch	-			
2130100000 - State's attorneys	206,192.42			
2130200000 - Sheriffs	83,274.23			
2130400000 - Special investigative units	-			
2140010000 - Public safety-state police	611,306.02			
2140020000 - Public safety - criminal justice services	135,947.53			
2140030000 - Public safety - emergency management	10,972.95			
2140040000 - Public safety - fire safety	17,756.39			

FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need - Transp. Funds	Allocated Pay Act - Transp. Funds
2140060000 - Public safety - administration	43,631.36			
2140070000 - Public safety - homeland security	-			
2140080000 - Public safety-radiological emergency response plan	-			
2150010000 - Military - administration	19,847.68			
2150020000 - Military - air service contract	7,049.49			
2150030000 - Military - army service contract	-			
2150040000 - Military - building maintenance	19,895.59			
2150050000 - Military - veterans' affairs	15,078.25			
2150891301 - National Guard Education Asst	-			
2160010000 - Center for crime victims services	-			
2170010000 - Criminal justice training council	27,183.14			
2200010000 - Agriculture, food and markets - administration	39,389.62			
2200020000 - Agriculture - food safety and consumer protection	65,569.08			
2200030000 - Agriculture - agricultural development	33,669.80			
2200040000 - Agriculture - labs, resources management and environmental	105,004.48			
2200891301 - Large Animal Vet Loan Forgiveness	-			
2200891302 - Working Landscape	-			
2200891897 - One-Time - Department of Financial Regulation	-			
2200891898 - SOA Management Savings	-			
2200891899 - SOA Position Savings	-			
2200891990 - Federal Funds Reduction	-			
2200891995 - Vermont Veteran's Home Review	-			
2200891996 - IRENE Recovery and Support ERAF	-			
2200891997 - FY2013 BAA Health Reduction	-			
2200891998 - Energy Efficiency	-			
2200891999 - LIHEAP	-			
2210001000 - Financial regulation - banking	-			
2210011000 - Financial regulation - insurance	-			
2210020000 - Financial regulation - captive insurance	-			
2210031000 - Financial regulation - securities	-			
2210040000 - Financial regulation - health care administration	-			
2210080000 - Financial regulation - administration	-			
2210891998 - AGO - Entergy Legal Expenses	-			
2230010000 - Secretary of state	-			
2240000000 - Public service - regulation and energy	-			
2250000000 - Public service board	-			
2260001000 - Enhanced 9-1-1 Board	-			
2280001000 - Human rights commission	8,891.54			
2300002000 - Liquor control - enforcement and licensing	-			
2300003000 - Liquor control - administration	-			
2300007000 - Liquor control - warehousing and distribution	-			
2310010000 - Lottery commission	-			
3150070000 - Mental health - mental health	-			
3150080000 - Mental health - Vermont state hospital	-			
3300010000 - Vermont veterans' home - care and support services	-			

FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need - Transp. Funds	Allocated Pay Act - Transp. Funds
3310000000 - Commission on women	7,734.84			
3330010000 - Green Mountain Care Board	8,461.13			
3400001000 - Agency of human services - secretary's office	188,154.32			
3400004000 - AHS Secretary's office - Global Commitment	-			
3400008000 - Rate setting	-			
3400009000 - Develop disabilities council	-			
3400010000 - Human services board	-			
3400020000 - AHS Administrative Fund	-			
3400891301 - Healthcare Loan repayment	-			
3410010000 - Department of Vermont health access - administration	3,559.37			
3410015000 - DVHA- Medicaid Program/Global Commitment	-			
3410016000 - DVHA-Medicaid/long term care waiver	-			
3410017000 - DVHA- Medicaid/state only programs	-			
3410018000 - DVHA-Medicaid/non-waiver matched programs	-			
3420010000 - Health - administration and support	37,655.40			
3420021000 - Health - public health	70,042.97			
3420060000 - Health - alcohol & drug abuse programs	85,046.94			
3440010000 - DCF - Administration & support services	-			
3440020000 - DCF - family services	-			
3440030000 - DCF - child development	-			
3440040000 - DCF - office of child support	95,741.84			
3440050000 - DCF - aid to aged, blind and disabled	-			
3440060000 - DCF - general assistance	-			
3440070000 - DCF - 3SquaresVT	-			
3440080000 - DCF - reach up	-			
3440090000 - DCF - home heating fuel assistance/LIHEAP	-			
3440100000 - DCF - office of economic opportunity	-			
3440110000 - DCF - OEO - weatherization assistance	-			
3440120000 - DCF - Woodside rehabilitation center	-			
3440130000 - DCF - disability determination services	-			
3460010000 - DAIL - administration & support	231,810.83			
3460020000 - DAIL - advocacy & independent living grants	-			
3460030000 - DAIL - blind and visually impaired	-			
3460040000 - DAIL - vocational rehabilitation	-			
3460050000 - DAIL - developmental services	-			
3460060000 - Retired senior volunteer program	-			
3460070000 - DAIL - TBI home and community based waiver	-			
3480001000 - Corrections - Administration	68,480.40			
3480002000 - Corrections - Parole Board	4,810.32			
3480003000 - Corrections - Education	-			
3480004000 - Corrections - Correctional Services	2,225,859.59			
3480005000 - Corrections - correctional facilities - recreation	-			
3480006000 - Corrections - correctional services out-of- state beds	-			

FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need - Transp. Funds	Allocated Pay Act - Transp. Funds
3675001000 - Corrections - Vermont offender work program	-			
4100500000 - Labor - programs	-			
4100891301 - Workforce Development	-			
4100891302 - Adult Technical Education	-			
4100891303 - UI Interest	-			
5100010000 - Education - finance and administration	167,877.68			
5100040000 - Education - special education: formula grants	-			
5100050000 - Education - state-placed students	-			
5100060000 - Education - adult education and literacy	-			
5100070000 - Education Services	265,834.64			
5100090000 - Education - adjusted education payment	-			
5100100000 - Education - transportation	-			
5100110000 - Education - small school grants	-			
5100120000 - Education - capital debt service aid	-			
5100170000 - Education - tobacco litigation	-			
5100190000 - Education - essential early education grant	-			
5100200000 - Education - technical education	-			
5100310000 - Education - cost containment - Act 117 of 2000	-			
6100010000 - Agency of natural resources - administration	105,688.42			
6100040000 - Natural resources - state and local property tax assessment	-			
6120000000 - Fish and wildlife - support and field services	-			
6130010000 - Forests, parks and recreation - administration	28,843.07			
6130020000 - Forests, parks, and recreation - forestry	161,383.90			
6130030000 - Forests, parks, and recreation - state parks	-			
6130040000 - Forests, parks, and recreation - lands administration	14,899.40			
6130080000 - Forests, parks and recreation - youth conservation corps	-			
6130090000 - Forests, parks and recreation - forest highway maintenance	-			
6140020000 - Environmental conservation - management and support services	23,164.23			
6140030000 - Environmental conservation - air and waste management	71,655.47			
6140040000 - Environmental conservation - office of water programs	333,950.13			
6140070000 - Environmental conservation - tax loss CT river flood control	-			
6215000000 - Natural resources board	-			
7100000000 - Agency of commerce and community development - admin.	65,988.17			
7110010000 - Housing and community development	71,201.97			
7110025000 - Historic sites - special improvements	-			
7110030000 - Community development block grants	-			

FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need Transp. Funds	Allocated Pay Act - Transp. Funds
7110080000 - Downtown transportation and capital improvement fund	2,417.57			
7110891301 - Performance Grants	-			
7110891302 - STEM Incentive	-			
7120010000 - Economic Development	39,718.46			
7130000000 - Tourism and marketing	22,450.20			
7150020000 - Vermont life	-			
8100000100 - Transportation - finance and administration	-		200,000.00	200,000.00
8100000200 - Transportation - aviation	-		50,000.00	50,000.00
8100000300 - Transportation - town highway structures	-			
8100000700 - Transportation - buildings	-			
8100000800 - Transportation board	-			
8100001000 - Transportation-town highway: state aid for federal disasters	-			
8100001100 - Transportation - program development	-			
8100001400 - Transportation - state aid for nonfederal disasters	-			
8100001700 - Transportation - rest areas	-			
8100001900 - Transportation - town highway Vermont local roads	-			
8100002000 - Transportation - maintenance state system	-		1,200,000.00	1,200,000.00
8100002100 - Department of motor vehicles	-		350,000.00	350,000.00
8100002200 - Transportation - policy and planning	-		200,000.00	200,000.00
8100002300 - Transportation - rail	-			
8100002600 - Transportation - town highway class 2 roadway	-			
8100002800 - Transportation - town highway bridges	-			
8100003000 - Transportation - town highway aid program	-			
8100003100 - Transportation - town highway class 1 supplemental grants	-			
8100005500 - Transportation - public assistance program	-			
8100005700 - Transportation - public transit	-			
8100005800 - Transportation - municipal mitigation grant program	-			
8110000200 - Transportation - central garage	-			
9150000000 - Vermont housing and conservation board	-			
ALL_ORGS - All State Organizations	7,839,226.56			
Executive Branch Salary Costs	6,958,420.36			
Legislative Branch Salary Costs	146,627.01			
Judicial Branch Salary Costs	734,179.19			
Total Salary Costs	7,839,226.56			

FY 2015 PAY ACT REPORT: 3 VSA SEC 2281(4)**

11/06/2014

	Pay Act Need - General Funds	Allocated Pay Act - General Funds	Pay Act Need - Transp. Funds	Allocated Pay Act - Transp. Funds
Executive Branch Salary Increase Costs - General Funds	6,958,420.36			
HR Non-Salary Pay Act Items	594,000.00			
Vermont Historical Society - Pay Increase per 22 VSA Sec. 285	37,360.37			
Total Executive Branch General Funds	7,589,780.73			
Appropriated Executive Branch Pay Act - General Funds	7,150,580.00			
FY 2014 Pay Act Carryforward Balance	-			
Net Exec. Pay Act Balance - General Funds	-			
Executive Branch Salary Increase Costs - Transportation Funds	2,000,000.00			
Appropriated Executive Branch Pay Act - Transportation Funds	2,000,000.00			
Net Exec. Pay Act Balance - Transportation Funds	-			
Legislative Branch Salary Increase Costs	146,627.01			
Appropriated Legislative Branch Pay Act	180,000.00			
Net Leg. Pay Act Balance	33,372.99			
Judicial Branch Salary increase Costs	734,179.19			
Appropriated Judicial Branch Pay Act	1,004,585.00			
Net Jud. Pay Act Balance	270,405.81			
** Final Pay Act transfers occur near the end of the fiscal year and may differ from transfers listed above. Pay Act appropriations are found in 2014 Act 160 Sec. 9				

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STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Daniel Dickerson, Fiscal Analyst
Date: October 23, 2014
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 September 30, 2014, the Joint Fiscal Office did not receive notification of any grants meeting these criteria.

* 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.



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Jim Reardon, Commissioner

MEMORANDUM

TO: Joint Fiscal Committee
FROM: Jim Reardon, Commissioner of Finance & Management
DATE: October 21, 2014
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 expenditure during the first quarter of FY 2015 (7/1/2014 through 9/30/14). The full text of the governing statute is provided at the end of this memo.

Review Process

The Administration goes through an extensive application and approval process for allowing expenditure of excess receipts. The form required of departments can be found at: http://finance.vermont.gov/sites/finance/files/pdf/forms/budget/Excess_Receipts_Form.doc (at <http://finance.vermont.gov/forms> under the "Budget" category). The form requires information to ensure that the approval does not overstep statutory guidelines. Requests that overstep the statutory guidelines are denied, and/or where appropriate are held for the legislative budget process.

Departments are required to provide written answers to the following questions (although only the response to the first question is entered into the VISION database):

- Reason funds are available?
- Do you anticipate additional funds from the same source available in this fiscal year and above current appropriation?
- Is this increase one-time or at an ongoing level?
- Why were funds not fully budgeted during budget development?
 - What is the current year appropriation or grant amount approved by the Joint Fiscal Committee for this fiscal year, from this source of funds for this purpose?
- If these are ongoing funds, will funds from this source be fully budgeted and appropriated next fiscal year?
- Were excess receipts requested from this source in the preceding two fiscal years? If so, explain why they were not budgeted?
- Are these excess receipts being received from another department (i.e., interdepartmental transfers)? If so, are they appropriated in that department or will excess receipts be required there as well?



- Relationship, if any, to the Budget Adjustment Act?
- Can excess receipts be used to reduce the expenditure of State funds?
- **Will excess receipts establish or increase the scope of a program, committing the State at any time to expend State funds?** [The form notes that in such instances, legislative approval is required.]
- What specifically will excess receipts be used for? What is the impact on programs if this excess receipt request is not approved?
- Are any of the excess receipts to be used for your department's administrative, staff or operating expenses? If so, explain.
- Is there any matching fund requirement due to excess receipts? If so, where is the match found in your budget?
- If excess receipts are earned federal receipts, is excess receipt being spent in the same (federal) program where the excess receipts are earned? If not, explain.
- Has the excess receipt been received and deposited? If no, what date are funds expected?
- If approved, when will the expenditure of this excess receipt first occur?

The VISION entry normally includes only the response to the first question – why are additional receipts available? However, for any individual Excess Receipt Request, we can provide the full paper copy of the form, listing all the department's responses.

Broad Categories of Excess Receipt Requests

Requests for expenditure of excess receipts generally fall into several broad categories:

Interdepartmental Transfers: It is not uncommon for one State department ("Department A") to purchase services from another State department ("Department B"). In that instance, Department A budgets these expenditures just as they would any other type of expenditure: by type of expenditure and by the source of revenue that will fund these expenditures. Department B also budgets these expenditures, and identifies the source of revenue as "interdepartmental transfers." This process results in a small amount of "double-booking" of spending authority but ensures that both departments have the necessary spending authority. In many cases, at the time of budget development, Department A has not yet decided from where to purchase the services in question, so Department B does not budget the interdepartmental transfer revenues. When Department A moves forward to contract for services with Department B after the budget has closed, then Department B must request an Excess Receipts approval for the additional spending authority to perform the services.

Federal Funds: Departments estimate their likely federal receipts in the fall for the upcoming budget year, meaning the estimate is as much as nine-months old at the start of the budget year, and another 12 months older by the end of the budgeted fiscal year. As a result, more recent developments may mean that the budgeted federal spending authority is insufficient, either because the current federal award for an existing grant has been increased, or there is spending authority from grants from earlier federal fiscal years that can be used in the current year. Additionally, extraordinary events – such as the federal American Recovery and Reinvestment Act (ARRA) or federal aid to Vermont due to Tropical Storm Irene – may cause large – and unanticipated -- spikes in federal receipts.

Other: There are over 200 different special funds created under State law, in which are deposited fees, user charges, penalties, specified taxes, etc. Departments estimate how much they will collect each year for each of these special funds, and base their spending plans accordingly. However, for the same reasons noted above, the actual collections for these revenues may be higher than the original budget. Excess receipts may also be used in an instance where prior-year special fund spending authority was not utilized and needs to be created again in the subsequent year (similar to a carry-forward). It should be noted that in addition to the restrictions in the excess receipts statute, each special fund has its own statutory restrictions that prevent the funds being used for other than their intended purposes and programs.

Attached Report:

The attached report is a cumulative list of approved excess receipt requests for the current fiscal year. It includes ALL the data entered in VISION for that transaction, including:

- Agency/Department name
- Appropriation name and "DeptID"
- Transaction date
- Fund source – name and fund number
- Amount
- Comments in response to question: "Why are funds available?" (VISION allows for a limited number of characters per cell entry.)

The data are sorted into the three broad categories of requests discussed above.

Governing Statute:

32 V.S.A. § 511. EXCESS RECEIPTS

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.

Attachment

FY 2015 Excess Receipts Report - Q1 Cumulative - Run 10-21-14

VT EXCESS RECEIPT RPT: 68							
Agency/Dept Name	Appropriation Name	Appropriation Dept Id	Date	Fund	Fund Name	Amount	Comments
Federal Funds (including "Regular" ARRA) Excess Receipts:							
Public Service Department	Regulation & Energy Efficiency	2240000000	7/24/2014	22040	ARRA Federal Fund	145,349.00	ARRA - State Broadband Data and Development Grant Program continues through 12/31/14.
Public Service Board	Public Service Board	2250000000	8/8/2014	22040	ARRA Federal Fund	5,792.51	Fund for prior year payables paid in FY15
Green Mountain Care Board	Green Mountain Care Board	3330010000	7/31/2014	22005	Federal Revenue Fund	1,265,952.28	Funds are available as a result of the Dept of Financial Regulation transferring the Federal Rate Review Grant to GMCB.
Human Services Agency	Secretary's Office Admin Costs	3400001000	8/13/2014	22005	Federal Revenue Fund	2,907,000.00	AA1 approved during FY14 in March for the Race to the Top Early Learning Challenge grant. The grant has a term of four years. This ERR establishes spending authority for FY15.
Subtotal - Federal Funds, Including "Regular" ARRA:						4,324,093.79	
Interdepartmental Transfers Excess Receipts:							
Buildings & Gen Serv-Prop	BGS-Fee For Space	1160550000	8/22/2014	21500	Inter-Unit Transfers Fund	6,468,339.35	Funds available from FEMA transfers.
Buildings & Gen Serv-Prop	BGS-Fee For Space	1160550000	7/10/2014	21500	Inter-Unit Transfers Fund	1,258,166.85	FEMA Transfers.
Executive Office	Governor's Office	1200010000	7/16/2014	21500	Inter-Unit Transfers Fund	461,915.00	New Grant - Race to the Top
Joint Fiscal Office	Joint Fiscal Committee/Office	1220000000	10/17/2014	21500	Inter-Unit Transfers Fund	75,000.00	Act 95 Sec. 79a: Funds moved to 21500 by AOE in prior fiscal year for paraprofessionals study
Buildings & Gen Serv-Capital	ACCD Projects 51/6(a)	1305100061	7/24/2014	21500	Inter-Unit Transfers Fund	17,000.00	Lake Champlain Bridge Programmatic Agreement Compliance with Sections III D(3) and III d(4). AOT funding made available for plaster repairs to the Chimney Point Historic site.
Buildings & Gen Serv-Capital	BGS - Various Proj 14	1405100023	9/25/2014	21500	Inter-Unit Transfers Fund	186,262.00	Funds available thru Dept of Public Safety for the Hazard Mitigation Grant Program. Agreement 02140-34000-057.
State's Attorneys and Sheriffs	State's Attorneys	2130100000	8/11/2014	21500	Inter-Unit Transfers Fund	60,000.00	DOC has committed to help with the rollout of the Rapid Intervention
Public Safety	DPS-Criminal Justice Services	2140020000	10/7/2014	21500	Inter-Unit Transfers Fund	90,000.00	Community Court Expansion.
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/14/2014	21500	Inter-Unit Transfers Fund	18,189.42	DPS indirect rate being applied to federal and special funds
Education Agency	Education Services	5100070000	10/2/2014	21500	Inter-Unit Transfers Fund	1,481,445.00	VCF grant funds from VT Community Foundation and Water Wheel Fund
Forests, Parks & Recreation	Administration	6130010000	7/31/2014	21500	Inter-Unit Transfers Fund	300,000.00	MOU from AHS
Forests, Parks & Recreation	Forestry	6130020000	8/11/2014	21500	Inter-Unit Transfers Fund	58,716.00	Funds available from FEMA disaster assistance received in FY12 from VTrans for the spring flood event as well as tropical storm Irene and from FY14 for flooding from 6/25/13-7/1/13.
Forests, Parks & Recreation	Parks	6130030000	7/31/2014	21500	Inter-Unit Transfers Fund	267,953.35	Funds available from DPS through the State Homeland Security Grant Program to purchase vehicles, communication equipment, safety gear, tools and equipment to prevent and respond to catastrophic events.
Forests, Parks & Recreation	Lands Administration	6130040000	8/11/2014	21500	Inter-Unit Transfers Fund	50,000.00	Funds available from MOU with F&W who will provide Boating Infrastructure Grant federal funding and Clean Vessel Act federal funding to FPR for the reconstruction of the outer marina at Burton Island State Park.
Transportation Agency	Maintenance & Ops Bureau	8100002000	7/16/2014	21500	Inter-Unit Transfers Fund	435,432.73	Long rang Land Management Projects for reimb from VHCB have been defined and are being funded by VHCB along with completion of some old projects.
Transportation Agency	Department of Motor Vehicles	8100002100	8/11/2014	21500	Inter-Unit Transfers Fund	203,837.00	Funds are available from Disaster: FEMA-4163-DR-VT. Funds will be received via MOU/Grant Agreement from the Division of Emergency Management and Homeland Security.
Transportation Agency	Department of Motor Vehicles	8100002100	7/15/2014	21500	Inter-Unit Transfers Fund	74,603.00	Funds available through MOU's between VTrans and DPS for five 2014 Enforcement Grants.
Transportation Agency	Better Back Roads Program	8100005800	7/8/2014	21500	Inter-Unit Transfers Fund	60,000.00	Funds are available from MOU between VTRANS and DPS for two 2014 Educational Grants.
Subtotal - Interdepartmental Transfers:						11,566,859.70	Backroads Program, specifically for the Ecosystem Restoration Program.

FY 2015 Excess Receipts Report - Q1 Cumulative - Run 10-21-14

VT EXCESS RECEIPT RPT		68					
Agency/Dept Name	Appropriation Name	Appropriation Dept Id	Date	Fund	Fund Name	Amount	Comments
Special Fund Excess Receipts:							
Libraries	Department of Libraries	1130030000	9/3/2014	21870	Misc Special Revenue	77,000.00	Funds from Vermont Telecommunications Authority for the purpose of bringing fiber connectivity to 43 Public Libraries and some 200 other community anchor institutions.
Libraries	Department of Libraries	1130030000	8/11/2014	21883	Gates Foundation Grants	43,752.60	VT Fiber Connect Project
Buildings & Gen Serv-Gov'tal	BGS- Recycling Efforts	1150060000	9/11/2014	21604	BGS-Recycling Efforts	30,000.00	Funds collected from the disposition of recycling materials and to be used for recycling efforts statewide.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	8/13/2014	21603	Motorist Aid Refreshment Prog	180,000.00	Funds paid by motorists at the Information Centers by donation for coffee. Funds authorized to offset the cost of coffee as well as for the costs associated with running the Information Centers.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	8/13/2014	21822	ACCD Tourism & Marketing Broch	225,000.00	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-Gov'tal	BGS-Information Centers	1150400000	8/27/2014	21870	Misc Special Revenue	85,000.00	Funds to be used to pay the transit company(s) for commuter bus service being used by Capitol Complex Employees.
Buildings & Gen Serv-Capital	VT Expo major Maint 51/14(a)	1305100141	10/16/2014	21682	AF&M-Eastern States Building	125,000.00	Act 51, Sec 32 of 2013. Intent of the General Assembly that the Agency of Agriculture redirect the money to BGS for the VT Exposition Center building upgrades in Springfield, MA.
Attorney General's Office	Attorney General's Office	2100001000	8/7/2014	21057	Genetic Engineered Food Label	1,498,605.00	Act 120 (H.112), Sec. 4 - (9 V.S.A. chapter 82A) An act relating to the labeling of food produced with genetic engineering (GEFL)
Attorney General's Office	Court Diversion	2100002000	7/16/2014	21142	Youth Substance Abuse Safety P	59,614.00	18 V.S.A. 4230a(f) - Court Diversion Youth Substance Abuse Safety Program (YSASP)
Public Safety	DPS-State Police	2140010000	9/4/2014	21141	Drug Task Force	135,000.00	Funds available through Act 76 of 2013 Sec 2 for funding law enforcement officers on the Drug Task Force.
Public Safety	DPS-Emergency Management	2140030000	9/16/2014	21555	Emergency Relief & Assist Fd	229,781.00	FEMA declared disaster FEMA-4163-DR. AA-1 approved JFO# 2677. SFY15 initial approp was only loaded for 65K but VA must pay 85K of
Military	MIL Vet Affairs Office	2150050000	9/11/2014	21662	Mil-Vets Cemetary Contribution	20,000.00	maintenance contract it has with VTC from the Cemetary Receipts Fund.
Military	MIL Vet Affairs Office	2150050000	9/15/2014	21924	Vermont Veterans Fund	47,534.00	Funds available from the direct donation by vermont taxpayers through their state tax forms.
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/14/2014	21889	Risk Manage Ag Producers	13,616.21	VCF grant funds from VT Community Foundation and Water Wheel Fund
Agriculture, Food&Mrkts Agency	Plant Industry, Labs & CA Div	2200040000	8/20/2014	21667	AF&M-Laboratory Testing	64,675.36	Funds available from AF&M lab testing fees and Ag fees from Certificate of Free Sale received on an on-going basis. To be used to cover property maint fees.
Agriculture, Food&Mrkts Agency	Plant Industry, Labs & CA Div	2200040000	8/20/2014	21671	AF&M-Agricultural Fees	67,813.94	Funds available from AF&M lab testing fees and Ag fees from Certificate of Free Sale received on an on-going basis. To be used to cover property maint fees.
Financial Regulation	Securities Division	2210031000	8/22/2014	21906	Financial Services Education	50,000.00	Per 9 VSA 5601(d) and (e). Donations from financial services entities.
Enhanced 911 Board	Enhanced 911 Board	2260001000	7/29/2014	21711	Enhanced 9-1-1 Board	35,491.98	Funds are received from the PSD Universal Service Fund charted to telecom consumers.
Liquor Control	DLC - Administration	2300003000	10/16/2014	21525	Conference Fees & Donations	5,000.00	To change fund per 10/16/14 email from H. Campbell. Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	10/16/2014	21525	Conference Fees & Donations	4,000.00	To change fund per 10/16/14 email from H. Campbell. Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	10/16/2014	21525	Conference Fees & Donations	1,000.00	To change fund per 10/16/14 email from H. Campbell. Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	10/16/2014	21870	Misc Special Revenue	(5,000.00)	To change fund per 10/16/14 email from H. Campbell. Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	10/16/2014	21870	Misc Special Revenue	(4,000.00)	To change fund per 10/16/14 email from H. Campbell. Additional funding for Liquor Symposium from three more sources.

FY 2015 Excess Receipts Report - Q1 Cumulative - Run 10-21-14

VT_EXCESS_RECEIPT_RPT		R8					
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Liquor Control	DLC - Administration	2300003000	10/16/2014	21870	Misc Special Revenue	(1,000.00)	To change fund per 10/16/14 email from H. Campbell. Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	9/11/2014	21870	Misc Special Revenue	5,000.00	Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	9/11/2014	21870	Misc Special Revenue	4,000.00	Additional funding for Liquor Symposium from three more sources.
Liquor Control	DLC - Administration	2300003000	9/11/2014	21870	Misc Special Revenue	1,000.00	Additional funding for Liquor Symposium from three more sources.
Offender Work Program	Admin - VT Offender Work Prog	3675001000	8/20/2014	21584	Surplus Property	7,301.64	Funds received from surplus property for items sold at auction.
Education Agency	Administration	5100010000	10/16/2014	21245	Post Secondary Certification	25,000.00	Receipts collected for Post Secondary reviews.
Education Agency	Education Services	5100070000	10/14/2014	21245	Post Secondary Certification	(25,000.00)	Receipts collected for Post Secondary reviews.
Education Agency	Education Services	5100070000	10/14/2014	21245	Post Secondary Certification	25,000.00	Receipts collected for Post Secondary reviews.
							\$8000 - Urban & Community Forestry workshop fees and misc grants and donations, including Arbor Day donations.
Forests, Parks & Recreation	Administration	6130010000	8/11/2014	21525	Conference Fees & Donations	12,000.00	\$12000 - Project Learning Tree workshop fees and grants.
Forests, Parks & Recreation	Administration	6130010000	7/31/2014	21550	Lands and Facilities Trust Fd	150,000.00	Funds available from license, special use permit, and timber sales.
							\$8000 - Urban & Community Forestry workshop fees and misc grants and donations, including Arbor Day donations.
Forests, Parks & Recreation	Forestry	6130020000	8/11/2014	21525	Conference Fees & Donations	8,000.00	\$12000 - Project Learning Tree workshop fees and grants.
Forests, Parks & Recreation	Parks	6130030000	7/31/2014	21525	Conference Fees & Donations	27,253.28	Grant from Lintilhac Foundation to expand and enhance public recreation opportunities provided by FPR.
Forests, Parks & Recreation	Vt Youth Conservation Corps	6130080000	10/8/2014	21779	FPR-Youth Conservation Corps	300,000.00	Cash assistance MOA between VYCC and FPR. VYCC will reimburse FPR by the end of FY 2015
Forests, Parks & Recreation	Vt Youth Conservation Corps	6130080000	8/11/2014	21779	FPR-Youth Conservation Corps	150,000.00	Casj assistance MOA between VYCC and FPR. VYCC will reimburse FPR by the end of FY15.
Economic Development	STEM Incentive 14	7120891402	8/7/2014	21992	Next Generation Initiative Fnd	98,100.00	Carry Forward from FY2014
Transportation Agency	Aviation	8100000200	9/2/2014	20160	Transportation Local Fund	118,216.00	Funds are available for four Aviation projects that have a local share that will be paid by Casella.
Transportation Agency	Aviation	8100000200	7/15/2014	20181	ARRA FAA-Fund	100.00	Funds are available from Aviation ARRA funded projects.
							Funds are available from Emergency Events VT 11-1, Apr 23-May 30, 2011 severe storms and flooding and VT 11-2, Aug 27, 2011 Tropical Storm Irene.
Transportation Agency	Maintenance & Ops Bureau	8100002000	8/11/2014	20135	Transportation FHWA Fund	2,000,000.00	Funds are available from grant agreement #2010-DL-T0-0006 with Homeland Security/FEMA.
Transportation Agency	Department of Motor Vehicles	8100002100	8/20/2014	20165	Transportation Other Fed Funds	832,500.00	Funds are available for the Bi-State Intercity Rail Corridor Track 3 planning project.
Transportation Agency	Rail	8100002300	7/31/2014	20155	Transportation-FRA Fund	124,150.00	Funds are available for the Bi-State Intercity Rail Corridor Track 3 planning project.
Transportation Agency	Rail	8100002300	7/31/2014	20160	Transportation Local Fund	62,075.00	Funds are available for project - Amtrak Vermonter - RR-FY11-AR02.
Transportation Agency	Rail	8100002300	9/2/2014	20183	ARRA FRA Fund	15,000.00	Funds are the unexpended balance in the equipment replacement account at the end of FY14. Funds to be used for equip purchases per Title 19. Sec.
Transportation Agency-Prop	Central Garage	8110000200	7/31/2014	57100	Highway Garage Fund	558,426.83	13(c).
Subtotal - Special Funds						7,486,006.84	
TOTAL:						23,376,960.33	



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Agency of Administration

MEMORANDUM

TO: Joint Fiscal Committee
FROM: Jim Reardon, Commissioner
RE: Special Funds Created in FY2014; Special Fund Balances at End of FY2014
DATE: November 7, 2014

Pursuant to 32 VSA Sec. 588 (6), I am herewith submitting to the Joint Fiscal Committee the list of Special Funds created in FY2014, with name, authorization, and revenue source; and the list of Special Funds and their balances at the end of FY2014.

Attachment



Report on Special Funds created in FY2014
Submitted to the Joint Fiscal Committee pursuant to 32 VSA Sec 588(6)

<u>Dept/Name of Fund</u>	<u>Authorization</u>	<u>Revenue Source</u>
<u>Dept. of Public Safety</u>		
Firearm Storage Special Fund	Act 179 of 2014 Sec E.208 1(a)	\$75K appropriated in Act 179. 50% of civil penalties (less a \$12.50 administrative charge per violation) imposed by the Judicial Bureau for violations against 18 VSA 4230a(f) related to marijuana position.
Drug Task Force Special Fund	18 VSA Sec 4230a(f) as amended by Act 95 of 2014 Sec 81(f)	50% of civil penalties imposed by the Judicial Bureau for violations against 18 VSA 4230a(f) related to marijuana position.
<u>Vermont Court Diversion</u>		
Youth Substance Abuse Safety Program Special Fund	18 VSA Sec 4230a(f) as amended by Act 95 of 2014 Sec 81(f)	50% of civil penalties imposed by the Judicial Bureau for violations against 18 VSA 4230a(f) related to marijuana position.
<u>Bond Bank, Vermont Economic Development Authority, Other</u>		
Vermont Wastewater and Potable Water Revolving Loan Fund	24 VSA Sec 4753 (a)(10) as amended by 2014 Act 137 Sec 1	\$275K from fees collected pursuant to 3 VSA Sec 2822 (j)(4), funds appropriated or transferred by the General Assembly, Emergency Board, or JFC, principal and interest from loan repayments, capitalization grants from the USA, interest earned from investment, and private gifts, bequests or donations.
<u>Department of Health</u>		
Organ Donation Special Fund	Act 32 of 2013 Sec 5 which adds 18 VSA 5234	Federal Funds, Grants, and Private Donations.
<u>Agency of Commerce and Community Development</u>		
Entergy-Windham County Economic Development Special Fund	Act 95 of 2014 Sec 80(a)	Funds received pursuant to the settlement agreement between the State and Entergy Nuclear Vermont Yankee, LLC.
<u>Office of the Attorney General</u>		
Genetically Engineered Food Labeling Special Fund	Act 120 of 2014 Sec 4(a)	Private gifts, bequests, grants or donations, up to \$1.5M of settlement monies collected by the Office of the Attorney General, and any sums appropriated or transferred by the General Assembly.
<u>Department of Finance and Management</u>		
Vermont Enterprise Fund	Act 179 of 2014 Sec E 100 5(a)	Any amounts transferred or appropriated by the General Assembly, plus any interest earned.

**Special Fund Summary EOFY14 JFC
Report 10-31-14**

Special Fund Summary EOFY 2014

Special Fund Name	SF #	Fund Net Assets 7/1/13	All Revenues	All Expenses	Other Financing Sources (Uses)	Fund Net Assets 6/30/14
Financial Literacy Trust Fund	21001	23,172.43	8,277.18	(11,509.17)	0.00	19,940.42
FMS System Development Fund	21005	(627,864.86)	600,002.00	-	0.00	(27,862.86)
Elva S Smith Bequest	21015	32,072.97	29,148.27	(20,540.33)	0.00	40,880.91
Lw-lvi Radioactive Waste Cmpct	21020	(101,620.47)	137,545.14	(66,133.71)	0.00	(30,209.04)
Radiological Emerg Response	21025	(344,812.53)	2,955,512.15	(2,108,225.29)	0.00	502,474.33
Public Defender Special Fund	21050	122,049.25	632,943.73	(638,552.00)	0.00	116,440.98
Misc Fines & Penalties	21054	895,250.15	384,482.29	(282,487.24)	0.00	997,245.20
Genetic Engineered Food Label	21057	-	43,027.94	(1,395.00)	0.00	41,632.94
Vt Dairy Promotion Fund	21060	434,915.47	2,652,212.20	(2,639,271.42)	0.00	447,656.25
VDPC State Portion	21061	101,279.32	259,025.00	(188,817.71)	0.00	171,486.61
Financial Institut Supervision	21065	258,273.11	2,113,388.13	(1,902,096.39)	0.00	469,564.85
Health Care Suprv & Reg	21070	1.14	1,420,405.58	(1,316,251.57)	0.00	104,155.15
Insurance Regulatory & Suprv	21075	-	12,125,756.71	(8,872,689.86)	(5,253,066.85)	0.00
Securities Regulatory & Suprv	21080	21.35	6,893,450.17	(886,160.68)	(6,007,310.84)	0.00
Captive Insurance Reg & Suprv	21085	-	5,608,802.86	(4,951,970.40)	(654,832.46)	0.00
VOHI Wk Cmp Self-Ins Corp Trst	21090	50,506.53	73.04	-	0.00	50,579.57
Passenger Tramways	21095	93,736.42	390,736.44	(321,198.08)	0.00	163,274.80
Elevator Safety Fund	21097	150,104.83	86,620.00	(71,782.86)	0.00	164,941.97
Worker's Comp Admin Fund	21105	1,887,874.41	3,129,446.58	(1,632,216.92)	0.00	3,385,104.07
Employee Leasing Companies	21110	59,010.91	50,200.00	(1,540.61)	0.00	107,670.30
Fire Service Training Council	21120	129,200.33	997,720.49	(881,195.40)	(120,000.00)	125,725.42
Haz Chem & Subst Emerg Resp	21125	306,976.67	619,541.20	(826,935.11)	0.00	99,582.76
Criminal History Records Check	21130	9,061.43	191,578.28	(200,000.00)	0.00	639.71
Vt Law Telecommunications	21135	88,144.54	148,190.87	(95,857.38)	0.00	140,478.03
DUI Enforcement Special Fund	21140	173,625.89	1,435,000.72	(1,434,734.00)	0.00	173,892.71
Drug Task Force	21141	-	67,847.33	-	0.00	67,847.33
Youth Substance Abuse Safety P	21142	-	74,208.75	-	0.00	74,208.75
Victims Compensation Fund	21145	934,295.94	2,120,547.04	(2,949,045.06)	0.00	105,797.92
Prof Regulatory Fee Fund	21150	5,191,903.56	3,988,598.25	(4,271,595.83)	0.00	4,908,905.98
Rulemaking Advertising Fund	21155	(19,371.01)	90.00	-	19,281.01	0.00
Vermont Campaign Fund	21160	106,848.84	30.87	(24.40)	(106,855.11)	0.00
Funeral & Burial Service Trust	21165	236,870.51	342.45	-	0.00	237,212.96
Children's Trust Fund	21185	55,354.99	70,813.52	(60,000.00)	0.00	66,168.51
Correctional Facilities Rec Fd	21190	476,550.83	998,502.01	(881,858.15)	0.00	593,194.69
Home Heating Fuel Asst Trust	21210	20.78	350,740.37	(2,450,000.00)	2,100,000.00	761.15
PATH-Civil Monetary Fund	21213	231,747.75	207,608.82	-	0.00	439,356.57
Mental Health Risk Pool	21220	419.87	0.61	-	0.00	420.48
Vermont State Hospital Canteen	21225	5,000.00	765.00	-	0.00	5,765.00
Home Weatherization Assist	21235	1,846,052.87	8,237,091.74	(6,589,217.17)	0.00	3,493,927.44
Teacher Licensing Fund	21240	487,797.53	861,369.00	(1,232,933.79)	0.00	116,232.74
Post Secondary Certification	21245	1,500.00	18,500.00	(18,750.00)	0.00	1,250.00
General Education Development	21250	944.00	1,529.50	(2,347.50)	0.00	126.00
Petroleum Cleanup Fund	21255	2,352,490.32	6,189,202.49	(5,950,840.73)	0.00	2,590,852.08
Act 250 Permit Fund	21260	269,903.22	2,035,835.81	(1,941,215.94)	(100,000.00)	284,523.09
State Forest Parks Fund	21270	306,656.11	8,246,491.93	(8,171,638.28)	0.00	381,509.76
Environmental Contingency Fund	21275	3,054,221.49	372,506.98	(369,920.13)	250,000.00	3,306,808.34
Waste Management Assistance	21285	2,462,747.56	4,966,701.07	(4,453,356.77)	(250,000.00)	2,726,091.86
Hazardous Waste Fund	21290	298,773.79	299.65	(144,221.12)	0.00	154,852.32
FPR - Land Acquisitions	21293	54,053.89	-	(13,401.25)	0.00	40,652.64
Environmental Permit Fund	21295	2,177,840.05	6,561,378.51	(5,759,085.04)	(494,960.00)	2,485,193.52
Hydroelectric Licensing Fund	21300	18,882.57	-	(9,999.99)	0.00	8,882.58
VT Wastewater & Potable Water	21311	-	43.39	-	494,960.00	495,003.39
Sunderland Landfill	21315	14,542.63	8.15	(10,000.00)	0.00	4,550.78
Central Vt Shopping Ctr	21320	69,134.76	98.69	(18,446.22)	0.00	50,787.23
Historic Sites Special Fund	21325	11,508.61	469,946.32	(464,670.88)	0.00	16,784.05
Municipal & Regional Planning	21330	335,338.17	5,153,926.09	(3,531,886.90)	(1,566,026.98)	391,350.38
Insurance Reserve Fund	21335	31,544,429.63	5,881,229.20	(1,585,403.44)	(25,351,030.53)	10,489,224.86
Unorganized Towns-Bennington	21345	22,029.29	80,581.85	(100,994.51)	0.00	1,616.63
Unorganized Towns-Chittenden	21350	315.23	31,274.54	(26,559.85)	0.00	5,029.92
Unorganized Towns-Windham	21355	29,021.73	270,202.01	(299,371.44)	0.00	(147.70)
Unemployment Comp Admin Fund	21360	180,000.00	826,000.00	(160.46)	0.00	1,005,839.54

Tobacco Litigation Settlement	21370	(31,748.13)	34,507,158.44	(41,186,192.03)	6,883,076.63	(27,705.09)
AG-Tobacco Settlement	21372	214,367.03	185,000.00	(57,180.11)	0.00	342,186.92
Tobacco Trust Fund	21375	8,347,868.24	3,598,871.23	(83,328.51)	(6,883,076.63)	5,180,334.33
Williamstown Env & Public Hlth	21390	190,749.99	275.77	-	0.00	191,025.76
State Register Publications Fd	21397	1,518.53	-	-	0.00	1,518.53
Bond Investment Earnings Fund	21405	117,766.14	44,483.50	-	(117,766.14)	44,483.50
Flexible Spending	21430	190,571.69	1,883,164.45	(1,846,742.40)	0.00	226,993.74
All Terrain Vehicles	21440	21,353.47	305,796.71	(269,795.55)	0.00	57,354.63
Art Acquisition Fund	21445	113,500.00	-	(166,500.00)	100,000.00	47,000.00
Vt Recreational Trails Fund	21455	310,273.49	-	(334,605.47)	370,000.00	345,668.02
Laboratory Services	21480	11,010.41	615,336.34	(575,037.49)	0.00	51,309.26
Organ Donation Special Fund	21463	-	1,843.00	(500.00)	0.00	1,343.00
Medical Practice	21470	1,539,726.41	311,136.03	(896,628.17)	0.00	954,234.27
Hospital Licensing Fees	21471	-	145,466.17	(145,466.17)	0.00	0.00
Natural Resources Mgmt	21475	213,712.05	656,089.18	(693,598.31)	0.00	176,182.92
Otto Johnson Fund	21480	-	10,102.98	(10,102.98)	0.00	0.00
PILOT	21485	(899,966.13)	6,276,002.23	(6,022,000.00)	0.00	(645,963.90)
Rabies Control	21490	16,231.00	78,796.00	(39,579.30)	(48,374.70)	7,073.00
VT Working Lands Enterprise	21493	1,028,081.25	5,353.06	(1,104,671.84)	1,425,000.00	1,353,762.47
Snowmobile Trails	21495	365,844.32	547,156.09	(511,163.93)	0.00	421,836.48
Inter-Unit Transfers Fund	21500	15,958,395.16	67,586,258.69	(59,964,194.04)	(11,659,140.62)	11,921,319.18
ARRA Inter-Unit Subaward Fund	21502	36,175.61	-	-	0.00	36,175.61
Boating Safety	21505	31,691.87	-	(106,002.00)	132,701.09	58,390.96
Treas Retirement Admin Cost	21520	6,488.14	2,167,174.50	(2,356,174.23)	0.00	(182,511.59)
Conference Fees & Donations	21525	100,681.58	90,731.18	(120,214.86)	0.00	71,197.90
School Match	21535	-	19,206,888.78	(19,206,888.78)	0.00	0.00
Lands and Facilities Trust Fd	21550	4,103,493.70	1,044,682.24	(790,252.56)	0.00	4,357,923.38
Emergency Relief & Assist Fd	21555	12,319,875.52	15,958.93	(2,437,457.86)	(6,500,000.00)	3,398,376.59
Public Assistance Recoveries	21560	1,000.00	16,671.68	(16,671.68)	0.00	1,000.00
Food Stamp Recoveries	21570	28,968.35	3,916.70	(7,885.05)	0.00	25,000.00
Downtown Trans & Capital Impro	21575	1,051,911.00	-	(410,785.39)	383,966.00	1,025,091.61
Surplus Property	21584	316,091.32	334,231.06	(224,550.00)	0.00	425,772.38
Pers-Human Resourc Development	21585	1,706,333.76	(1,504,580.61)	(71,021.14)	0.00	130,732.01
Tax-Miscellaneous Fees	21590	14,939.29	326,407.00	(17,318.71)	0.00	324,027.58
Tax-Local Option Process Fees	21591	44,832.15	476,198.59	(281,791.26)	0.00	239,239.48
Tax-Current Use Admin	21594	523,084.49	618,629.17	(272,699.78)	(100,629.17)	768,384.71
Public Records Special Fund	21595	78,608.71	7,512.64	(12,000.00)	0.00	74,121.35
BGS-Duxbury/Moretown	21600	(11,198.64)	69,300.00	(12,545.00)	0.00	45,556.36
Vital Records Special Fund	21602	(542.65)	6,332.00	-	(5,789.35)	0.00
Motorist Aid Refreshment Prog	21603	182,281.49	108,869.25	(172,285.31)	0.00	118,885.43
BGS-Recycling Efforts	21604	189,478.71	14,307.46	(14,131.65)	0.00	189,654.52
BGS-Newport Office	21606	2,500.00	-	-	0.00	2,500.00
BGS-Donations-St House Restore	21612	543.41	-	-	0.00	543.41
BGS-Sale of State Land	21613	7,944.95	443,221.70	(2,954.15)	(7,078.21)	441,134.29
Leg-State House Sick Room	21626	1,197.90	-	-	0.00	1,197.90
Leg-Sgt at Arms-Use of St Hous	21627	2,197.26	-	-	0.00	2,197.26
St Labor Relations Bd-Misc Rec	21633	9,445.52	4,243.85	(4,243.85)	0.00	9,445.52
AG-Consumer Fraud Restitution	21634	34,309.70	7,543.91	(2,402.83)	0.00	39,450.78
AG-Fees & Reimburs-Court Order	21638	8,832,889.57	10,306,989.46	(613,429.30)	(18,325,261.48)	203,188.25
AG-Court Diversion	21639	-	544,560.51	(544,560.51)	0.00	0.00
AG-Administrative Special Fund	21641	-	2,075,174.11	-	0.00	2,075,174.11
SA-Windsor Comm Prosecution Gr	21646	2,583.57	-	-	0.00	2,583.57
PS-Highway Safety	21649	10,485.00	-	-	0.00	10,485.00
PS-Sale of Photos	21651	9,680.59	21,230.00	(25,780.59)	0.00	5,130.00
Mil-Armory Rentals	21660	9,170.11	5,322.00	-	0.00	14,492.11
Mil-Vets Cemetary Contribution	21662	137,156.17	230,285.88	(81,530.00)	0.00	285,921.85
AF&M-Agricultural Events	21666	41,989.01	4,077.48	(10,580.33)	0.00	35,486.16
AF&M-Laboratory Testing	21667	45,649.36	19,026.00	-	0.00	64,875.36
AF&M-Feed Seeds & Fertilizer	21668	587,019.72	1,344,503.92	(1,145,047.56)	0.00	786,476.08
AF&M-Pesticide Monitoring	21669	775,018.85	1,239,996.11	(1,383,489.07)	0.00	631,525.89
AF&M-Apple Marketing Board	21670	8,228.01	11.90	-	0.00	8,239.91
AF&M-Agricultural Fees	21671	58,666.94	9,147.00	-	0.00	67,813.94
AF&M-Weights & Measures-Testin	21673	157,335.35	548,846.77	(485,638.91)	0.00	220,543.21
AF&M-Livestock Dealers/Transpo	21676	123,864.35	29,481.80	(23,075.00)	0.00	130,071.15
AF&M-Mosquito Control	21678	110,674.73	-	(56,272.00)	88,467.39	142,870.12
AF&M-Housing & Conservation Bd	21680	(29,929.03)	85,898.01	(102,688.58)	0.00	(46,899.60)
AF&M-Eastern States Building	21682	221,516.74	174,735.72	(171,313.66)	0.00	224,938.80
AF&M-Dairy Receipts	21684	111,729.90	39,480.00	(74,569.05)	0.00	76,640.85

AF&M-Meat Handlers	21685	26,642.48	16,812.49	(4,220.31)	0.00	39,234.66
AF&M-Pesticide Control	21686	76,904.99	78,312.00	(70,569.90)	0.00	84,647.09
AF&M-Promotional Activities	21687	11,602.03	21,227.50	(21,282.94)	0.00	11,546.59
BISHCA-Docket	21690	24,422.95	-	-	0.00	24,422.95
Human Rights Commission	21692	98,677.98	22,560.18	(10,228.62)	0.00	111,209.52
PSD-Regulation/Energy Efficient	21698	2,111,031.19	8,487,834.43	(4,972,954.03)	(3,390,872.72)	2,215,238.87
PSD - Billback & EEU pass thru	21699	(1,141,736.74)	5,965,285.05	(5,111,927.18)	0.00	(288,378.87)
PSD-Telecomm Serv for Deaf	21703	(74,054.00)	451,452.74	(409,407.40)	0.00	(32,008.66)
PSB-Special Fds	21709	3,056,721.82	113,796.43	(2,806,960.44)	3,390,672.72	3,754,230.53
Enhanced 9-1-1 Board	21711	3,318,821.62	4,772,522.22	(4,805,491.98)	0.00	3,285,851.86
OCS-Child Supp Collect-ANFC	21721	-	427,011.00	(427,011.00)	0.00	0.00
HE-Food & Lodging Fees	21731	-	1,092,418.00	(1,092,418.00)	0.00	0.00
GCV-Misc	21748	9,520.95	-	-	0.00	9,520.95
DET-Apprenticeship Train OFS	21752	4,274.01	264,275.60	(224,999.00)	0.00	43,550.61
ED-Medicaid Reimb-Admin	21764	1,162,039.41	-	(16,129,280.19)	16,403,124.46	1,435,883.68
Vets Home-Private Pay	21767	(319,546.49)	1,984,113.03	(1,664,566.54)	0.00	0.00
Vets Home-Dom Applied Income	21768	63,749.65	46,071.90	(46,071.90)	0.00	63,749.65
Local Comm Implementation Fund	21772	87,295.10	100.13	(55,473.44)	0.00	31,921.79
Impaired Water Restoration Fnd	21773	528,614.94	691.46	(144,016.07)	0.00	385,290.33
Pollution Prevention Plans Fee	21776	-	63,050.00	(45,420.55)	0.00	17,629.45
FPR-Laura Burnham Estate	21778	4,606.25	-	-	0.00	4,606.25
FPR-Youth Conservation Corps	21779	-	319,682.44	(319,682.44)	0.00	0.00
FPR-Earth People's Park	21781	134.74	-	-	0.00	134.74
Vermont Medicaid	21782	203,019.40	4,570,956.18	(4,305,880.74)	0.00	468,094.84
New York Medicaid	21785	2,422,380.04	1,659,339.09	(2,280,972.57)	0.00	1,800,746.56
Streamgauging Fees	21786	44,990.57	34,578.00	-	0.00	79,568.57
EC-Geological Publications	21787	22,469.94	662.00	(6,032.18)	0.00	17,099.76
Miscellaneous Settlement Fund	21788	4,676,283.18	321,550.00	(504,696.39)	0.00	4,493,136.79
EC-Tax Loss-Conn Riv Flood Ctl	21789	-	31,230.00	(31,230.00)	0.00	0.00
EC-Aquatic Nuisance Control	21790	(27,094.74)	-	-	0.00	(27,094.74)
EC-VT Poll Control 24VSA4753	21793	140,564.64	600,000.00	(599,999.97)	0.00	140,564.67
SRS-Social Security	21809	-	1,103,607.53	(1,103,607.53)	0.00	0.00
SRS-Parental Child Support	21810	-	207,137.95	(207,137.95)	0.00	0.00
Attorney Admission,Licensing,&	21811	815,264.69	683,149.50	(752,105.92)	0.00	746,308.47
VR Fees	21813	-	1,423,503.48	(1,423,503.48)	0.00	0.00
DAD-Vending Facilities	21815	(22,349.79)	138,713.36	(116,363.57)	0.00	0.00
ACCD-Mobile Home Park Laws	21819	-	58,125.00	(58,125.00)	0.00	0.00
ACCD-Miscellaneous Receipts	21820	985,485.00	1,002,112.35	(1,072,224.52)	0.00	895,372.83
ACCD\Tourism & Marketing Broch	21822	257,239.56	292,316.88	(204,584.12)	0.00	344,972.32
Salé of Copies/Publications	21824	2,389.77	1,333.00	(1,892.00)	0.00	1,830.77
Memorial Gifts	21825	5,563.84	750.00	(368.33)	0.00	5,945.51
HE-Lead Abatement Fees	21828	-	39,786.00	(39,786.00)	0.00	0.00
HE-Third Party Reimbursement	21829	1,081,547.99	8,395,159.80	(10,710,987.93)	0.00	(1,234,280.14)
HE-Asbestos Fees	21832	-	178,242.00	(178,242.00)	0.00	0.00
HE-Medicaid in Schools	21834	(216,000.00)	-	-	0.00	(216,000.00)
HE-AIDS Medication Rebates	21836	1,323,190.47	1,259,426.01	(1,290,000.00)	0.00	1,292,616.48
HE-ADAP DDRP Fees	21837	-	124,440.00	(124,440.00)	0.00	0.00
CORR-Supervision Fees	21843	2,465,055.17	865,897.69	(558,125.24)	0.00	2,772,827.62
PERS-Recruitment Services	21844	18,003.99	147,516.35	(177,397.31)	0.00	(11,874.97)
ED-Private Sector Grants	21848	19,325.89	-	(9,413.28)	0.00	9,912.61
PS-Law Enforcement Services	21851	(3,070.72)	594,628.42	(476,751.90)	0.00	114,805.80
PS-VAST	21852	-	37,213.93	(37,213.93)	0.00	0.00
PS-Fingerprint Fees	21856	28,218.97	198,231.50	(172,571.50)	0.00	53,878.97
PS-VIBRS	21857	1,005,750.11	1,006,654.99	(982,771.42)	0.00	1,029,633.68
SRS-Build Bright Spaces/Future	21858	19,124.97	15,580.75	(25,347.60)	0.00	9,358.12
EC-Laboratory Receipts	21861	110,916.93	8,194.00	-	0.00	119,110.93
EC-Motorboat Registration Fees	21862	1,138,216.38	-	(312,069.15)	469,396.48	1,295,543.72
Misc Special Revenue	21870	4,608,482.21	5,885,231.54	(6,765,628.37)	0.00	3,628,065.38
Gates Foundation Grants	21883	274,531.63	295.97	(231,075.00)	0.00	43,752.60
Emerg Pers Survivor Benefit Fd	21884	209,079.13	302.26	-	0.00	209,381.39
Treas-Refunding Bond Issue	21886	-	1,028.76	(97,487.11)	97,487.11	1,028.76
Risk Manage Ag Producers	21889	89,167.03	43,294.99	(91,213.59)	0.00	41,248.43
State's Att & Sheriff-Misc	21891	64,785.47	29,610.93	(64,858.73)	0.00	19,537.67
Green Mtn Cons Camp Endowment	21894	77,859.27	13,343.65	-	0.00	91,202.92
Upper Valley Regional Landfill	21895	220,723.62	313.45	(12,137.03)	0.00	208,900.04
Emergency Medical Services Fnd	21897	150,000.00	45,425.43	(40,415.00)	150,000.00	305,010.43
Entergy-Windham Cnty Econ Dev	21898	-	2,000,000.00	-	0.00	2,000,000.00
Fire Prev/Bldg Inspect Sp Fund	21901	3,307,448.39	4,961,497.45	(4,298,439.55)	(3,200,000.00)	770,506.29

Health Department-Special Fund	21902	-	1,012,292.25	(1,012,292.25)	0.00	0.00
PATH-Misc Fund	21903	298,250.04	3,013,235.60	(23,207,634.63)	20,115,773.84	219,624.85
Transportation Special Fund	21905	-	70,000.00	-	0.00	70,000.00
Financial Services Education	21906	162,615.12	25,204.03	(40,000.00)	0.00	147,819.15
Misc Grants Fund	21908	654.81	358,371.69	(7,236,213.76)	0.00	(6,877,187.26)
Tax Computer Sys Modernization	21909	3,001,914.24	5,501,852.05	(6,010,858.85)	(695,240.76)	1,797,666.68
Counselor Regulatory Fee Fund	21910	-	3,600.00	(3,600.00)	0.00	0.00
Sarcoidosis Benefit Trust Fund	21911	(21,577.69)	50.00	(668.18)	22,195.87	0.00
Evidence-Based Educ & Advertis	21912	1,856,809.58	748,608.27	(503,582.69)	0.00	2,101,835.16
Workforce Ed & Training Fund	21913	2,058,024.18	-	(952,571.51)	817,500.00	1,922,952.67
Crime Victims Restitution Fund	21915	276,799.09	2,354,233.92	(2,263,248.57)	0.00	367,784.44
Vermont Health IT Fund	21916	6,977,717.74	3,256,029.12	(3,964,254.20)	0.00	6,269,492.66
Public Funds Investigation	21917	100,000.00	-	-	0.00	100,000.00
Archeology Operations	21918	38,680.88	1,075.00	(3,121.39)	0.00	36,634.49
EB-5 Special Fund	21919	3.32	13,578.29	(5,019.83)	0.00	8,561.78
VOL Membership/Dues	21920	163,912.06	109,255.68	(77,250.00)	0.00	195,917.72
Blood & Breath Alcohol Testing	21922	94,643.38	74,627.49	(1,753.06)	0.00	167,517.81
Historic Property Stab & Rehab	21923	100,000.00	-	-	0.00	100,000.00
Vermont Veterans Fund	21924	5,457.71	62,717.67	-	0.00	68,175.38
Restitution Special Fund	21925	-	8,190.59	-	0.00	8,190.59
Domestic & Sexual Violence	21926	86,211.70	836,561.87	(835,666.00)	0.00	87,107.57
Supplemental PropertyTax Relief	21927	-	-	-	8,800,000.00	8,800,000.00
Secretary of State Services	21928	-	5,579,659.73	(3,765,606.87)	(1,814,052.86)	0.00
Information Center Revenues	21936	129,097.25	52,454.31	-	0.00	181,551.56
Court Technology Fund	21941	192,153.44	1,831,315.35	(2,183,857.99)	179,301.11	18,911.91
Municipal Tkt Repay Revolving	21942	179,301.11	-	-	(179,301.11)	0.00
State PACE Reserve Fund	21943	-	50,024.38	-	0.00	50,024.38
Vermont Enterprise Fund	21944	-	-	-	5,000,000.00	5,000,000.00
DOC-Corrections Donations	21945	409.05	-	(404.53)	0.00	4.52
Unsafe Dam Revolving Loan Fund	21960	245,638.84	355.12	-	0.00	245,993.96
Animal Spay/Neutering Fund	21965	65,439.99	234,167.78	(309,390.32)	0.00	(9,782.55)
Registration Fees Fund	21970	71,331.32	206,566.50	(101,536.17)	0.00	176,361.65
Armed Services Scholarship Fnd	21975	16,622.81	32.39	(33,634.00)	16,484.00	(494.80)
Indemnification Fund	21980	394,847.84	84,241.93	-	0.00	489,089.77
State Health Care Resources Fd	21990	6,319,566.20	264,274,339.89	(269,326,422.76)	0.00	1,267,483.33
VT Clean Energy Dev Fund	21991	6,117,142.01	6,985,992.08	(4,732,719.11)	250,000.00	8,620,414.98
Next Generation Initiative Fnd	21992	330,764.61	1,246.59	(2,520,748.42)	2,475,500.00	286,762.78
VT Traumatic Brain Injury Fund	21994	1,251.13	1.80	-	0.00	1,252.93
Special Fund Totals		179,925,869.74	616,739,965.18	(630,643,315.84)	(22,395,178.80)	143,627,340.28

TO: The Joint Fiscal Committee

FROM: Mary Peterson, Commissioner

DATE: November 7, 2014

SUBJECT: Annual Report on the Tax Computer System Modernization Fund

The Tax Computer System Modernization Fund (the "Modernization Fund") was created in 2007 to use part of the enhanced revenue gained through modernization of processes at the Department of Taxes (the "Department") to re-invest in further modernization, including an integrated tax system. Currently, the Modernization Fund is the vehicle by which tax modernization projects pay for themselves – vendors are paid only after the Department uses the new tools to collect from taxpayers who otherwise would escape their tax liabilities. The Tax Commissioner is directed to report on the Fund annually at the November Joint Fiscal Committee meeting.

The first section in this report provides a brief update from our July report on the first phase of our integrated tax system project, VTax, which is on schedule to go live on December 8. The second section provides an update from last year's November report on the sources of revenue and uses of the Modernization Fund.

Update on VTax Project

Our July report described the Department's contract with FAST Enterprises, LLC for an integrated tax system. VTax will provide a modern electronic platform to handle all aspects of taxpayer interaction for all tax types. Among other things, VTax will enable the Department to provide modern customer service, including e-services; to produce enhanced accounting and reports; and to ensure the best practices in essential security. With a single view of the taxpayer, VTax will improve our ability to analyze data and maximize audit initiatives. When fully installed, VTax will allow the Department to retire three legacy systems.

The FAST solution is in full production in over sixteen states. FAST moved over 20 employees to Vermont for VTax implementation upon contract signing in January, and every milestone for phase one, corporate and business taxes, has been met. Since the July report, VTax has been undergoing extensive testing; system testing on various functions, and currently, three passes of end to end testing. The usability of the online portal is being evaluated with the assistance of practitioners and businesses. All staff is now receiving training. Currently we are on track to "go live" with VTax on December 8. In January, the Department will be able to accept and process corporate and business taxes online for the first time, which addresses a major complaint of preparers and taxpayers.

FAST also has completed installation and training of a microsimulation model developed by Chainbridge Software, LLC for sales and use and income tax. The Chainbridge model provides a robust analytical tool allowing JFO to send Tax data queries related to proposed tax changes and quickly receive reports based on aggregate data.

Update on the Modernization Fund

The Modernization Fund was first established in 2007, and the sources of funds and use of funds have been amended three times, as outlined below. However, the basic structure has remained that enhanced revenue from projects have been split 80/20 between the Modernization Fund and the General Fund. Prior to the VTax project, two modernization projects contributed to the Fund, a small data warehouse designed by the Department and a comprehensive data warehouse designed and installed by an experienced tax vendor, Revenue Solutions Inc. ("RSI"). RSI is paid from the Modernization Fund pursuant to its contract that runs through 2016. The main investment objective for the Modernization Fund is VTax, which itself will generate additional revenue necessary to pay FAST under its contract running through 2024.

An independent review of the FAST bid, utilizing a cost-benefit analysis with very conservative assumptions, concluded that over the 10 year life of the VTax project, Vermont will realize \$36M in increased revenue over and above vendor payment. After FY2024, the General Fund will reap the entire benefit of the Department's vastly improved capabilities to collect tax that is owed.

Last session, the Administration requested and received an amendment to the Modernization Fund to accommodate the FAST contract, extending the Modernization Fund to the end of the contract period in FY2024. However, although the structure of the revenues into the Modernization Fund is set, and the uses are defined, there currently has not been an appropriation sufficient to cover our contracts and project costs in out years. This session the Department, through the budget bill, will seek additional appropriation from the Modernization Fund, so that it can continue meet its contractual obligations to vendors and associated costs of the project.

This report outlines the history of the Modernization Fund. Attached is a table summarizing the revenue sources and expenditures to date.

History of the Fund

Creation in 2007: Department Data Warehouse and ETM Project

Source of Funds

The Modernization Fund was initially set up in 2007. The source of funds was primarily an in-house project by the Department to generate non-filer leads from Vermont Department of Labor data.

Use of Funds and Appropriation

A basic 80/20 split of revenue between the Fund and the General Fund was established. An appropriation of \$7.8M was made from the Fund in order to facilitate the Department's purchase of Oracle's Enterprise Tax Management ("ETM") product from CGI for use in administration of the corporate income and several other small taxes. The ETM project went live in 2010, and the Department continues to use this software. However, after extensive discussions with Oracle, and an RFI to survey the market, the Department decided in 2012 to seek other bids on an integrated tax system, ultimately resulting in the VTax contract with FAST.

The General Fund received \$2.74M as a result of the DOL Project. After payments to CGI/Oracle, the Modernization Fund brought forward \$2.76M for the Department to put toward VTax.

Amendment in 2011: RSI Data Warehouse

Source of Funds

A new source of funds was added: tax receipts received from the data warehouse built by RSI. RSI is under a five year contract running from 2011 to 2016. The data warehouse project (which includes non-filer detection, discrepancy analysis, refund fraud review, audit selection and collection scoring) currently is estimated to yield a total of \$16.1M in enhanced revenue. This represents tax amounts that are owed, but would not have been paid without modernizing the Department's collection tools.

An excellent example is refund fraud review. Prior to installation of the RSI warehouse, the Department had to review refund requests manually, utilizing several reports generated by our various legacy systems to find markers of fraud. Now the RSI warehouse compiles one daily list of suspicious requests, based on several sources of data and sophisticated algorithms. Without this tool, the Department could not have kept up with the explosion in fraudulent requests. Using this tool has enabled the Department to stop approximately \$1.5M in fraudulent refunds.

Use of Funds and Appropriation

Under the self funding principle, RSI agreed to be paid out of a sliding percentage of enhanced revenue generated from its warehouse. The Commissioner of the Department of Finance and Management approves the baselines from which the RSI enhanced revenue is measured. The 80/20 split between the Modernization Fund and the General

Fund continues net of the RSI payments. An appropriation of \$7.5M was made from the Modernization Fund in the 2011 Amendment.

RSI is forecasted to receive total payment of \$4.9M through 2016; it has been paid \$4.1M to date. The General Fund is forecast to receive a total of \$2.2M as a result of the RSI project, and \$8.9M from the RSI project will be retained in the Modernization Fund to put toward VTax. The RSI project currently is on time and on track to meet the five year forecast.

Amendment in 2013: VTax Project

Sources of Funds

The source of funds remained the DOL and RSI projects.

Use of Funds and Appropriation

Since the Department decided in 2012 to go back out to bid, the uses of the funds were amended to replace references to ETM with the generic "integrated tax system", and language was added to allow for planning and implementation. An additional \$9.02M was appropriated; together with the \$7.5M from 2011, the Modernization Fund carries a \$16.52M appropriation (these appropriations by their terms carry forward through FY2018).

Amendment in 2014: FAST Contract

Sources of Funds

The source of funds was expanded to include the VTax contract with FAST. As noted above, VTax will bring processing improvements across all tax types, and greatly expand the Department's refund review, data warehouse and compliance opportunities. This work will enable the Department to capture revenues that were previously uncollectable. 80% of the enhanced revenue from VTax, again as measured against baselines approved by the Commissioner of Finance and Management, is retained in the Modernization Fund. The Modernization Fund also was amended to sunset in 2024, at the conclusion of the FAST contract term.

Use of Funds

The 2014 Amendment added to the uses of the Modernization Fund the costs associated with the Chainbridge microsimulation model, included in the FAST contract (these amounts were due upon invoice). The Department has paid \$198,000 on the invoices for Chainbridge (net of JFO payments).

The VTax contract with FAST is divided into two parts, with the first four years representing implementation and the out years consisting of maintenance and support. As with the RSI contract, the implementation phase of the VTax contract with FAST is self-funded through additional tax receipts directly attributable to the project. The contract price with FAST is capped. FAST invoices the Department pursuant to completed milestones but the invoices will only be paid as the Department has available monies from enhanced revenue. The first phase of VTax will be complete by the end of 2014 and the Department anticipates enhanced revenue to start being generated in the second half of FY2015.

The FAST contract provides for a significant discount on the contract price for payments on invoiced amounts from funds not generated by the VTax Project. The Department reduced the contract price by \$395,000 by paying \$3.8M on the initial invoice from FAST for licensing from revenue already in the Modernization Fund due to the DOL and RSI projects.

Major Expenditures FY12, FY 13, and FY14 to Date

Aside from the payments to vendors outlined above, the Department has paid for associated costs related to the projects from the Modernization Fund. Major costs include \$631,261 to DII for hardware, maintenance and support; \$277,045 to replace our servers (CHAMP); \$328,810 for additional IT services necessary to support the continuing operation of ETM until it can be retired; and \$111,255 in VTax procurement costs.

Future of the Fund

Use of Funds and Appropriation

In order to continue to cover the contract price and associated costs for the lifespan of VTax, the Department intends to seek an additional appropriation in the 2015 budget from the Modernization Fund. No change in use of funds or the sources of funds is needed at this time.

Conclusion

The Department has successfully developed a model whereby modernization of its processes has brought in additional revenues for the state without raising taxes. 80% of those revenues are leveraged further on modernization efforts that continue to close the Tax Gap, the difference between the taxes owed and taxes actually paid.

This initiative will be completed with the installation of VTax, a modern integrated tax system. In the decade from 2011-2024, the Department will have thoroughly modernized its compliance processes and tax administration. The Department will have efficient, integrated operations that, among other things, will maximize employee productivity, provide data security, ensure accurate accounting, and furnish robust reports of revenue. Both the Administration and the Legislature will have better tools to analyze the impacts and results of future revenue proposals. Vermonters will be able to more easily pay the taxes they owe, for example, with standardized 24-hour online access to their accounts.

In the meantime, over the entire course of the Department's modernization, the General Fund will be receiving "found money". This money comes without any tax increase – it is amounts that would have escaped collection but for the Department's improved ability to ensure that what is owed is actually paid. After 2024, the Department will fully operationalize its costs with respect to VTax; at that point, all of the additional revenue from the modernization will accrue directly to the General Fund.

TAX COMPUTER SYSTEM MODERNIZATION FUND (MF)¹

Statutory References: Act 65 of 2007 Section 282, Act 63 of 2011 Section C.103, Act 1 of 2013 Section 65 and 66, Act 95 of 2014 Section 62

Sources of Funds: Enhanced revenue from DOL project (2007-2012), RSI data warehouse (2011-2016), FAST integrated tax system (2014-2024)

Use of Funds: Technology investments to allow for modernized compliance and an Integrated Tax System

DOL Project: 2007-January 29, 2012

	Total
Enhanced Revenue	\$13,308,724
Distribution:	
CGI/Oracle ²	\$7,800,000
GF	\$2,746,552
MF	\$2,762,172

RSI Project: 2011-2016 (Live: February 2012)

	Estimate (Cumulative through 2016)	To Date
Enhanced revenue	\$16,100,000	\$10,775,812
Distribution:		
RSI contract payments	\$4,900,000	\$4,158,611
GF	\$2,200,000	\$1,323,440
MF	\$8,900,000	\$5,268,121

MF Expenditures: FY2012-To Date

	Expenditure	To Date
FAST discounted contract payments ³		\$3,805,000
		(\$395,000 discount earned)
Chainbridge (net JFO)		\$198,264
DII hardware, maintenance, and support		\$631,261
VTax procurement services		\$111,255
Other VTax project expenses ⁴		\$45,424
Oracle services ⁵		\$32,030
CHAMP (servers)		\$277,045
Additional IT FTE ⁶		\$328,810
Total		\$5,429,089

¹ To date is as of FY15 Q1.

² \$7,800,000 appropriation in 2007, payments 2008-2011.

³ Payments made to FAST outside of VTax Project benefits-based payments generate a discount to the contract price.

⁴ Additional services paid through the Department's budget.

⁵ Additional services paid through the Department's budget.

⁶ IT FTE will eventually be rolled into the Department's budget.



GG. VI

State of Vermont
Department of Human Resources
Office of the Commissioner
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Agency of Administration

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TO: Joint Fiscal Committee
Government Accountability Committee
House Committee on Government Operations
Senate Committee on Government Operations

FROM: Maribeth Spellman, Commissioner *MS*

DATE: October 27, 2014

SUBJECT: Position Pilot Program

In accordance with Act 179, Sec. E.100(d), Secretary of Administration Jeb Spaulding has approved the attached position pilot request from the Agency of Transportation (VTrans).

The written description required by Act 179, Sec. E.100(d)(4), including the method for evaluating the cost-effectiveness of the positions, as provided by VTrans, is attached for your information.

The Department of Human Resources fully supports this request and we believe the request is an appropriate use of the Position Pilot.

Summary of Agency of Transportation's Position Pilot Request

VTrans proposes creating 24 positions at this time to achieve cost savings by reducing consultant costs and hiring additional staff. VTrans spent over \$20 million on consultants in FY14, adding these positions will reduce consultant costs by over \$1 million.

VTrans also expects to reduce overtime costs, draw down additional federal funds, and receive more state fund revenues through the investment in new staff. In addition to cost savings, and equally important, the new positions will assist VTrans with advancing their strategic plan goals, improving outcomes for the travelling public, and achieving efficiencies in the Agency.

Any questions should be directed to Molly Paulger at 828-3517.

c: Secretary Spaulding
Secretary Searles
M. Paulger

Position Classification Name	DepID	Organization Name	Position Classification	Grade	Step	Base Salary	Health	Dental	Retirement	Life	EAP	Benefit Total	Medicare	OASDI	Total Salary + Benefits	Estimated State	Estimated Federal
Commercial Veh Enfranch Insp	8100002100	Department of motor vehicles	069100	23	03	48,776	17,575	676	8,346	202	34	28,833	707	3,024	79,340	59,565	19,835
Project Manager	8100002100	Department of motor vehicles	069100	28	08	77,505	17,575	676	13,278	321	34	31,884	1,125	4,811	115,425	115,425	0
Civil Engineer V	8100001100	Transportation - program development	128300	24	15	65,400	11,746	676	11,190	271	34	23,917	948	4,055	94,320	56,592	37,728
Civil Engineer III	8100001100	Transportation - program development	128100	22	07	52,333	6,391	676	8,954	217	34	16,272	759	3,245	72,609	43,565	29,044
Civil Engineer III	8100001100	Transportation - program development	128100	22	07	52,333	6,391	676	8,954	217	34	16,272	759	3,245	72,609	43,565	29,044
Civil Engineer III	8100001100	Transportation - program development	128100	22	08	54,101	17,575	676	9,257	234	34	27,766	794	3,354	86,005	51,803	34,402
Civil Engineer IV	8100001100	Transportation - program development	128200	23	08	45,876	17,575	676	7,449	180	34	26,324	865	2,944	75,709	45,425	30,284
Civil Engineer IV	8100001100	Transportation - program development	128200	23	07	55,390	17,575	676	9,417	229	34	27,991	803	3,434	87,616	52,571	35,047
Civil Engineer V	8100001100	Transportation - program development	128300	23	08	57,346	17,575	676	9,812	237	34	28,334	832	3,555	90,057	54,040	36,027
Civil Engineer V	8100001100	Transportation - program development	128300	24	02	49,816	11,746	676	8,324	206	34	21,186	722	3,089	74,813	44,888	29,925
Civil Engineer VI	8100001100	Transportation - program development	128400	24	14	72,290	17,575	676	12,267	289	34	30,551	1,048	4,481	108,760	65,256	43,504
Civil Engineer VI	8100001100	Transportation - program development	128400	25	07	64,210	17,575	676	10,386	266	34	29,537	931	3,981	98,659	59,185	39,464
Civil Engineer VI	8100001100	Transportation - program development	128400	25	15	79,019	17,575	676	13,520	327	34	32,132	1,146	4,899	117,186	70,316	46,878
Civil Engineer VII	8100001100	Transportation - program development	128500	26	10	68,596	17,575	676	11,727	284	34	30,296	894	4,240	104,073	62,445	41,630
Civil Engineer VII	8100001100	Transportation - program development	128500	26	12	77,085	17,575	676	13,189	319	34	25,994	1,118	4,779	108,946	65,368	43,578
Civil Engineer VII	8100001100	Transportation - program development	128500	26	13	79,310	17,575	676	13,570	328	34	25,964	1,150	4,917	108,946	65,368	43,578
ACT Planning Coordinator II	8100002200	Transportation - policy & planning	127200	25	04	60,154	17,575	676	10,292	249	34	28,826	872	3,730	93,582	56,149	37,433
Marketing Specialist	8100002200	Transportation - policy & planning	127200	25	04	60,154	17,575	676	10,292	249	34	28,826	872	3,730	93,582	56,149	37,433
State Airt Oper Spec	8100002300	Transportation - public transit	128000	22	06	47,486	6,391	676	9,032	167	34	15,423	689	2,944	66,542	39,825	26,617
Business Process Manager	8100002300	Transportation - public transit	128000	24	03	51,636	13,938	676	8,833	285	34	30,255	990	4,235	103,787	51,894	31,612
Administrative Assistant A	8100002300	Transportation - finance & administration	060100	17	02	33,883	6,391	676	5,797	140	34	13,038	491	2,101	49,513	28,708	19,805
						1,422,030						599,266			2,127,833	1,349,979	777,704

VTRANS POSITION PILOT REQUEST

I. SUMMARY:

VTrans received 78 staff requests for new positions. At this time, we are requesting 24 positions -- 23 fulltime and 1 limited service. Short and long term funding is available for these positions and in some cases additional dollars will be accessed through these proposed employees. We anticipate increasing our position request in six months, after we have discussed with legislature and are able to assess and document our initial savings and efficiencies.

II. JUSTIFICATIONS FOR NEW POSITIONS

1. Cost Savings

The primary benefit of adding these new positions is to achieve cost savings by reducing our consultant costs. In FY 14, over \$20,000,000 was spent on consultants. Knowing that consultants cost 25% more than state employees for the same service, we know we can achieve savings in this area. By employing these individuals, VTrans will manage its current workload more efficiently and effectively at a lower cost. Predicting the exact cost savings is difficult given that projects and consultant deployment changes from year to year. However, in total, VTrans estimates cost savings totaling \$1,361,000 in fiscal year 2014 dollars had we had hired the recommended positions.

2. Achievement of our Strategic Plan Goals

Collectively, this investment in new employees will help us to achieve the top goals of our strategic plan, as follows.

- **Provide a safe and resilient transportation system** – safety in rail and aviation will be improved. Depth of bench for overall emergency response and recovery will be improved.
- **Preserve, maintain and operate the transportation system in a cost effective manner** – reduction in consultant costs, improvement of oversight and better maintenance and operations on rail, aviation and highway systems.
- **Cultivate and continually pursue innovation, excellence and quality customer service** – greater opportunities for innovation, and better customer service from people employed, trained and inculcated in VTrans missions, values and goals.
- **Develop a work force to meet the strategic needs of the Agency** – Succession Planning – 18% of our workforce will be eligible for retirement at the end of 2015 and by 2023 that grows to 45%. New staff allows for better transfer of information, skills and knowledge. In each of the areas of new staff investment, we anticipate staff turn-over that must be managed proactively.

3. Financial Savings and Efficiency

- **Oversight of consultants.** The overhead to procure, execute, administer, issue work orders, process payments, validate work completed, and close out contracts adds both time and money. The amount of money is estimated to be in the tens of thousands of dollars annually. Further analysis of savings will be performed during the pilot with tracking tools being implemented along the way.
- **More efficient processes in DMV means transportation fund dollars coming in faster for less cost.** DMV must implement software changes to be more efficient. DII currently requests the hiring of outside consultants to project manage the software implementation. Rather than spend money on outside consultants, DMV would hire a project manager to manage several projects and lead the department toward greater skill building and fuller utilization. A full-time dedicated project manager would cost approximately \$80,000 year and can work on several projects simultaneously. Hiring contract project management professionals for each project can cost well over \$100,000/fiscal year depending on the size and scope of the project.
- **More efficient processes mean greater capacity to get more work done with the same number of people.** Industry standards estimate a 20 – 25 % reduction in staff costs by engaging in a process improvement activities. Early estimates in the Right of Way Process indicate the potential of savings over a \$ 1million dollar in staff costs in 3 years.
- **Reduce overtime.**
 - i. **PPAID** – We expect a reduction of overtime of almost \$20,000
 - ii. **Highway** – We also expect a reduction in overtime in the highway division. An estimate is not available at this time.

4. **Increased state and federal funds**

- **Policy and Planning – Grants** –VTrans has one individual who has brought in over \$100 million in discretionary grants. There are additional grants we could apply for and need to supplement his efforts to increase the number and amount of funds for VTrans.
- **DMV Enforcement** – The Commercial Vehicle Enforcement (CVE) Unit currently receives several pools of funds but does not, on an annual basis draw down all available dollars. The CVE unit will shift sources of funding on current positions in order to free up dollars to fund the CR pilot position.

5. **Resilience** - ability to respond to crises for less cost and without delaying planned projects

- **Rail** – For the past three years, the rail section has responded to 6 – 8 emergency events a year which unnecessarily delays projection in the regularly planned program. These planned projects are often critical maintenance projects and necessary to ensure safe rail travel in Vermont.
- **Highway** – If Irene taught us anything it is how critically important it is for the Agency to be nimble and staffed at a capacity that allows a migration of available staff to deploy to an incident at a moment's notice. In order for the State of Vermont to remain resilient we need an adequately populated, trained, and experienced bench to pull from.

III. PROPOSAL:

Department of Motor Vehicles – 2 positions

Commercial Vehicle Safety Officer, DMV

The Department of Motor Vehicle Commercial Enforcement Unit has 21 sworn law enforcement officers who enforce the laws and regulations related to commercial vehicle safety issues. They also have the responsibility of conducting Commercial Reviews on carriers who have been identified as having issues related to committing serious traffic violations, hours of service compliance, driver fitness, drug and alcohol violations, vehicle maintenance, hazmat compliance and financial responsibility. Inspections have detected 58% more serious violations than the national average. While DMV has used one of its sworn officers to conduct these reviews, the reviews have reduced the position's roadside enforcement inspections by 62%. In order to complete more reviews without reducing the level of roadside enforcement, the department would hire a new, non-sworn position to conduct the reviews. FHWA would cover 80% of these costs and the state would cover 20%. Fines related to the CR would easily cover the additional state costs on a yearly basis. This investment would support safer roads and continued work force development.

Project Manager, DMV

DMV is responsible for bringing in 100% of the transportation funds revenue. Investment in DMV translates to bringing in dollars more efficiently and effectively. Historically DMV has been well served by 5 project managers who implement legislative mandates and process improvement projects. In the last two years more of the projects are technical and complex IT related projects requiring a higher level of expertise and training than is currently available. In order to maximize use of the current staff, and meet the Department of Information and Innovation's requirements for project managers, DMV would hire a certified, professional project manager to lead the project managers and work in close collaboration with IT staff and all other divisions. The use of the software and the ability to reallocate contracted project management consultant costs will save DMV hundreds of thousands of dollars over multiple years. Furthermore the DMV Project Manager will assist DMV in improving workforce development and assist in further improvements in internal and external customer satisfaction.

Highway – 15 positions

Civil Engineers or Technicians, Highway

In FY 2014, the Highway Division spent over \$20,000,000 in consultants, and has been in double digits for a number of years with no end in sight with current staffing levels. Consultants cost 25% more to provide the same service. Additionally the oversight, quality control, and administration requirements result in additional VTRANS costs. Through the position pilot we intend to hire 15 civil engineers or technicians to replace work currently being done by

consultants. A conservative estimate indicates that we would spend \$1,500,000 (\$100,000sx15) to replace \$2,000,000 in consultant costs. We expect additional costs savings and other nonmonetary benefits such as succession planning to be realized. Further analysis and tracking tools will be implemented as new positions are developed.

Policy Planning and Intermodal Development – 5 positions

AOT Planning Coordinator II, Policy and Planning

Currently the Policy and Planning Section has one Planning Coordinator III dedicated to on demand policy research and analysis services to the secretary, deputy secretary and other executive staff. Additional responsibilities include grant writing (generating over \$100 million during the last five years), and managing and participating in major studies that guide major investments and policy decision by the agency. In FY 2014, the current employee logged over 250 in overtime hours. Additionally \$720,000 in consultant services contracts are in the FY 2015 budget. With an additional planning coordinator it is estimate that overtime hours could be reduced by almost \$20,000 and at least \$109,000 of consulting costs could be eliminated.

Civil Engineer VIII, Rail Program

Over the past three years, the rail section has been responding to approximately 6 – 8 emergencies a year. With only two engineers on staff, consultants are brought in to handle the additional volume. In addition to higher costs, oversight of consultants takes time away from scheduled projects. With an additional engineer we expect a consultant cost savings of \$95,000 annually and greater capacity to meet the regularly scheduled projects. In addition the position will manage the crossing maintenance program and assist with the FRA Bridge Management program. This position will be funded with 50% state dollars and 50% federal funds.

Go! Vermont Program Manager, Public Transit

The Go! Vermont program has grown significantly since 2010. To manage the program's we have hired outside consultants to manage different aspects of the program. The pilot position can expect to reduce consultant services by \$67,000. The current Program Manager will no longer function in dual roles and preparation will be started for the pending retirement of the current Director of Public Transit.

Marketing Specialist, Public Outreach

With two FTE's in public outreach and a growing demand for customer information and interface, we often resort to hiring outside consultants to do construction outreach work, basic video production, graphic design, social media support and copy writing. Hiring a pilot position will allow for consultant costs savings of about \$62,000 and allow for better oversight, coordination and integration with other communication activities.

Aviation Operation Specialist, Aviation Section – Limited Service Position

Currently 1 FTE covers the entire 10 state owned airports. With 28 runways, 8 fuel farms, 37 buildings, 1.7 million square feet of apron, the current operations specialist has too much to keep track of and there is significant concern of burnout. The new specialist will decrease operating costs by attending to maintenance costs before they become a crisis. While we believe this position is necessary once needs are attended to, the needs of the airports may decrease. Therefore a limited service position is the suggested.

Finance and Administration – 2 positions

Manager of Performance, Innovation, and Excellence - Finance and Administration

We propose the creation of a Performance, Innovation and Excellence (PIE) section within Finance and Administration. The section would be led by a new (pilot) position and charged with promoting process improvement, innovation and excellence throughout the agency by leading process improvement activities, promotion and support of innovation and performance measurement. A fully dedicated leader is a critical requirement to champion innovation and continuous improvement throughout VTrans and to oversee current Business Process Management and activities.

Administrative Assistant, Legal (conversion of temporary position to permanent)

Currently the staff of VTrans Legal Section has 4 VTrans focused lawyers supported by one administrative position. A temporary administrative assistant was in place for over two years but recently reached available hours. This position would replace the temporary position. VTrans has experienced a significant increase in construction claims (both as to dollar volume and legal/factual complexity). In part, this is a delayed effect of the increased size of the VTrans construction program. Moreover, Vermont now has law firms which specialize in representing contractors in construction claim cases, which means that the contractors' lawyers are filing more aggressive public record requests, as well as engaging in more sophisticated pre-hearing discovery (document requests, interrogatories, depositions, etc.). The Transportation Board also has become more demanding in its filing requirements – for example, now wanting 10 copies of voluminous legal filings, hearing exhibits, etc. Current volume and complexity of claims requires additional assistance beyond the one administrative FTE. The Attorney General has requested this position be added to support workload. Funding will come from replacing the current temporary position. Total costs will be slightly higher.

IV. MONITORING AND REPORTING:

In order to assess the impact of the position pilot on reduced costs and an increased ability to deliver on our mission, VTrans will require quarterly reports on the impact of the position pilot. These reports will serve as the basis for our annual report on the pilot.

**Report to
The Vermont Legislature**

**Substance Abuse Treatment Services
Objective and Performance Measures**

In Accordance with Act 179 (2014) Sec. E.306.2

Submitted to: Joint Fiscal Committee
House Committee on Human Services
Senate Committee on Health and Welfare
Senate Committee on Appropriations
House Committee on Appropriations

Submitted by: Chief of Healthcare Reform
Secretary of Human Services
Commissioner of Health
Commissioner of the Department of Vermont Health
Access

Prepared by: Staff of Agencies Named Above

Report Date: September 11, 2014



AGENCY OF HUMAN SERVICES
Department of Health
Department of Vermont Health Access

Substance Abuse Treatment Services Objective and Performance Measures September 11, 2014

Executive Summary

The State of Vermont administers programs through multiple departments and agencies to prevent and treat alcohol and drug misuse. The State's **objective** in supporting these programs is to prevent and eliminate the problems caused by alcohol and drug misuse. We use consistent, defined **measures** to measure how much we are doing, how well we are doing, and whether we're making a difference.

We currently use four performance measures of substance abuse treatment; a fifth measure is under development.

1. Are we **referring** students who may have a substance abuse problem to community resources?
2. Are youth and adults who need help **starting** treatment?
3. Are youth and adults who start treatment **sticking with** it?
4. Are youth and adults leaving treatment with **more support** than when they started?
5. Are adults seeking help for opioid addiction receiving treatment? (under development)

We report progress toward our objective and our performance measures on the Vermont Department of Health Performance Dashboard¹.

¹ Healthy People 2020 Dashboard: <http://healthvermont.gov/hv2020/index.aspx>

Substance Abuse Treatment Services Objective and Performance Measures

September 11, 2014

Legislative Charge

Sec. E.306.2 SUBSTANCE ABUSE TREATMENT SERVICES

(a) Program Objectives And Performance Measures:

(1) On or before September 15, 2014, the Chief of Health Care Reform, the Secretary of Human Services, and the Commissioners of Health and of Vermont Health Access in consultation with the Chief Performance Officer shall submit to the Joint Fiscal Committee, the House and Senate Committees on Appropriations, the House Committee on Human Services, and to the Senate Committee on Health and Welfare the program objectives for the State's substance abuse treatment services and three performance measures to measure success in reaching those program objectives.

(2) Thereafter, annually, on or before January 15, the Chief, Secretary, and Commissioners shall report to those Committees on the service delivery system's success in reaching the program objectives using the performance measure data collected for those services.

Background

Substance abuse services are provided through many different departments and divisions state government as shown in Figure 1.

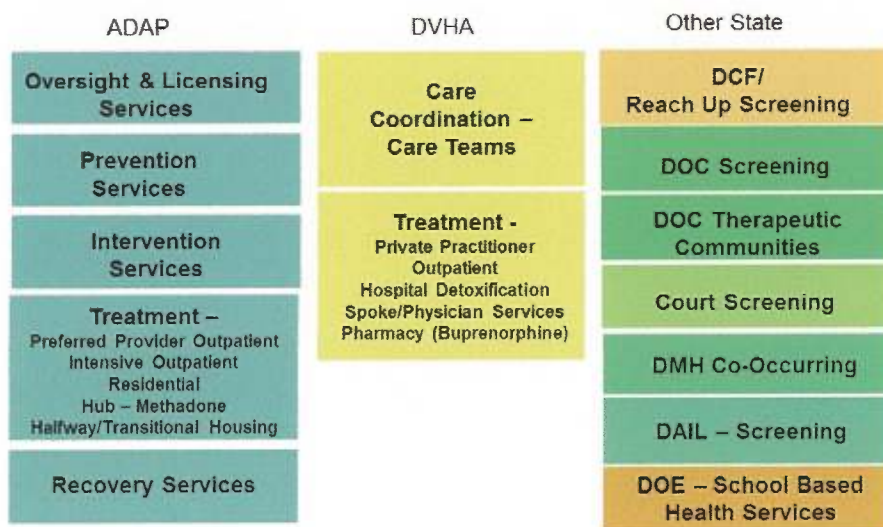


Figure 1

Funding for Substance Abuse Treatment Services at the Agency of Human Services

The Vermont Department of Health, Division of Alcohol and Drug Abuse Programs (ADAP) and the Department of Vermont Health Access (DVHA) fund the majority of treatment services in Vermont as shown in Figure 2.

ADAP and DVHA collaborate on treatment initiatives, most recently the development of the Care Alliance for Opioid Addiction, a statewide partnership of clinicians (“Spokes”) and treatment centers (“Hubs”) to provide Medication Assisted Therapy (MAT) to Vermonters who are addicted to opioids. ADAP and DVHA each fund a unique set of services, only one of which is the Hub and Spoke. A breakdown of the services provided by each ADAP and DVHA is shown below:

- **ADAP** oversees the Preferred Provider system which delivers specialty outpatient and residential addiction treatment as well as opioid “Hub” medication assisted treatment services. The Preferred Provider system delivers these services to uninsured Vermonters, individuals with other types of insurance, and Medicaid recipients through the ADAP Medicaid carve-out as represented by the individuals in the black box in Figure 2 below.
- Medicaid, administered through **DVHA**, pays for medical services for Medicaid recipients. The services DVHA funds include hospital services, opioid “Spoke” medication assisted treatment services, lab tests, pharmacy claims, and private practitioner licensed clinical social workers and licensed mental health counselors providing outpatient substance abuse services.

Some services are provided by third party payers and Medicare but they make up a small portion of the total people receiving substance abuse treatment.

Estimated Funding Responsibility for Substance Abuse Treatment Services in Vermont

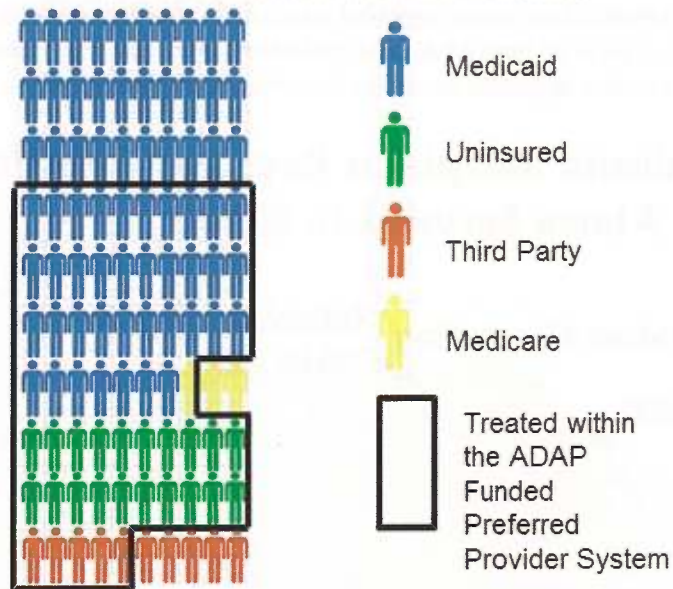


Figure 2

Substance Abuse Treatment Service Delivery to Medicaid Recipients in SFY13

In SFY2013, over 11,000 Medicaid recipients received substance abuse treatment with 41% of people receiving treatment service through both ADAP and DVHA Medicaid treatment providers (Figure 3). There are also a smaller number of people served by Department of Mental Health (DMH) providers.

11,138 Medicaid Recipients Received Substance Abuse Services in SFY13

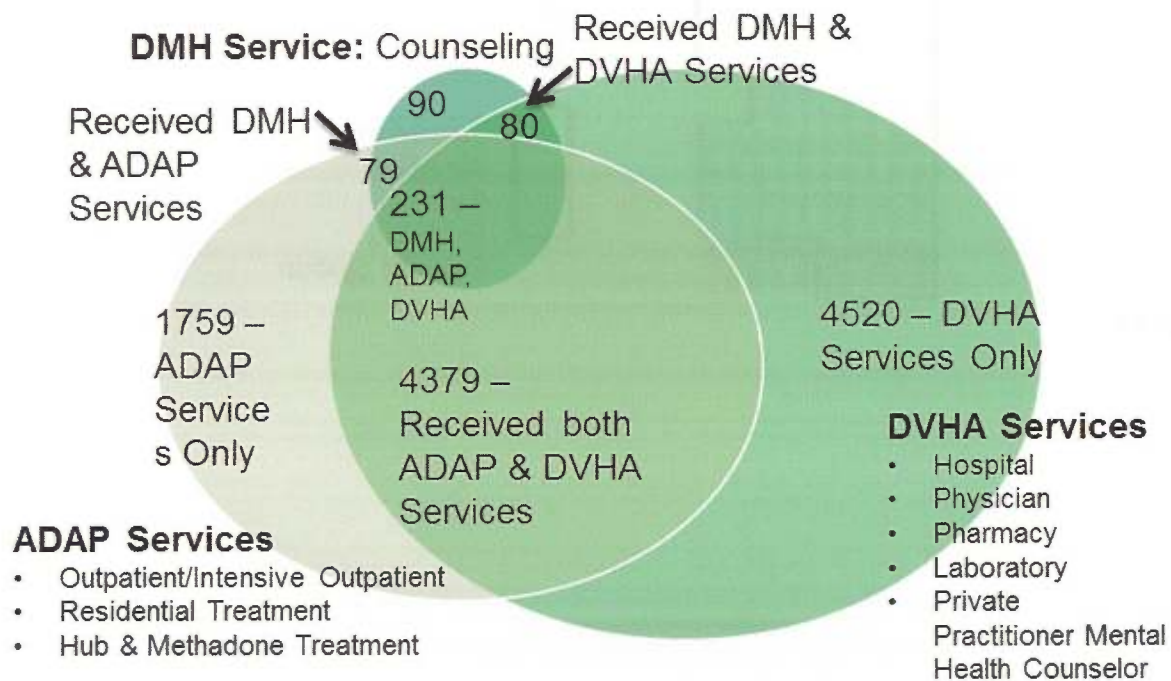


Figure 3

Measuring Performance for Substance Abuse Treatment Services

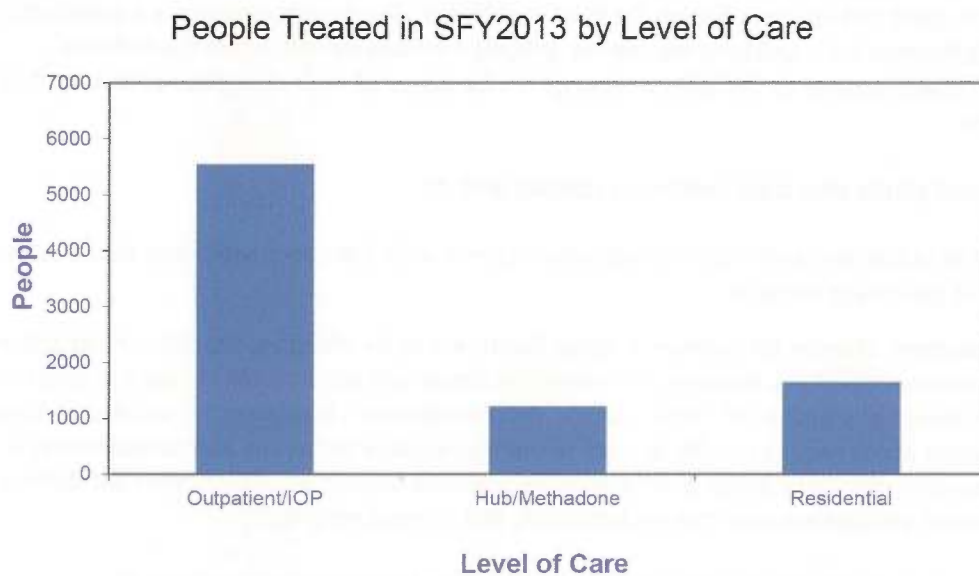
Different types of data are collected for each group of providers:

- ADAP collects demographic data and information about substances being used at treatment admission and discharge,
- DVHA has claim level service data, and
- DMH collects its own service level and demographic information.

In other words, **there is no common data system covering all state-funded substance abuse treatment.** In order to most accurately reflect the services being provided, measures were selected from both the ADAP data collection system and the DVHA claim level data.

The existing strategic plans, outcome indicators, and performance measures in use in Vermont were reviewed as part of the process of addressing this legislative request. Appendix I shows how substance abuse measures are integrated in Vermont.

- As part of the Department of Health and as an Agency of Administration VANTAGE pilot site, ADAP has an existing objective and set of performance measures for the ADAP-funded system that are reported on the Healthy People 2020 Dashboard. These measures have been validated through a VDH, ADAP, and provider process. They are currently linked to provider performance measures which are incentivized within the grants. These performance measures focus on the outpatient level of care because significantly more people receive this service than any other as seen below for SFY2013.



- DVHA reports standardized performance measures for health plans on the full Medicaid population, the National Committee for Quality Assurance (NCQA) developed Healthcare Effectiveness Data and Information Set (HEDIS) measures.

Substance Abuse Treatment Services Objective and Performance Measures

As explained above, there is no single data set that reflects the total substance abuse treatment population. In order to more accurately represent the services offered statewide, performance measures have been selected from both ADAP and DVHA data sets. While most of the performance measures below apply to the general treatment population, it is also important to include a measure specific to the recently-implemented Hub and Spoke initiative. The overall objective applies to all state substance abuse treatment services.

Substance Abuse Treatment Objective

The State of Vermont Agency of Human Services provides substance abuse prevention, intervention, treatment, and recovery services in order to decrease the individual, family, and societal impact of substance misuse while empowering Vermonters to embrace resiliency, wellness, and recovery.

Performance Measures -- ADAP Treatment Population

The following performance measures are used to assess progress in achieving the State's substance abuse treatment objective. The first three measures have been used for the Agency of Administration VANTAGE Pilot Project and are included on the VDH Dashboard. The fourth measure is a standardized Healthcare Effectiveness Data and Information Set (HEDIS) measure developed by the National Committee for Quality Assurance (NCQA) to evaluate performance of insurance plans across the full plan population.

1) Are youth and adults who start treatment sticking with it?

Detail: Percent of outpatient and intensive outpatient clients with 2 or more substance abuse services within 30 days of treatment initiation.

Why is this important: In order for substance abuse treatment to be effective, the client must actively engage in the treatment process. Research indicates that those who are actively engaged in treatment have better treatment and quality of life outcomes. Behavioral health treatment for substance abuse is an ongoing process which requires multiple visits to modify negative behaviors and attitudes that are often associated with substance abuse problems, build the skills needed to address the contributing factors in addiction, provide a supportive environment, and prevent relapse.

2) Are youth and adults leaving treatment with more support than when they started?

Detail: Percent of treatment clients (excluding residential detoxification and detoxification treatment) who have more social supports on discharge than on admission.

Why is this important: To ensure lasting recovery, individuals working to overcome problems with alcohol and substance abuse and addiction, need to be surrounded by stable, positive supports from friends, family and others, including safe and drug free housing environments. Otherwise, the chaos, stigma, shame and isolation often associated with those struggling with addiction may undermine any efforts at achieving and sustaining recovery. Research has shown that the greater number of stable and positive social supports greatly improves recovery success.

3) Are we referring students who may have a substance abuse problem to community resources?

Detail: Percent of students at funded schools who screen positive for possible substance abuse disorders who are referred for a substance abuse assessment.

Why is this important: Early identification of substance use issues has been shown to improve treatment and recovery efficacy and significantly enhance overall prevention outcomes. Screening and

referral services for substance abuse and mental health using evidence-based tools (CRAFT and GAIN short screener) are essential components of our School-based Substance Abuse Services (SBSAS) grants. Select staff at funded schools are trained in the use of these tools. Screening should be used to supplement and enhance the judgment of clinical line staff.

4) Are youth and adults who need help starting treatment?

Detail: The percentage of adolescents and adults Medicaid recipients with a new episode of alcohol or other drug (AOD) dependence who initiate treatment through an inpatient alcohol or drug admission, outpatient visit, intensive outpatient encounter or partial hospitalization within 14 days of the diagnosis (Initiation of AOD Treatment).

Why is this important: Early identification of substance use issues has been shown to improve treatment and recovery effectiveness and significantly enhance overall population prevention outcomes. Too often, even when potential substance abuse issues have been identified, individuals choose to not address it or do not have access to necessary services. The state has recently begun an initiative to provide substance abuse screening, brief intervention, and referral services to Vermonters in primary care settings.

Additional Performance Measure – Opioid Treatment Population- Under Development: Significant state resources have been appropriated for opioid treatment services in response to a demonstrable high demand for medication assisted treatment for prescription opioid and heroin addiction. This measure will show changes in the total system capacity, hubs and spokes combined, over time. The methodology to be used for this measure is under development and may require multiple data sets: ADAP treatment data, Medicaid Claims, the all payer database known as VHCURES, and possibly the Vermont Prescription Monitoring Program.

5) Are adults seeking treatment for opioid addiction receiving treatment?

Detail: The per capita rate of individuals receiving treatment for opioid addiction is increasing. (Measure under development)

Why is this important: At this time there are waiting lists for opioid treatment services in the hubs and there is limited provider capacity in the spokes. Receipt of appropriate level of care has been shown to improve quality of life and decrease criminal behavior and increase overall effectiveness of treatment.

Conclusion

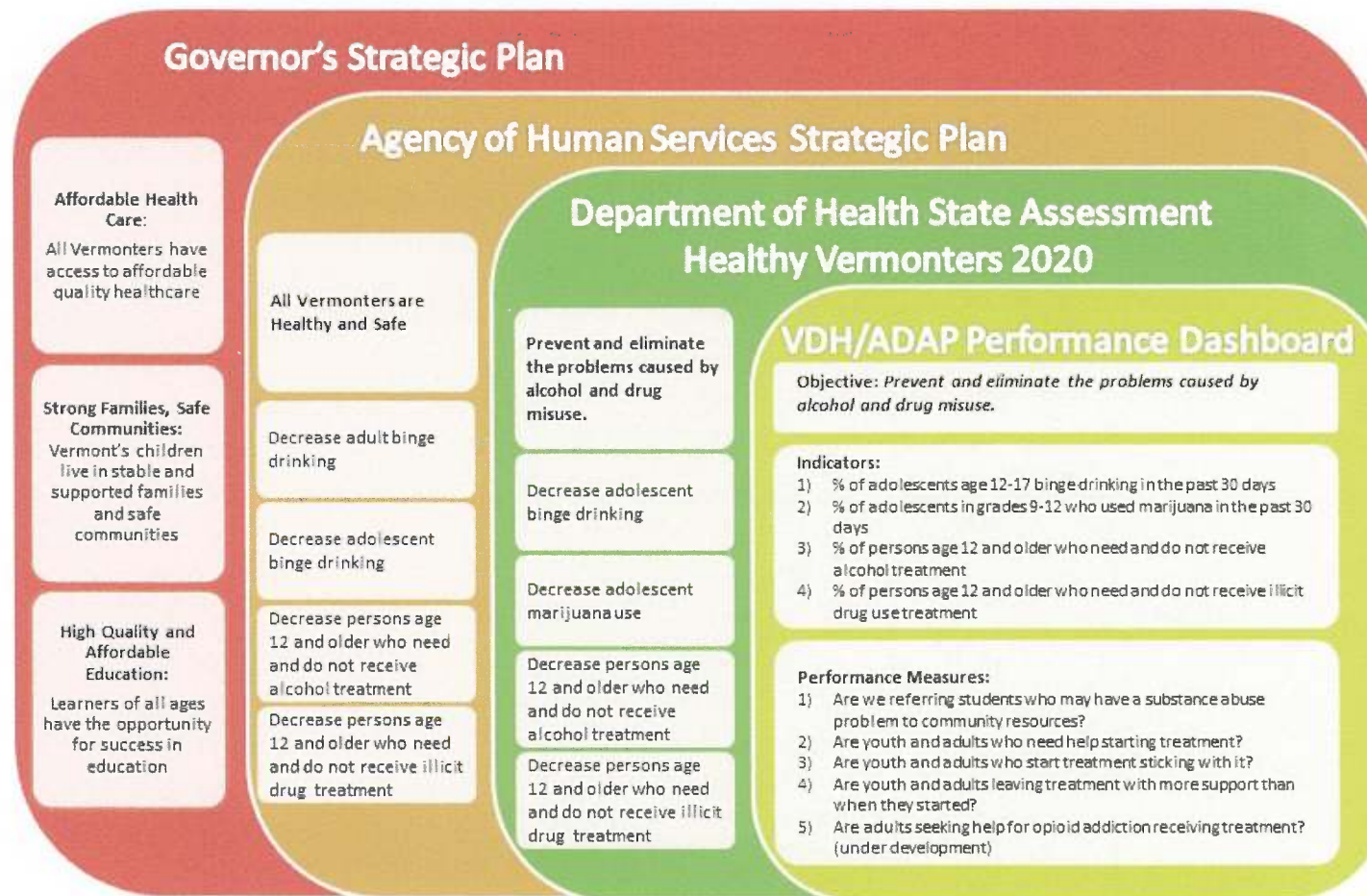
The objective and selected substance abuse treatment performance measures are consistent with the integrated plans outlined in the Governor's Strategic Plan, the Agency of Human Services Strategic Plan, and the Vermont Department of Health State Assessment/Healthy Vermonters 2020. This is reported on the Vermont Department of Health Performance Dashboard.

The **objective** is to prevent and eliminate the problems caused by alcohol and drug misuse.

The **performance measures** being used to monitor progress are:

1. Are we **referring** students who may have a substance abuse problem to community resources?
2. Are youth and adults who need help **starting** treatment?
3. Are youth and adults who start treatment **sticking with** it?
4. Are youth and adults leaving treatment with **more support** than when they started?
5. Are adults seeking help for opioid addiction receiving treatment? (under development)

Appendix I – Integration of measures across state plans



Non-medical use of prescription drugs is included in the definition of illicit drugs.

Vermont Department of Health, Division of Alcohol and Drug Abuse Programs, August 2014

Substance Abuse Treatment Services Objective and Performance Measures

September 11, 2014

11



Vermont Tobacco Evaluation and Review Board

Vermont Agency of Human Services • 13 Baldwin Street • Montpelier, VT 05602
Tel: 802-828-1940 • Email: stephen.morabito@state.vt.us

To: Joint Fiscal Committee Members

From: Stephen Morabito, VTERB Administrator *Stephen*

CC: Theresa Utton-Jerman, Staff Associate, Joint Fiscal Committee ✓

Re: Tobacco Prevention, Cessation and Control Program budget recommendations from VT Tobacco, Evaluation & Review Board [18 V.S.A. Sec. 9505 (9)] [Agency of Human Services]

Date: September 9, 2014

On behalf of the Vermont Tobacco Evaluation and Review Board (VTERB), our understanding is that the mandate in the FY13 Appropriations Bill Section E312.1 "Sustainability of Tobacco Control", and the resulting plan, makes 18 V.S.A. Sec. 9505 (9) unnecessary in planning for fiscal year 2016.

As requested in Section E312.1 "Sustainability of Tobacco Control" of the FY2013 Appropriations bill, the Vermont Tobacco Evaluation and Review Board (VTERB) and the Administration have developed a plan for funding the Tobacco Control Program for the three budget years FY2014-2016. The plan elements were established in a memorandum dated January 11th, 2013. I have asked Ms. Utton-Jerman to provide a copy of that memo to the JFC.

The base budget for tobacco control appropriations derived from Master Settlement Agreement (MSA) funds for the Departments of Health and Liquor Control, the Agency of Education, and the Tobacco Evaluation and Review Board should be level funded compared to the current year; that is a total of about \$3,971,713 for FY16. This includes global commitment dollars for the Vermont Department of Health.

**State of Vermont**

Department of Mental Health

Commissioner's Office

Redstone Office Building

26 Terrace Street

Montpelier VT 05609-1101

<http://mentalhealth.vermont.gov/>*Agency of Human Services*

[phone] 802-828-3824

[fax] 802-828-1717

[tty] 800-253-0191

MEMORANDUM

TO: Mental Health Oversight Committee
Health Care Oversight Committee
Joint Fiscal Committee

FROM: Paul Dupre, Commissioner of the Department of Mental Health

DATE: September 19, 2014

RE: September 2014 Monthly DMH Report to the Mental Health Oversight Committee

Attached please find the July, 2014 report to the Committees on Mental Health and Health Care consistent with reporting provided to the general assembly in April 2014.

I. Reporting Provided to General Assembly

- a. Utilization of Inpatient and Crisis Beds (FY2013-2014)
- b. Level 1 Inpatient Utilization: Statewide and by Hospital (2013-2014)
- c. Level 1 Inpatient Capacity and Utilization, Vermont Statewide (FY2012-FY2014)
- d. People with Involuntary Admissions, Comparison of Level 1 and Non-Level 1 (FY2013-FY2014)
- e. Average Numbers of People Waiting Inpatient Placement (2013-2014)
- f. Vermont State Hospital and Designated Hospitals, Emergency and Forensic Admissions (FY2002-2013)
- g. Wait Times in Hours for Involuntary Inpatient Admission (2013-2014)

II. Additional Reporting Requests

- a. Sheriff Supervisions in Emergency Departments
- b. Involuntary Non-Level 1 and Level 1 bed days (FY2013)
- c. Average Distance to Psychiatric Inpatient Care (2014)
- d. Outstanding Reporting Requests in Development

III. Vermont Department of Mental Health System Snapshot (2012-2014)

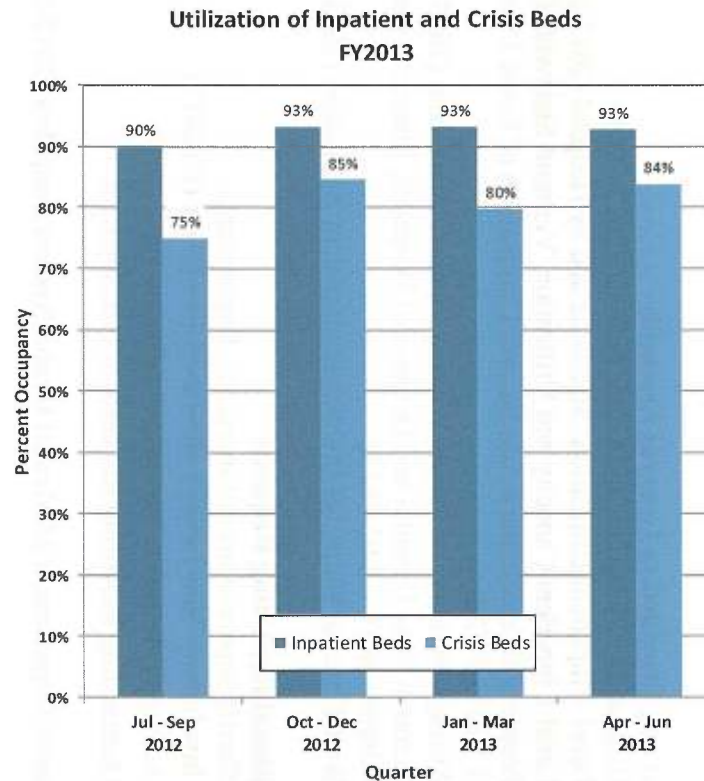
Respectfully submitted by the Department of Mental Health.

Please direct any inquiries for additional data collection or report content development to Paul Dupre, Commissioner of the Department of Mental Health; paul.dupre@state.vt.us.

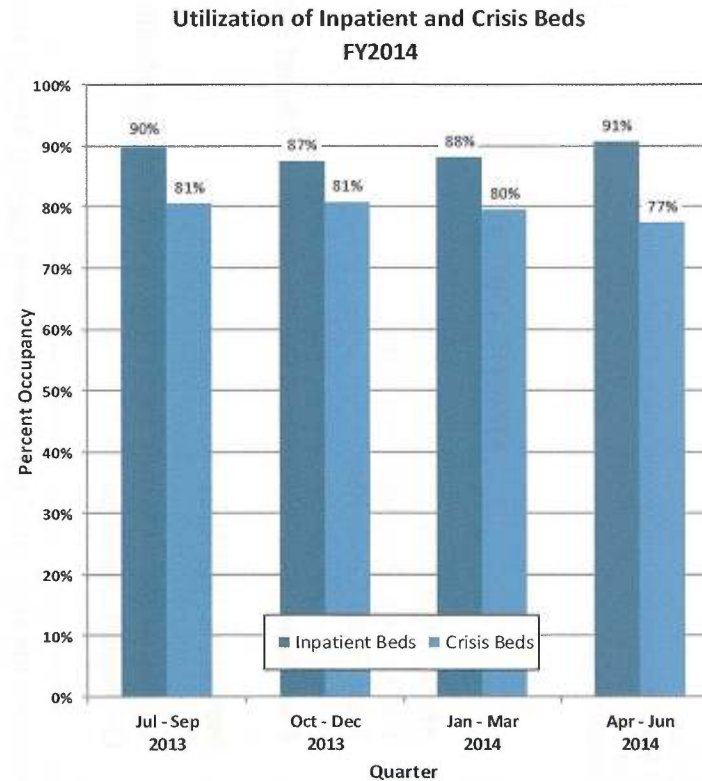
Joint Legislative Mental Health Oversight and Health Care Committees
Department of Mental Health July (2014)
July 18, 2014

I. Reporting Provided to General Assembly

a. Utilization of Inpatient and Crisis Beds (FY2013-2014)



Based on data reported to the Vermont Department of Mental Health (DMH) by crisis bed programs and inpatient facilities for adult care using the electronic bed boards system. Programs are expected to report to electronic bed boards a minimum of once per day to update their census. State averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.



Based on data reported to the Vermont Department of Mental Health (DMH) by crisis bed programs and inpatient facilities for adult care using the electronic bed boards system. Programs are expected to report to electronic bed boards a minimum of once per day to update their census. State averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.

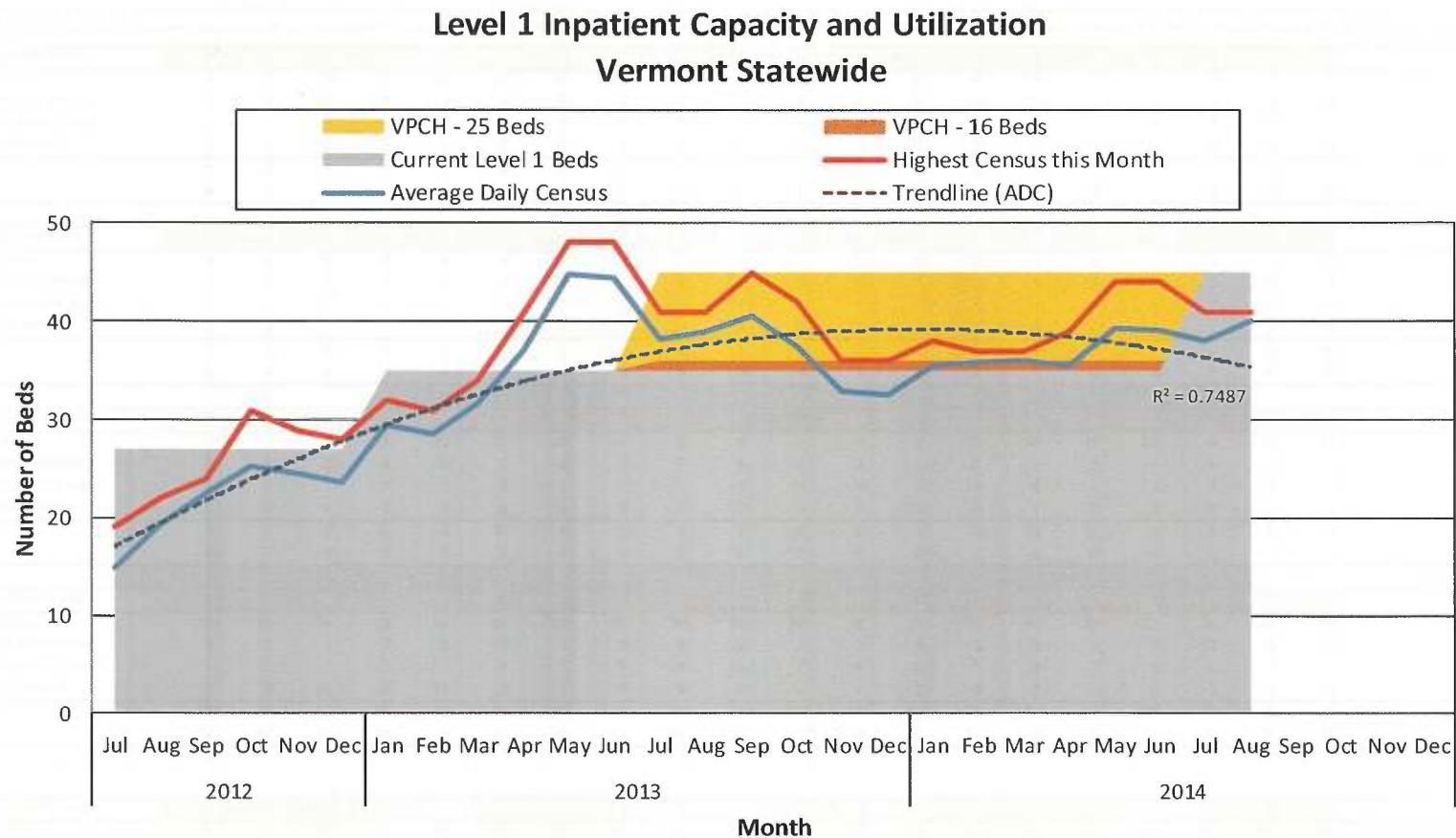
b. Level 1 Inpatient Utilization: Statewide and by Hospital (2013-2014)

Level 1 Inpatient Utilization: Statewide and By Hospital
2013-2014

SYSTEM TOTAL	2013												2014											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Level I Beds	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	45	45				
Average Daily Census	29	29	32	37	45	44	38	39	41	38	33	33	36	36	36	35	39	39	38	40				
Total Level I Admissions this Month	22	13	20	22	26	10	19	18	13	12	7	14	14	8	10	11	18	16	19	18				
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	4	8	12	8	5	3	7	9	7	6	9	11	8	6	5				
Total Level 1 Discharges this Month	17	17	13	15	19	17	19	18	15	15	11	10	14	9	8	9	13	21	8	13				
Highest Census this Month	32	31	34	41	48	48	41	41	45	42	36	36	38	37	37	39	44	44	41	41				
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	UNDER				
BY HOSPITAL																								
Brattleboro Retreat																								
Total Level I Beds	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14				
Average Daily Census	14	16	19	18	21	20	16	17	19	18	17	15	17	17	17	19	23	21	22	20				
Total Admissions during Month	7	9	10	3	11	3	3	4	4	5	1	5	3	2	3	7	8	7	4	2				
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	2	1	3	4	2	1	4	2	2	3	7	6	4	3	1				
Total Level 1 Discharges this Month	7	7	7	5	7	8	3	3	3	6	3	3	4	2	3	1	6	11	2	4				
Highest Census this Month	16	18	20	20	22	22	17	18	20	20	18	18	17	18	18	23	25	25	23	23				
Over/Under for Total Planned Beds	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER				
RRMC																								
Total Level I Beds	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6				
Average Daily Census	4	1	3	9	9	10	8	8	8	7	6	6	7	9	10	10	9	8	8	10				
Total Admissions during Month	2	0	5	8	8	2	4	5	5	3	4	5	10	3	1	2	4	5	3	4				
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	0	1	2	2	0	0	0	7	3	0	1	1	1	3	4				
Total Level 1 Discharges this Month	5	2	0	4	8	2	6	6	5	4	4	5	7	2	1	2	5	6	2	4				
Highest Census this Month	6	3	6	11	11	11	10	9	8	8	7	8	9	10	10	11	10	9	10	11				
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER				
VPCH																								
Total Level I Beds	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	25	25				
Average Daily Census	5	5	4	4	6	6	7	6	6	7	6	6	6	6	6	5	5	5	5	10				
Total Admissions during Month	8	0	0	2	2	3	6	2	2	1	0	1	1	1	3	1	2	1	2	6				
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-				
Total Level 1 Discharges this Month	2	2	1	0	1	3	4	4	1	2	0	1	1	2	2	2	1	2	0	1				
Highest Census this Month	7	6	4	5	6	6	8	7	7	7	6	6	6	6	7	6	7	7	7	12				
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER				
FAHC																								
Total Level I Beds	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	0	0				
Average Daily Census	6	6	6	6	9	9	7	9	8	6	5	5	5	3	3	2	2	5	2	1				
Total Admissions during Month	5	4	5	9	5	2	6	7	2	3	2	3	0	2	3	1	4	3	0	0				
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	2	6	7	2	3	2	3	0	2	3	1	4	3	0	0				
Total Level 1 Discharges this Month	3	6	5	6	3	4	6	5	6	3	4	1	2	3	2	4	1	2	4	0				
Highest Census this Month	8	8	8	8	11	10	8	10	11	7	6	6	6	4	4	3	4	6	3	1				
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	UNDER	OVER	OVER	UNDER	OVER	OVER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	OVER	OVER				

Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA). Includes psychiatric hospitalizations with Level 1 Designations for hospitalizations occurring at adult inpatient psychiatric units. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. 'Over/Under for Total Planned Beds' is computed using the difference between total level 1 beds and average daily census for each hospital and statewide. Unit of admission is available from June 2013 onward.

c. Level 1 Inpatient Capacity and Utilization, Vermont Statewide (FY2012-FY2014)



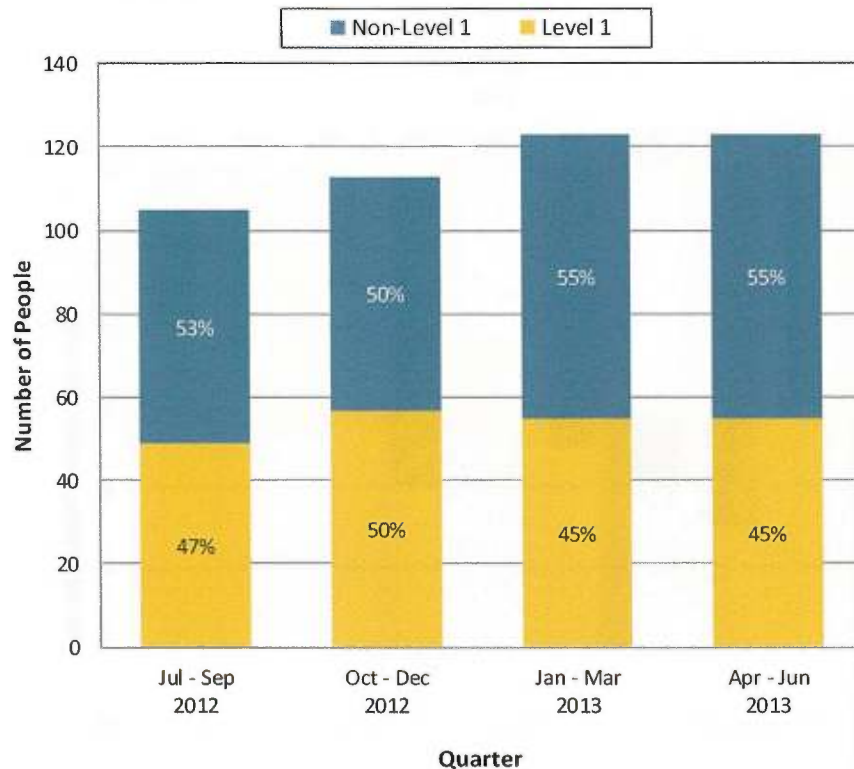
GMPCC opened 8 Level 1 beds in January 2013

RRMC opened 6 Level 1 beds in April 2013

Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA). Includes psychiatric hospitalizations with Level 1 Designations for hospitalizations occurring at adult inpatient psychiatric units. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

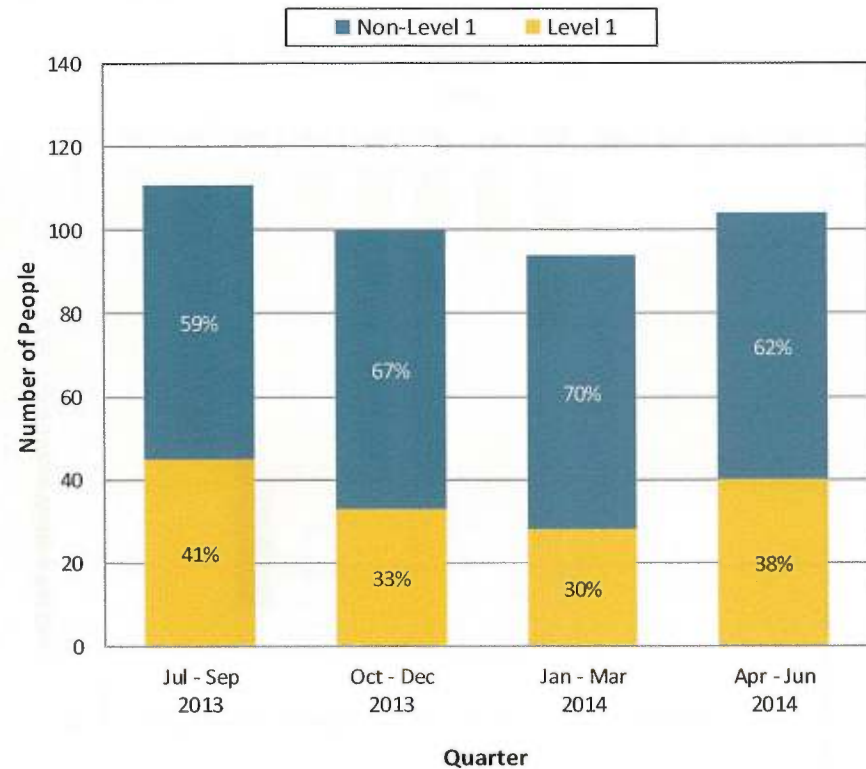
d. People with Involuntary Admissions, Comparison of Level 1 and Non-Level 1 (FY2013-FY2014)

**People with Involuntary Admissions
Comparison Level 1 and Non-Level 1
FY 2013**



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

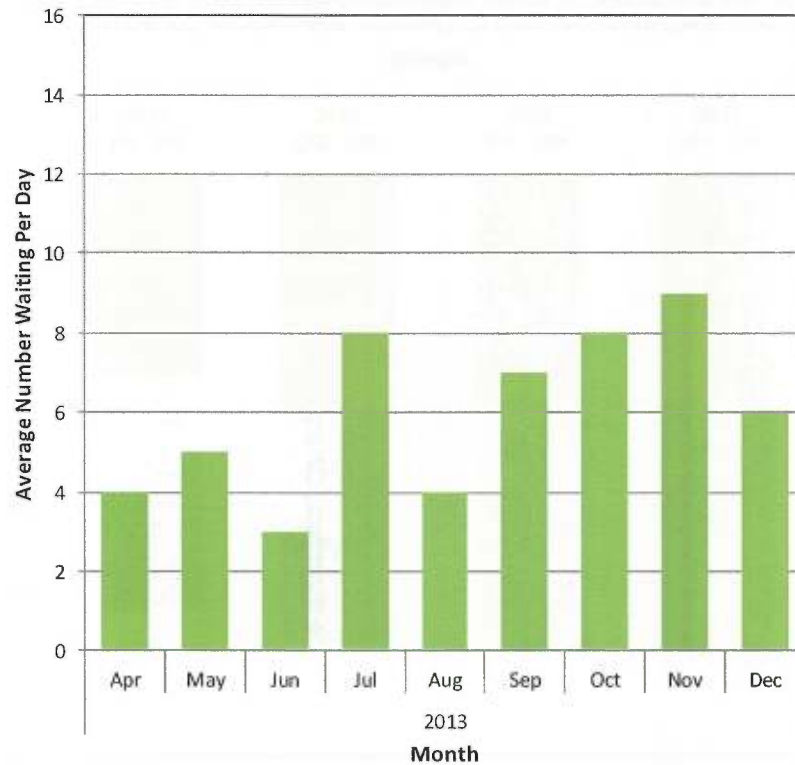
**People with Involuntary Admissions
Comparison Level 1 and Non-Level 1
FY 2014**



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

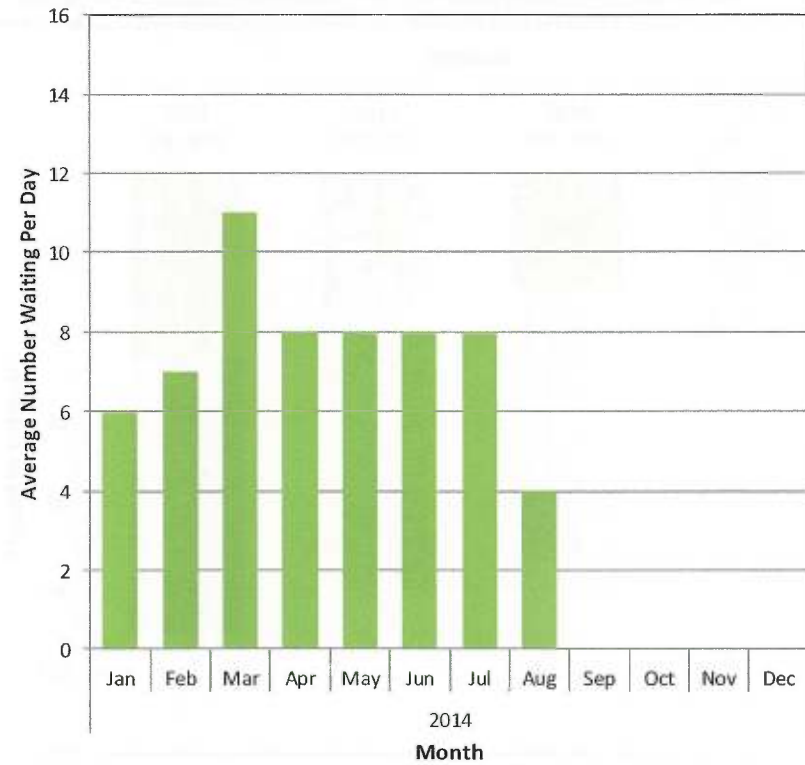
e. Average Numbers of People Waiting Inpatient Placement (2013-2014)

**Average Numbers of People Waiting Inpatient Placement
April 2013 - December 2013**



Based on the GMPCC admissions unit's morning update report and end-of-shift reports regarding persons waiting inpatient placement. Includes persons waiting in emergency departments inpatient placement or involuntary and persons waiting in department of corrections for inpatient placement on a court ordered forensic observation.

**Average Numbers of People Waiting Inpatient Placement
2014**

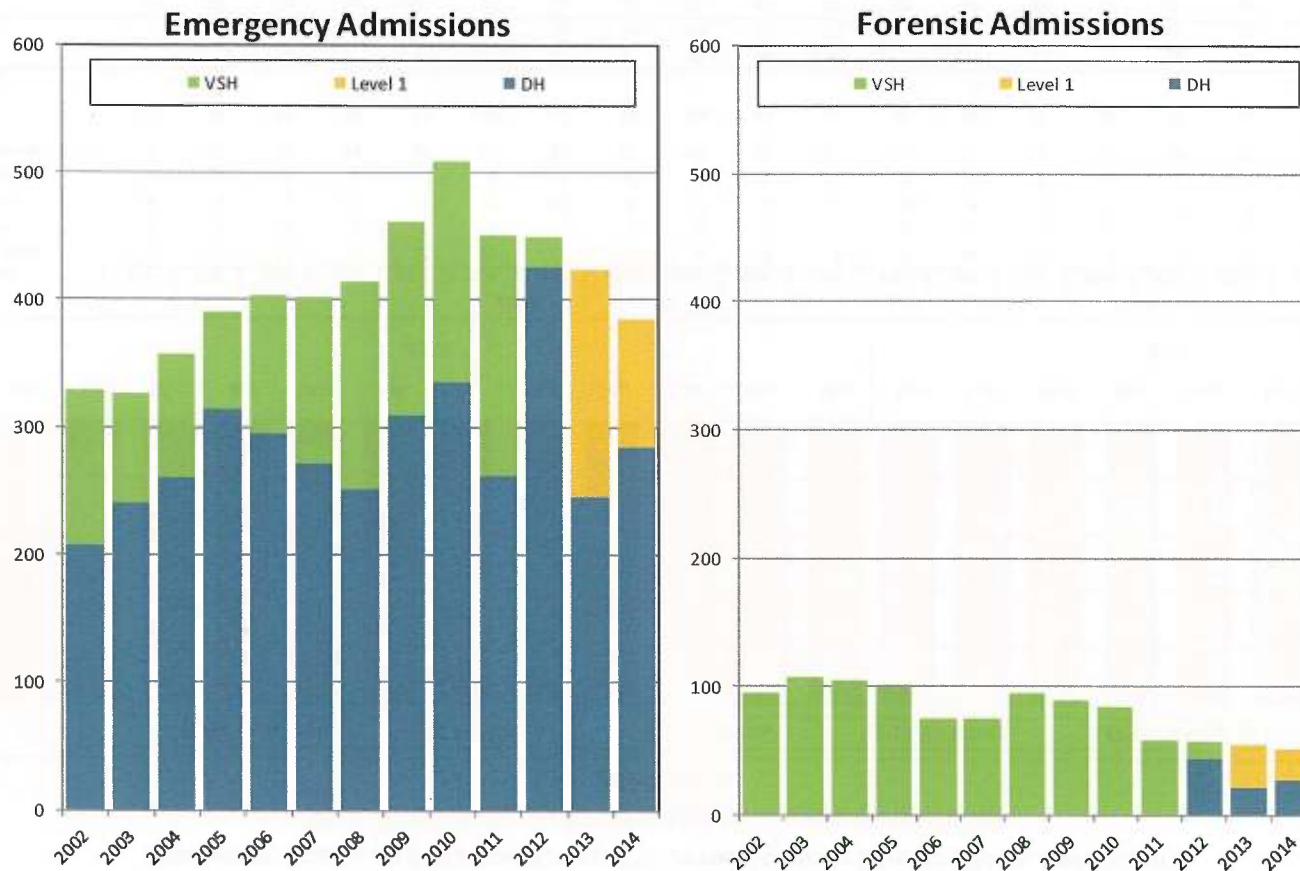


Based on the GMPCC admissions unit's morning update report and end-of-shift reports regarding persons waiting inpatient placement. Includes persons waiting in emergency departments inpatient placement or involuntary and persons waiting in department of corrections for inpatient placement on a court ordered forensic observation.

f. Vermont State Hospital and Designated Hospitals, Emergency and Forensic Admissions (FY2002-2013)

This graph represents a historical trend of Emergency Exam and Forensic Admissions. We expect FY2014 data will be available for September Mental Health Oversight Report.

**Vermont State Hospital and Designated Hospitals
Emergency and Forensic Admissions
FY2002-FY2014**



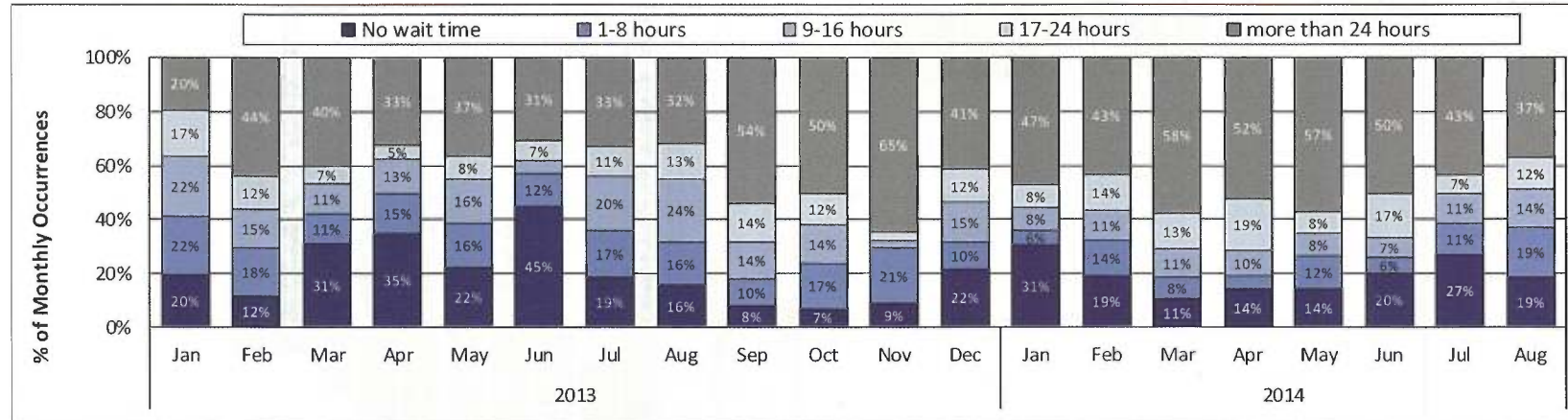
Analysis based on the Vermont State Hospital (VSH) Treatment Episode Database, and adult inpatient tracking maintained by the Department of Mental Health, Care Management Unit.
Includes all admissions during FY2002 - FY2014 with a forensic legal status or emergency legal status at admission.

g. Wait Times in Hours for Involuntary Inpatient Admission (2013-2014)

Emergency Exams and Warrants, Court Ordered Forensic Observations, and Youth

Wait Times in Hours for Involuntary Inpatient Admission

2013-2014



2013													2014								
Wait time	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	
No wait time	8	4	14	14	11	19	12	6	4	3	3	9	11	7	4	6	7	11	12	8	
1-8 hours	9	6	5	6	8	5	11	6	5	7	7	4	2	5	3	2	6	3	5	8	
9-16 hours	9	5	5	5	8	2	13	9	7	6	1	6	3	4	4	4	4	4	5	6	
17-24 hours	7	4	3	2	4	3	7	5	7	5	1	5	3	5	5	8	4	9	3	5	
more than 24 hours	8	15	18	13	18	13	21	12	27	21	22	17	17	16	22	22	28	27	19	16	
Total	41	34	45	40	49	42	64	38	50	42	34	41	36	37	38	42	49	54	44	43	
Wait Time in Hours																					
Youth	Mean						27	17	23	21	48	32	8	19	17	39	30	45	49	18	28
	Median						30	16	15	18	47	26	8	17	14	28	28	38	17	35	
EEs/Wrts	Mean	17	36	29	24	35	24	33	18	72	43	60	33	40	56	80	39	48	56	56	29
	Median	12	16	14	6	14	3	13	11	31	19	39	14	17	17	39	21	27	20	16	16
OBS	Mean	16	48	77	223	87	75	277	269	468	404	525	325	580	652	641	753	288	447	24	37
	Median	0	48	0	229	69	34	278	277	489	354	495	281	580	532	641	613	311	219	0	37
Total	Mean	17	39	32	49	40	28	61	46	81	86	111	67	68	132	102	106	67	84	51	30
	Median	12	19	14	8	14	3	15	15	25	25	46	17	19	19	39	26	28	26	14	16

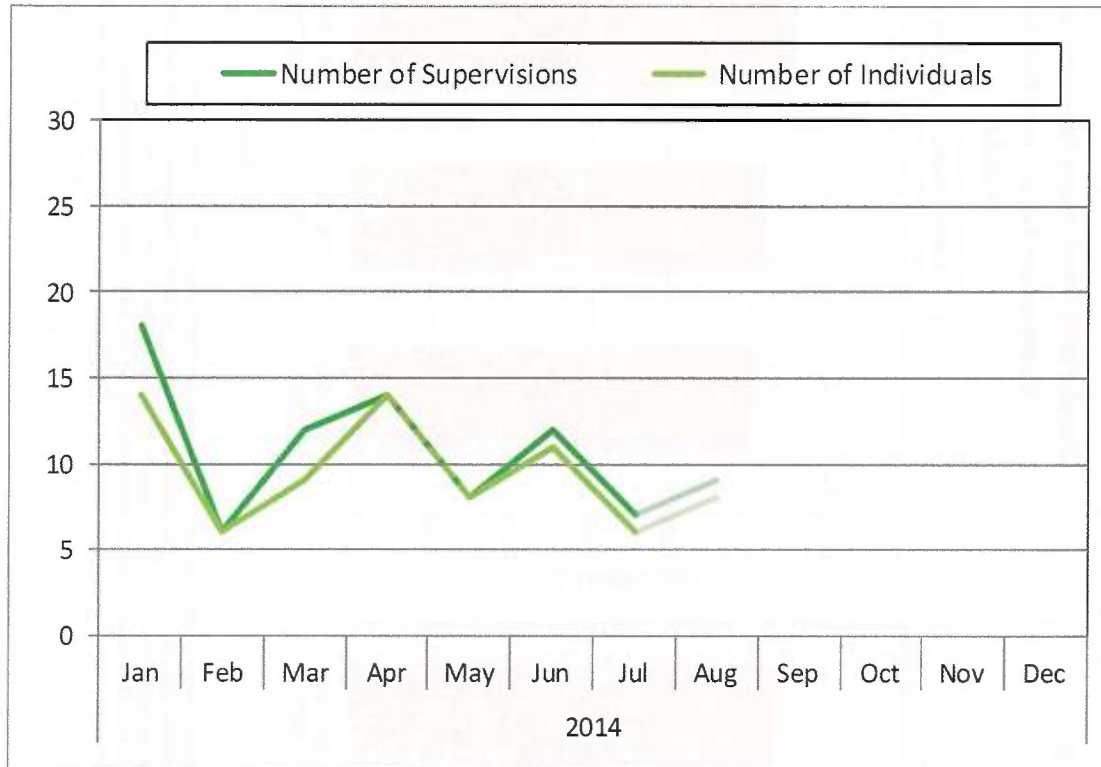
Analysis conducted by the Vermont Department of Mental Health Research & Statistics Unit.

Analysis based on data maintained by the VPCD admissions department from paperwork submitted by crisis, designated agency, and hospital screeners. Wait times are defined from determination of need to admission to disposition, less time for medical clearance, for persons on warrant for immediate examination, applications for emergency exam, court ordered forensic observations, and youth waiting for inpatient admission. Wait times are point in time and are categorized based on month of service, not month of disposition, for clients who had a disposition to a psychiatric inpatient unit.

II. Additional Reporting Requests

a. Sheriff Supervisions in Emergency Departments

Sheriff Supervisions in Emergency Departments 2014

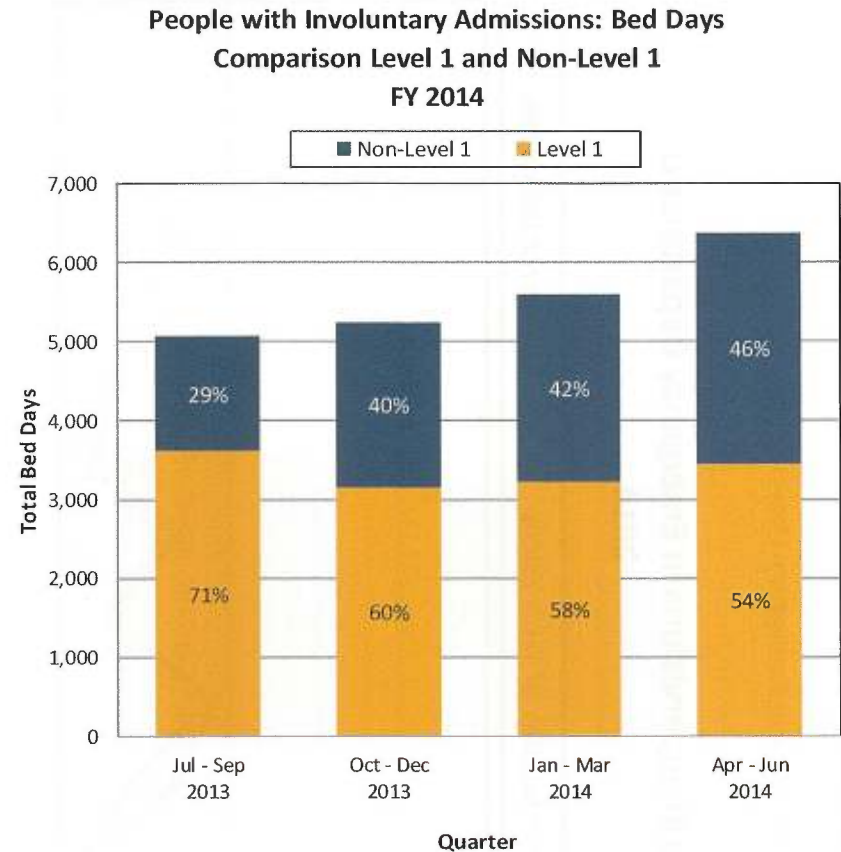


Based on sheriff supervision invoices received by the Department of Mental Health Business Office for supervision of individuals in emergency departments. Data are typically reported two months behind to allow receipt of all Sheriff invoices, however, preliminary counts for the previous month are presented with transparent lines.

b. Involuntary Non-Level 1 and Level 1 bed days (FY2013)



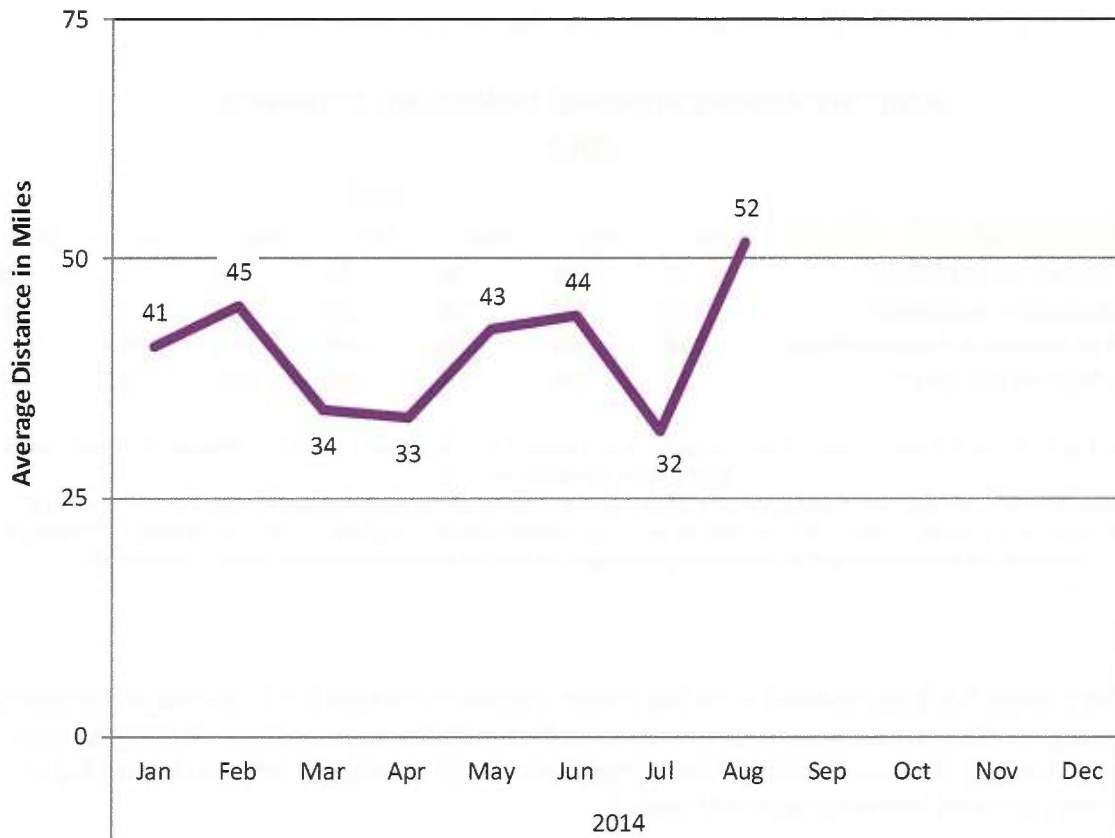
Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. Bed days for Level 1 stays can include inpatient days before the Level 1 determination was made due to the payment structure of Level 1 inpatient stays.



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. Bed days for Level 1 stays can include inpatient days before the Level 1 determination was made due to the payment structure of Level 1 inpatient stays.

c. Average Distance to Psychiatric Inpatient Care (2014)

**Average Distance to Adult Psychiatric Inpatient Care
From Home to Designated Hospital for Involuntary Stays
2014**



	Month of Admission 2014											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Cases*	30	26	33	33	41	44	41	38				
Average Distance in Miles	41	45	34	33	43	44	32	52				

Analysis based on data maintained by the VPCH admissions department from paperwork submitted by crisis, designated agency, and hospital screeners for adults admitted to involuntary inpatient care at Designated Hospitals. Total cases includes persons admitted involuntarily to psychiatric inpatient units, but may also include patients who convert to voluntary upon arrival to the unit. Cases and averages exclude patients with no residency information and patients reported as residing out of state.

d. Outstanding Reporting Requests in Development

On June 24, 2014, the Mental Health Oversight Committee requested additional information to be included in the monthly reports. Explanations for report development of outstanding items are below.

- i. Involuntary Non-Level 1 and Level 1 Bed Days (see p. 10)
- ii. Hospital Admissions, Length of Stay, and Readmissions

**Adult Involuntary Inpatient Utilization: Statewide
2014**

	2014						
SYSTEM TOTAL	Jan	Feb	Mar	Apr	May	Jun	Jul
Total Admissions this Month	36	30	38	39	43	51	38
Total Discharges this Month*	37	25	34	35	45	39	41
Length of Stay for Discharged Clients*	42.9	46.9	38.5	34.8	65.8	45.3	28.7
30 Day Readmission Rate*	3%	8%	3%	6%	13%	8%	7%

Analysis is based on the adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit.

* Administrative staff and care managers at the Department are working to complete data records. While a majority of FY2014 records are entered, staff are still working to close out records with discharge dates. Once all records for FY2014 are resolved, the Department will be able to report length of stay and 30 day readmission rates as requested.

This request has been updated from last month's report to include the Department's progress in entering involuntary admissions events into our data collection spreadsheet. Currently, there are approximately 90 records without discharge dates, which accurately reflects the number of involuntary patients receiving inpatient care.

Data collection regarding involuntary admissions is a multi-unit manual effort at present. Data for involuntary admissions are collected by the Department's Care Management Unit with assistance from administrative staff. At the beginning of each month, the Research and Statistics Unit provides Care Management with data collected on screenings for inpatient hospitalization. Care management reviews this list and adds records that may have been missed. Care management then coordinates with Utilization Review to capture Level 1 status for each patient. Data for inpatient stays typically takes two months to capture (i.e. August data completed in October). This delay represents Department efforts to audit the data collection and spreadsheet entries for completeness and accuracy. This delay also allows the Department to collect as many discharge dates as possible, since the median length of stay for inpatient psychiatric care is 14 days.

III. Vermont Department of Mental Health System Snapshot (2012-2014)



Vermont Department of Mental Health System Snapshot (February 12, 2014)

Reporting Category	2012											
	FY12 Q3			FY12 Q4			FY13 Q1			FY13 Q2		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	-	-	-	89%	92%	90%	89%	89%	91%	91%	88%	89%
Avg. Daily Census	-	-	-	-	-	-	-	-	-	-	-	-
Adult Crisis Beds												
% Occupancy	-	-	-	72%	80%	80%	77%	75%	72%	78%	82%	86%
Avg. Daily Census	-	-	-	-	-	-	-	-	-	-	-	-
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	-	-	-	-	-	-	-	-	-	-	-	-
Adults	-	-	-	28	45	32	43	40	43	44	39	32
Total adults admitted with Level 1	-	-	-	-	-	-	13	11	10	17	11	13
Designation (% of Total applications)	-	-	-	-	-	-	30%	28%	23%	39%	28%	41%
Total adults admitted with CRT	-	-	-	7	15	18	18	11	24	22	14	11
Designation (% of Total applications)	-	-	-	25%	33%	56%	42%	28%	56%	50%	36%	34%
Instances when Placement Unavailable & Client Held in ED												
Involuntary Medications												
# Applications	4	3	7	3	6	4	4	3	4	6	0	2
# Granted Orders	3	2	5	2	1	3	4	2	1	6	-	2
Mean time to decision (days)	20	16	19	15	22	20	11	15	14	13	-	11
Court Ordered Forensic Observation Screenings												
# Requested	-	-	-	-	-	-	17	19	11	8	8	14
# Inpatient Ordered	-	-	-	-	-	-	4	6	4	5	6	9
VT Resident Suicides												
Youth (0-17)												
Total	0	0	0	0	0	0	0	1	1	0	0	0
# with DA contact within previous year	0	0	0	0	0	0	0	0	0	0	0	0
Adults (18+)												
Total	7	6	11	8	9	7	6	4	7	4	3	9
# with DA contact within previous year	2	1	2	3	1	2	2	1	1	1	0	3
Housing												
# Clients permanently housed as a result of new Act79 housing funding	-	-	-	5	10	6	18	20	13	8	0	
Involuntary Transportation												
Adults (total transports)												
# of Transports	24	14	19	11	23	15	14	13	17	8	15	15
% Non-Restrained	33%	36%	11%	27%	22%	47%	57%	46%	35%	38%	67%	47%
% Restrained	67%	57%	89%	73%	74%	40%	43%	54%	65%	63%	33%	53%
% of Restrained using metal restraints	46%	50%	63%	73%	48%	20%	21%	31%	35%	13%	20%	27%
% of Restrained using soft restraints	21%	7%	26%	0%	26%	20%	21%	23%	29%	50%	13%	27%
Children Under 10 (total transports)												
# of Transports	-	-	-	-	-	-	5	1	0	2	1	1
% Non-Restrained	-	-	-	-	-	-	80%	100%	-	100%	0%	100%
% Restrained	-	-	-	-	-	-	20%	0%	-	0%	100%	0%
% of Restrained using metal restraints	-	-	-	-	-	-	0%	0%	0%	0%	100%	0%
% of Restrained using soft restraints	-	-	-	-	-	-	100%	0%	0%	0%	0%	0%
CRT Employment												
% Employed	14%			15%			15%			16%		
Wages per employed client	\$2,308			\$2,363			\$2,379			\$2,486		



Vermont Department of Mental Health System Snapshot (April 14, 2014)

*data forthcoming

2013

	FY13 Q3			FY13 Q4			FY14 Q1			FY14 Q2		
Reporting Category	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	94%	91%	92%	84%	87%	93%	88%	89%	89%	89%	90%	83%
Avg. Daily Census	137	132	136	134	135	146	138	139	139	143	149	137
% Occupancy at No Refusal Units							100%	96%	99%	99%	99%	98%
Avg. Daily Census							28	27	28	28	28	27
Adult Crisis Beds												
% Occupancy	77%	79%	83%	82%	84%	85%	82%	81%	79%	81%	83%	79%
Avg. Daily Census	27	28	29	29	31	31	30	31	31	31	32	31
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	-	-	-	9	10	6	9	7	15	6	4	2
Adults	50	32	55	41	55	39	65	32	43	43	37	39
Total adults admitted with CRT	13	13	27	19	14	11	15	12	9	7	11	19
Designation (% of Total applications)	26%	41%	49%	46%	25%	28%	23%	38%	21%	16%	30%	49%
Total Level 1 Admissions	22	13	20	22	26	10	19	18	13	11	7	14
Instances when Placement Unavailable & Adult Client Held in ED												
	27	21	43	27	38	24	38	16	34	29	30	23
Adult Involuntary Medications												
# Applications	2	3	3	2	9	4	5	7	5	10	9	4
# Granted Orders	2	3	2	2	5	3	5	6	3	4	6	3
Mean time from filing date to decision date (days)	22	12	20	27	19	17	20	14	12	17	9	10
Court Ordered Forensic Observation Screenings												
# Requested	11	13	9	10	11	11	22	20	19	16	13	9
# Inpatient Ordered	3	7	5	5	6	6	11	8	7	5	6	5
VT Resident Suicides												
Youth (0-17)												
Total	0	0	0	0	0	2	0	0	0	1	0	1
# with DA contact within previous year	-	-	-	-	-	1	-	-	-	0	-	1
Adults (18+)												
Total	4	6	10	8	10	5	8	10	14	13	8	6
# with DA contact within previous year	0	3	2	2	1	0	2	1	4	4	1	1
Housing												
# Clients permanently housed as a result of new Act79 housing funding	18	21	14	11	14	5	0	5	0	2	0	0
Total # enrolled to date	98	119	133	144	158	169	169	176	176	168	123	123
Involuntary Transportation												
Adults (total transports)												
# of Transports	19	17	18	11	18	13	18	12	18	15	17	17
% Non-Restrained	58%	94%	61%	82%	78%	85%	72%	75%	83%	100%	94%	65%
% Restrained	42%	6%	39%	18%	22%	15%	28%	25%	17%	0%	6%	35%
% all transports using metal restraints	16%	6%	6%	9%	6%	8%	17%	25%	17%	0%	6%	18%
% all transports using soft restraints	26%	0%	33%	9%	17%	8%	11%	0%	0%	0%	0%	18%
Youth Under 10 (total transports)												
# of Transports	3	3	0	0	0	0	0	0	2	0	0	0
% Non-Restrained	100%	100%	-	-	-	-	-	-	100%	-	-	-
% Restrained	0%	0%	-	-	-	-	-	-	0%	-	-	-
% all transports using metal restraints	0%	0%	-	-	-	-	-	-	0%	-	-	-
% all transports using soft restraints	0%	0%	-	-	-	-	-	-	0%	-	-	-
CRT Employment												
% Employed	15%			16%			17%			15%		
Wages per employed client	\$2,318			\$2,457			\$2,298			\$2,456		



Vermont Department of Mental Health System Snapshot (September 17, 2014)

*data forthcoming

Reporting Category	2014											
	FY14 Q3			FY14 Q4			FY15 Q1			FY15 Q2		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	87%	88%	89%	91%	93%	89%	82%	85%				
Avg. Daily Census	146	147	151	153	157	150	153	159				
% Occupancy at No Refusal Units	98%	98%	100%	100%	99%	100%	63%	75%				
Avg. Daily Census	28	27	28	28	28	28	29	34				
Adult Crisis Beds												
% Occupancy	83%	79%	77%	77%	77%	76%	76%	66%	* VPCH gradual opening of 25 beds			
Avg. Daily Census	32	30	29	29	29	29	29	25				
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	5	4	7	5	9	10	4	3				
Adults	38	32	35	46	42	46	45	52				
Total adults admitted with CRT	9	11	8	9	9	14	14	9				
Designation (% of Total applications)	24%	34%	23%	20%	21%	30%	31%	17%				
Total Level 1 Admissions	14	8	10	11	18	16	19	18				
Instances when Placement Unavailable & Adult Client Held in ED												
# Applications	6	8	7	4	4	5	8	6				
# Granted Orders	5	4	6	4	4	4	7	2				
Mean time from filing date to decision date (days)	14	17	16	10	14	9	13	10				
Court Ordered Forensic Observation Screenings												
# Requested	6	11	12	14	8	10	11	10				
# Inpatient Ordered	2	7	3	5	5	4	3	4				
VT Resident Suicides												
Youth (0-17)												
Total	3	0	0	0	0	1	0	*				
# with DA contact within previous year	2	0	0	0	0	1	0	*				
Adults (18+)												
Total	8	4	3	5	7	2	3	*				
# with DA contact within previous year	1	1	0	1	2	0	0	*				
Housing												
# Clients permanently housed as a result of new Act79 housing funding	1	2	3	3	4	1	1	1				
Total # enrolled to date	124	122	124	131	131	131	132	133				
Involuntary Transportation												
Adults (total transports)												
# of Transports	13	15	13	16	14	18	11	*				
% Non-Restrained	85%	87%	69%	81%	71%	61%	64%	*				
% Restrained	15%	13%	31%	19%	39%	39%	36%	*				
% all transports using metal restraints	8%	7%	15%	6%	7%	28%	0%	*				
% all transports using soft restraints	8%	7%	15%	13%	21%	11%	18%	*				
Youth Under 18 (total transports)												
# of Transports	4	5	7	4	2	4	5	*				
% Non-Restrained	100%	100%	100%	100%	100%	100%	100%	*				
% Restrained	0%	0%	0%	0%	0%	0%	0%	*				
% all transports using metal restraints	0%	0%	0%	0%	0%	0%	0%	*				
% all transports using soft restraints	0%	0%	0%	0%	0%	0%	0%	*				
CRT Employment												
% Employed		16%			*			*				
Wages per employed client		\$2,301			*			*				



Vermont Department of Mental Health System Snapshot

Definitions

Inpatient Hospital	The hospitals designated by the Commissioner of Mental Health for involuntary psychiatric treatment: Brattleboro Retreat (BR), Central Vermont Medical Center (CVMC), Fletcher Allen Health Care (FAHC), Rutland Regional Medical Center (RRMC), Windham Center at Springfield Hospital (WC), and Vermont Psychiatric Care Hospital (VPCH). Adult Inpatient Units at VPCH, RRMC - South Wing, and Brattleboro Retreat - Tyler 4. The units designated as no refusal units: BR - Tyler 4, RRMC - South Wing, VPCH.
Designated Agency Crisis Bed	Emergency Services beds intended to provide crisis intervention, respite, or hospital diversion that are staffed by and under the supervision of a designated community mental health agency (DA). Statewide averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.
Court-ordered Forensic Observations	Forensic patients are designated when there is criminal justice involvement and when there are questions concerning competency/sanity of an individual being arraigned. A screening is requested by a community mental health agency pursuant to §4815 13 VSA. Numbers represent a point in time count mid-month.
Emergency Examination (EE)	An application for emergency examination has been completed for involuntary admission (§7508 of 18 VSA) to a designated hospital for psychiatric treatment (danger to self or others) subsequent to an evaluation by community mental health agency screener & medical doctor.
Restrained Transport (formerly called Secure)	Transport via law enforcement utilizing either metal or soft restraints.
Non-Restrained Transport (formerly called Non-Secure)	Transport not utilizing restraints; this can include plain clothed law enforcement, Designated Agency transport teams, or other means of transport such as family members.
VT Resident Suicides	Based on <u>PRELIMINARY</u> data from the Vital Statistics System maintained by Vermont Department of Health and Monthly Service Report (MSR) data provided by the Department of Mental Health (DMH). Cross-sector data analysis was conducted using LinkPlus, a probabilistic statistical linkage software developed by the CDC for linking records across databases. MSR data includes services provided by community designated agencies for clients served by DAs within the year prior to death. Primary Program is defined as the primary program assignment on the client's last service with DMH. Monthly counts are subject to change as more information is made available.
Housing	Based on the number of applications approved, in the months the program has been operating and the total approved to date. Enrollment to date numbers do not necessarily sum to total numbers housed. Data cleaning is on-going.

Adult Inpatient Utilization and Bed Closures: Page 1 of 2

System Total and Level 1 Units

2014

All Units
 Level 1 Units
 Non-Level 1 Adult Units

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
ADULT INPATIENT UNITS												
Total Beds	169	169	169	169	169	169	188	188				
Average Daily Census	137	147	151	153	155	148	154	159				
Percent Occupancy	83%	87%	89%	91%	92%	88%	82%	85%				
# Days at Occupancy	0	0	0	0	0	0	0	0				
# Days with Closed Beds	31	28	31	30	31	19	30	31				
Average # of Closed Beds	6	10	7	3	4	3	18	14				
VPCH												
Total Beds	8	8	8	8	8	8	25	25				
Average Daily Census	8	8	8	8	8	8	9	14				
Percent Occupancy	100%	100%	99%	100%	98%	100%	34%	55%				
# Days at Occupancy	31	27	28	30	26	30	0	0				
# Days with Closed Beds	0	0	3	0	0	0	30	31				
Average # of Closed Beds	-	-	1	-	-	-	17	11				
BR TYLER 4												
Total Beds	14	14	14	14	14	14	14	14				
Average Daily Census	14	14	14	14	14	14	14	14				
Percent Occupancy	100%	100%	100%	100%	100%	100%	100%	100%				
# Days at Occupancy	29	27	31	30	30	29	31	31				
# Days with Closed Beds	0	0	0	0	0	0	0	0				
Average # of Closed Beds	-	-	-	-	-	-	-	-				
RRMC SOUTH WING												
Total Beds	6	6	6	6	6	6	6	6				
Average Daily Census	6	6	6	6	6	6	6	6				
Percent Occupancy	98%	100%	100%	99%	100%	99%	100%	99%				
# Days at Occupancy	28	28	31	29	31	29	31	29				
# Days with Closed Beds	6	0	1	2	0	0	0	0				
Average # of Closed Beds	1	-	1	1	-	-	-	-				
Wait Times for Beds												
Average # People Waiting per Day	6	7	11	8	8	8	8	4				

Based on data reported to the Vermont Department of Mental Health (DMH) by designated hospitals (DH) for adult inpatient care using the electronic bed boards system. Beds at inpatient settings can be closed based on the clinical decision of the director of each inpatient unit. Average number of people waiting per day is determined using the morning inpatient update and wait times in days are based upon data maintained by the VPCH admissions department that is submitted by crisis, designated agency, and hospital screeners.

Adult Inpatient Utilization and Bed Closures: Page 2 of 2

System Total and Non-Level 1 Units

 All Units
 Level 1 Units
 Non-Level 1 Adult Units

2014

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
ADULT INPATIENT UNITS												
Total Beds	169	169	169	169	169	169	188	188				
Average Daily Census	137	147	151	153	155	148	154	159				
Percent Occupancy	83%	87%	89%	91%	92%	88%	82%	85%				
# Days at Occupancy	0	0	0	0	0	0	0	0				
# Days with Closed Beds	31	28	31	30	31	19	30	31				
Average # of Closed Beds	6	10	7	3	4	3	18	14				
CVMC												
Total Beds	14	14	14	14	14	14	14	14				
Average Daily Census	12	11	12	11	13	12	12	12				
Percent Occupancy	89%	76%	86%	81%	92%	85%	85%	87%				
# Days at Occupancy	8	1	5	1	13	3	3	6				
# Days with Closed Beds	0	0	0	0	0	0	15	12				
Average # of Closed Beds	-	-	-	-	-	-	2	1				
FAHC												
Total Beds	27	27	27	27	27	27	27	27				
Average Daily Census	25	20	20	24	24	24	23	22				
Percent Occupancy	91%	74%	75%	89%	88%	89%	85%	80%				
# Days at Occupancy	0	0	0	0	0	1	0	0				
# Days with Closed Beds	31	27	31	30	29	19	2	15				
Average # of Closed Beds	2	7	5	2	2	2	1	1				
BR (NON LEVEL 1 UNITS)												
Total Beds	73	73	73	73	73	73	75	75				
Average Daily Census	57	67	66	66	68	64	69	67				
Percent Occupancy	78%	92%	91%	91%	93%	87%	92%	89%				
# Days at Occupancy	0	0	0	0	0	0	3	0				
# Days with Closed Beds	30	28	26	14	26	10	8	31				
Average # of Closed Beds	3	2	2	2	2	2	1	2				
RRMC GEN PSYCH												
Total Beds	17	17	17	17	17	17	17	17				
Average Daily Census	12	15	16	16	17	15	14	16				
Percent Occupancy	71%	89%	95%	96%	98%	90%	84%	93%				
# Days at Occupancy	2	4	14	18	20	7	7	9				
# Days with Closed Beds	23	24	5	10	12	0	7	0				
Average # of Closed Beds	2	1	1	1	1	-	1	-				
WC												
Total Beds	10	10	10	10	10	10	10	10				
Average Daily Census	6	8	8	7	8	6	7	9				
Percent Occupancy	61%	76%	77%	69%	83%	64%	68%	85%				
# Days at Occupancy	1	4	5	3	7	2	6	7				
# Days with Closed Beds	3	2	0	0	0	0	1	0				
Average # of Closed Beds	6	2	-	-	-	-	2	-				
Wait Times for Beds												
Average # People Waiting per Day	6	7	11	8	8	8	8	4				

Based on data reported to the Vermont Department of Mental Health (DMH) by designated hospitals (DH) for adult inpatient care using the electronic bed boards system. Beds at inpatient settings can be closed based on the clinical decision of the director of each inpatient unit. Average number of people waiting per day is determined using the morning inpatient update and wait times in days are based upon data maintained by the VPCH admissions department that is submitted by crisis, designated agency, and hospital screeners.



H.S.III.

State of Vermont

Department of Mental Health
Commissioner's Office
Redstone Office Building
26 Terrace Street
Montpelier VT 05609-1101

<http://mentalhealth.vermont.gov/>

Agency of Human Services

[phone] 802-828-3824
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MEMORANDUM

TO: Mental Health Oversight Committee
Health Care Oversight Committee
Joint Fiscal Committee

FROM: Paul Dupre, Commissioner of the Department of Mental Health

DATE: October 24, 2014

RE: October 2014 Monthly DMH Report to the Mental Health Oversight Committee

Attached please find the October, 2014 report to the Committees on Mental Health and Health Care consistent with reporting provided to the general assembly in April 2014.

I. Reporting Provided to General Assembly

- a. Utilization of Inpatient and Crisis Beds
- b. Level 1 Inpatient Utilization: Statewide and by Hospital
- c. Level 1 Inpatient Capacity and Utilization, Vermont Statewide
- d. People with Involuntary Admissions, Comparison of Level 1 and Non-Level 1
- e. Average Numbers of People Waiting Inpatient Placement
- f. Vermont State Hospital and Designated Hospitals, Emergency and Forensic Admissions
- g. Wait Times in Hours for Involuntary Inpatient Admission

II. Additional Reporting Requests

- a. Sheriff Supervisions in Emergency Departments
- b. Involuntary Non-Level 1 and Level 1 bed days
- c. Average Distance to Psychiatric Inpatient Care
- d. Hospital Admissions, Length of Stay, and Readmissions

III. Vermont Department of Mental Health System Snapshot (2012-2014)

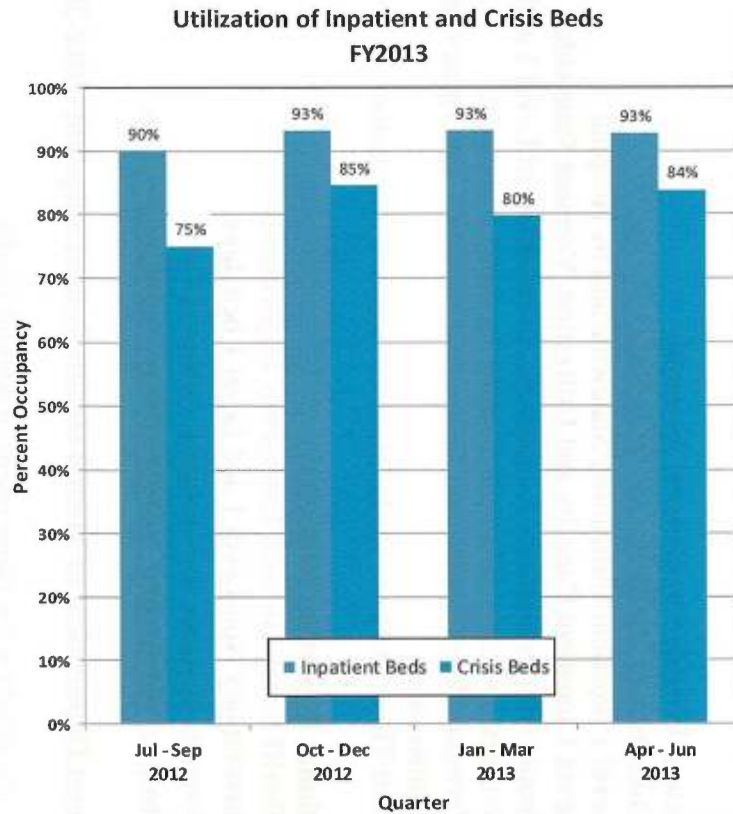
Respectfully submitted by the Department of Mental Health.

Please direct any inquiries for additional data collection or report content development to Paul Dupre, Commissioner of the Department of Mental Health; paul.dupre@state.vt.us.

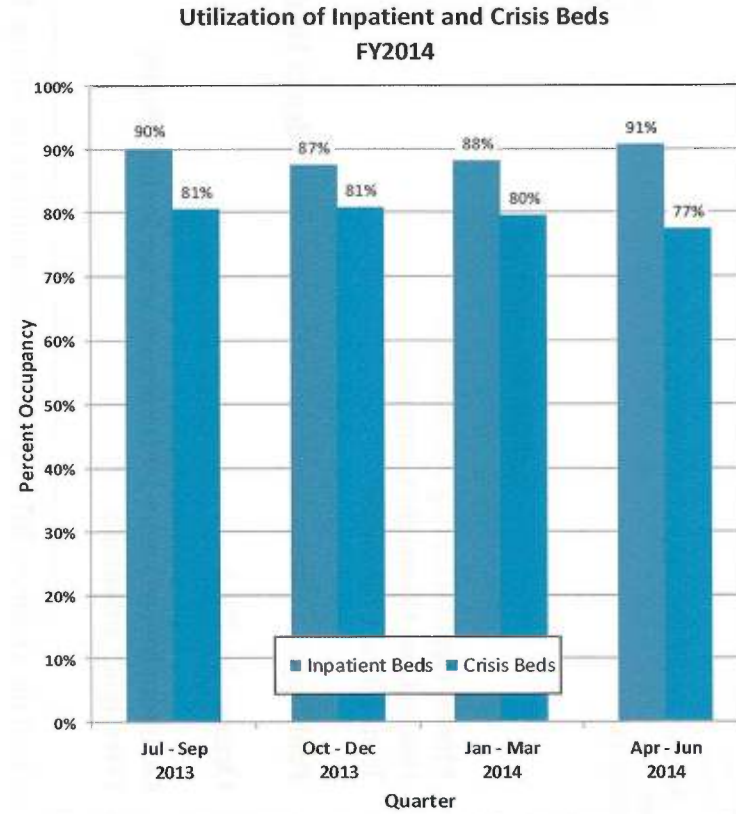
Joint Legislative Mental Health Oversight and Health Care Committees
Department of Mental Health July (2014)
October 24, 2014

I. Reporting Provided to General Assembly

a. Utilization of Inpatient and Crisis Beds (FY2013-2015) (Part 1 of 2)

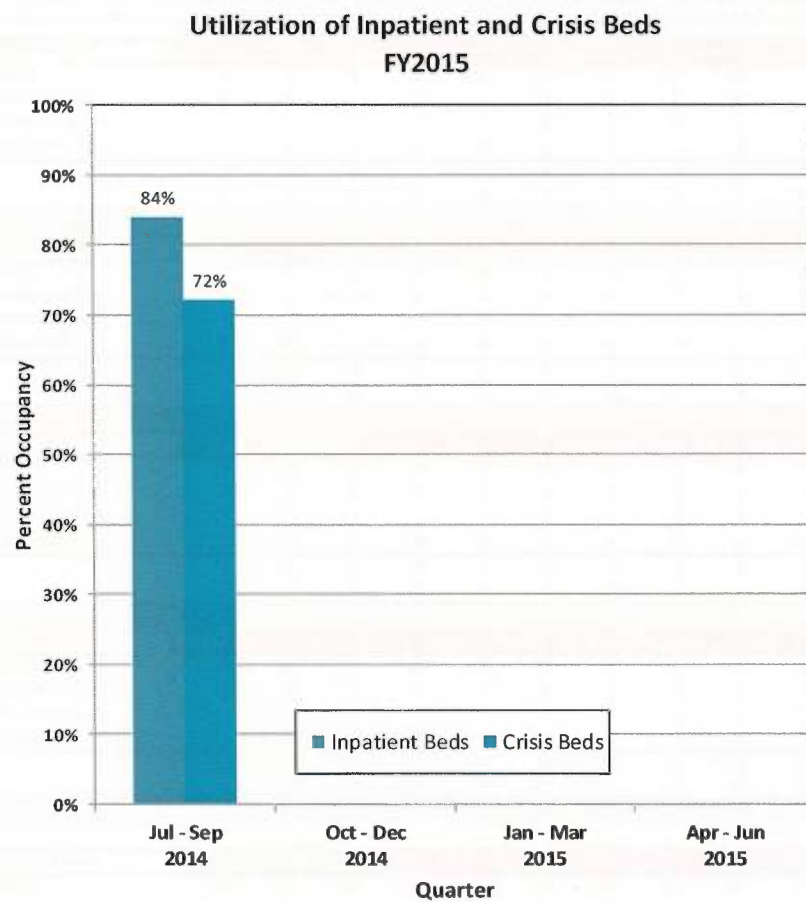


Based on data reported to the Vermont Department of Mental Health (DMH) by crisis bed programs and inpatient facilities for adult care using the electronic bed boards system. Programs are expected to report to electronic bed boards a minimum of once per day to update their census. State averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.



Based on data reported to the Vermont Department of Mental Health (DMH) by crisis bed programs and inpatient facilities for adult care using the electronic bed boards system. Programs are expected to report to electronic bed boards a minimum of once per day to update their census. State averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.

a. Utilization of Inpatient and Crisis Beds (FY2013-2015) (Part 2 of 2)



Based on data reported to the Vermont Department of Mental Health (DMH) by crisis bed programs and inpatient facilities for adult care using the electronic bed boards system. Programs are expected to report to electronic bed boards a minimum of once per day to update their census. State averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.

b. Level 1 Inpatient Utilization: Statewide and by Hospital (2013-2014)

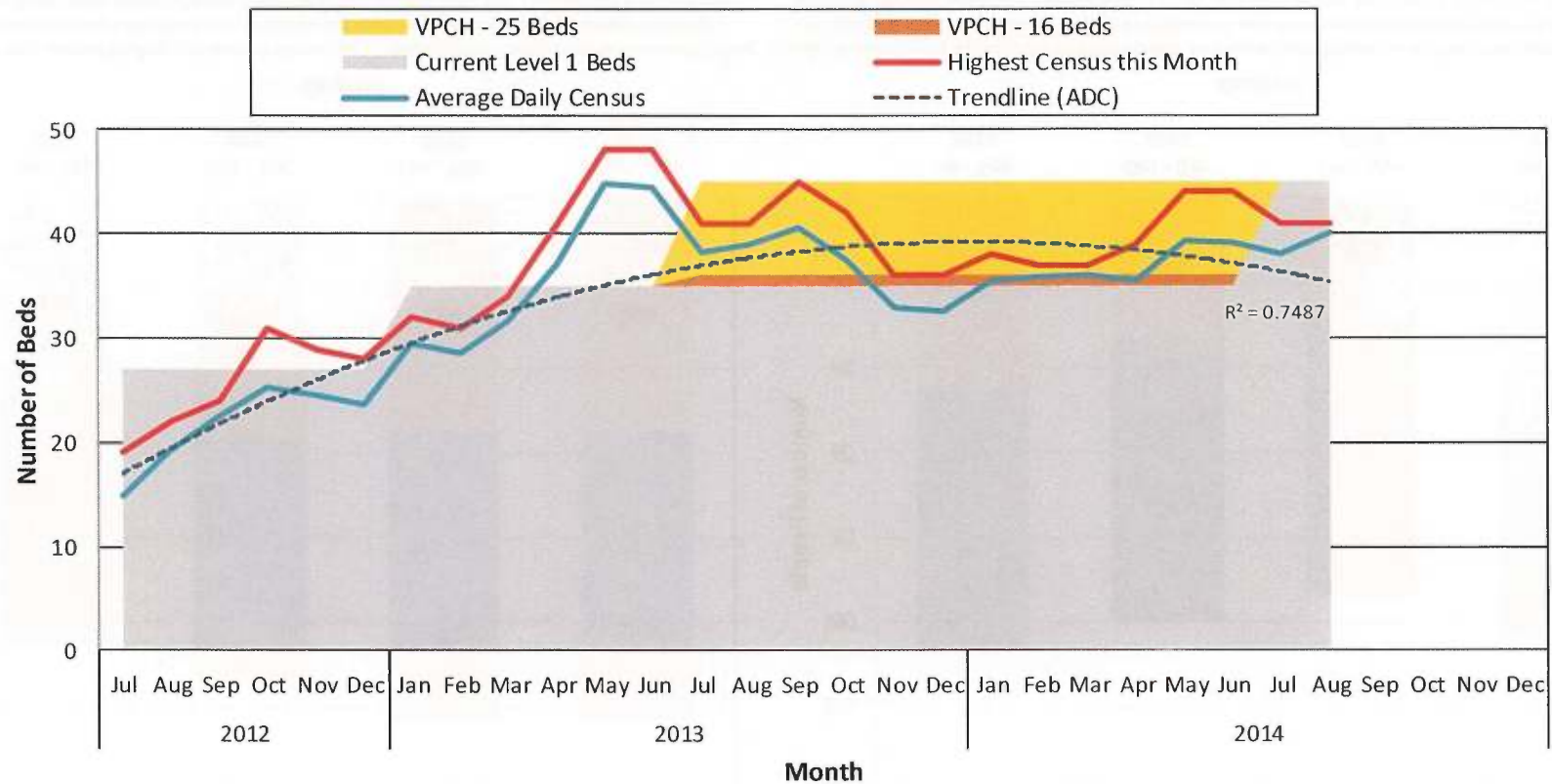
Level 1 Inpatient Utilization: Statewide and By Hospital
2013-2014

SYSTEM TOTAL	2013												2014											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Level I Beds	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	45	45	45			
Average Daily Census	29	29	32	37	45	44	38	39	41	38	33	33	36	36	36	35	39	39	38	40	39			
Total Level I Admissions this Month	22	13	20	22	26	10	19	18	13	12	7	14	14	8	10	11	18	16	9	14	9			
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	4	8	12	8	5	3	7	9	7	6	9	11	8	6	5	3			
Total Level 1 Discharges this Month	17	17	13	15	19	17	19	18	15	15	11	10	14	9	8	9	13	21	8	13	3			
Highest Census this Month	32	31	34	41	48	48	41	41	45	42	36	36	38	37	37	39	44	44	41	41	44			
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	UNDER	UNDER			
BY HOSPITAL																								
Brattleboro Retreat																								
Total Level I Beds	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14			
Average Daily Census	14	16	19	18	21	20	16	17	19	18	17	15	17	17	17	19	23	21	22	20	17			
Total Admissions during Month	7	9	10	3	11	3	3	4	4	5	1	5	3	2	3	7	8	7	4	3	6			
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	2	1	3	4	2	1	4	2	2	3	7	6	4	3	1	3			
Total Level 1 Discharges this Month	7	7	7	5	7	8	3	3	3	6	3	3	4	2	3	1	6	11	2	4	0			
Highest Census this Month	16	18	20	20	22	22	17	18	20	20	18	18	17	18	18	23	25	25	23	23	21			
Over/Under for Total Planned Beds	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER			
RRMC																								
Total Level I Beds	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6			
Average Daily Census	4	1	3	9	9	10	8	8	8	7	6	6	7	9	10	10	9	8	8	10	9			
Total Admissions during Month	2	0	5	8	8	2	4	5	5	3	4	5	10	3	1	2	4	5	3	5	0			
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	0	1	2	2	0	0	0	7	3	0	1	1	1	3	4	0			
Total Level 1 Discharges this Month	5	2	0	4	8	2	6	6	5	4	4	5	7	2	1	2	5	6	2	4	0			
Highest Census this Month	6	3	6	11	11	11	10	9	8	8	7	8	9	10	10	11	10	9	10	11	12			
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER			
VPCH																								
Total Level I Beds	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	25	25	25			
Average Daily Census	5	5	4	4	6	6	7	6	6	7	6	6	6	6	6	5	5	5	5	10	12			
Total Admissions during Month	8	0	0	2	2	3	6	2	2	1	0	1	1	1	3	1	2	1	2	6	3			
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
Total Level 1 Discharges this Month	2	2	1	0	1	3	4	4	1	2	0	1	1	2	2	2	1	2	0	1	0			
Highest Census this Month	7	6	4	5	6	6	8	7	7	7	6	6	6	6	7	6	7	7	7	12	10			
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER			
FAHC																								
Total Level I Beds	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	0	0	0			
Average Daily Census	6	6	6	6	9	9	7	9	8	6	5	5	5	3	3	2	2	5	2	1	1			
Total Admissions during Month	5	4	5	9	5	2	6	7	2	3	2	3	0	2	3	1	4	3	0	0	0			
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	2	6	7	2	3	2	3	0	2	3	1	4	3	0	0	0			
Total Level 1 Discharges this Month	3	6	5	6	3	4	6	5	6	3	4	1	2	3	2	4	1	2	4	0	0			
Highest Census this Month	8	8	8	8	11	10	8	10	11	7	6	6	6	4	4	3	4	6	3	1	1			
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	UNDER	OVER	OVER	UNDER	OVER	OVER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	OVER	OVER	OVER			

Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA). Includes psychiatric hospitalizations with Level 1 Designations for hospitalizations occurring at adult inpatient psychiatric units. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. 'Over/Under for Total Planned Beds' is computed using the difference between total level 1 beds and average daily census for each hospital and statewide. Unit of admission is available from June 2013 onward.

c. Level 1 Inpatient Capacity and Utilization, Vermont Statewide (FY2013-FY2015)

Level 1 Inpatient Capacity and Utilization Vermont Statewide



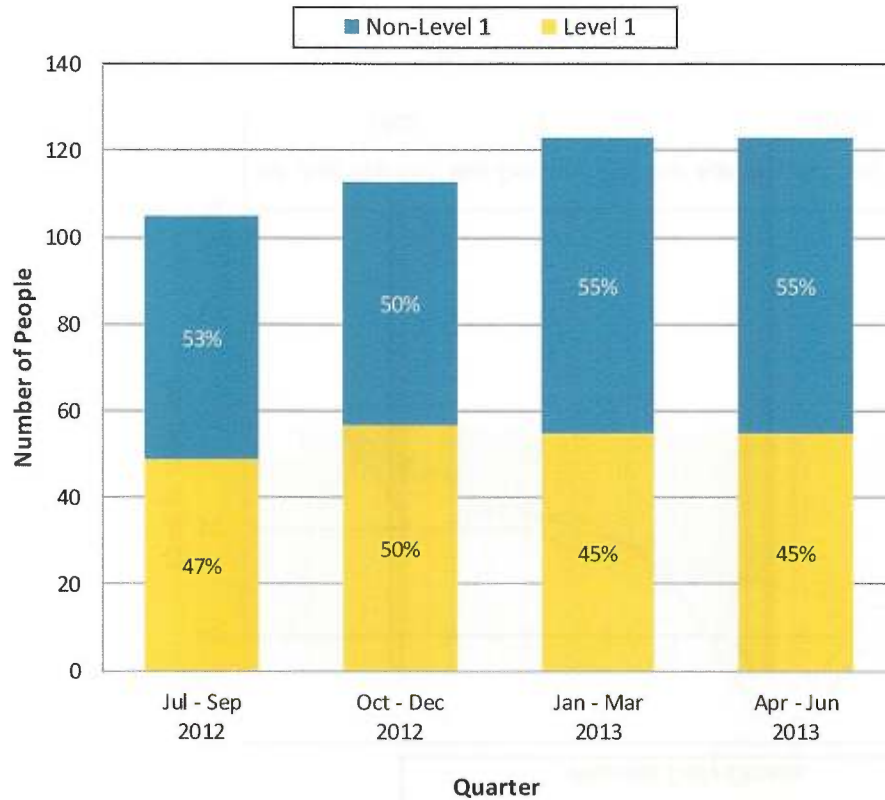
GMPCC opened 8 Level 1 beds in January 2013

RRMC opened 6 Level 1 beds in April 2013

Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA). Includes psychiatric hospitalizations with Level 1 Designations for hospitalizations occurring at adult inpatient psychiatric units. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

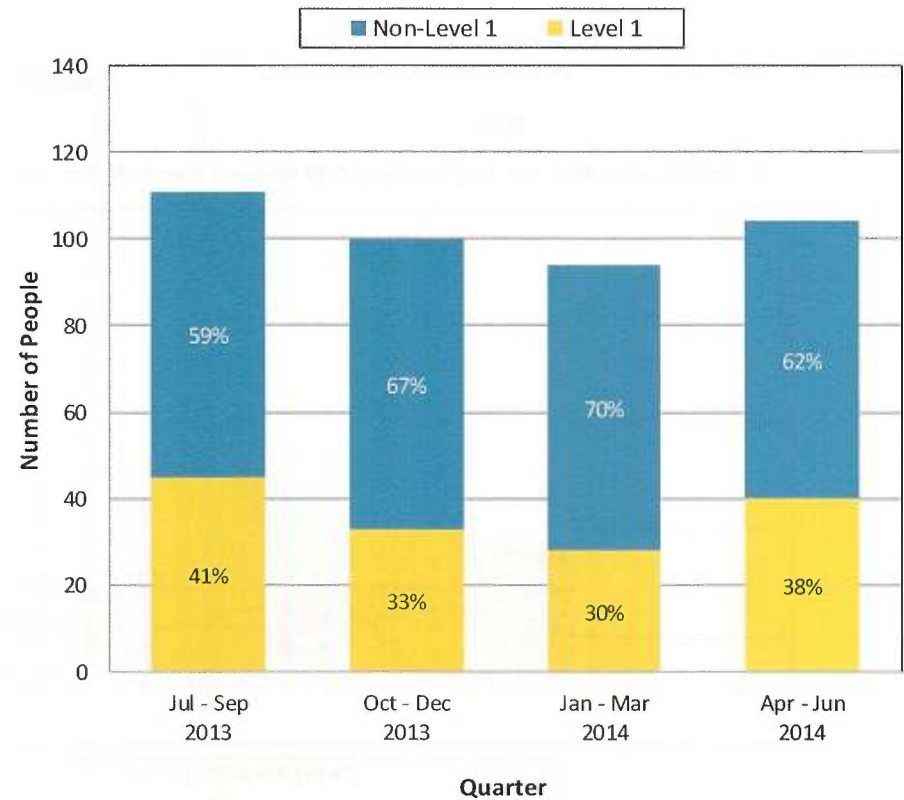
d. People with Involuntary Admissions, Comparison of Level 1 and Non-Level 1 (FY2013-FY2014)

**People with Involuntary Admissions
Comparison Level 1 and Non-Level 1
FY 2013**



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

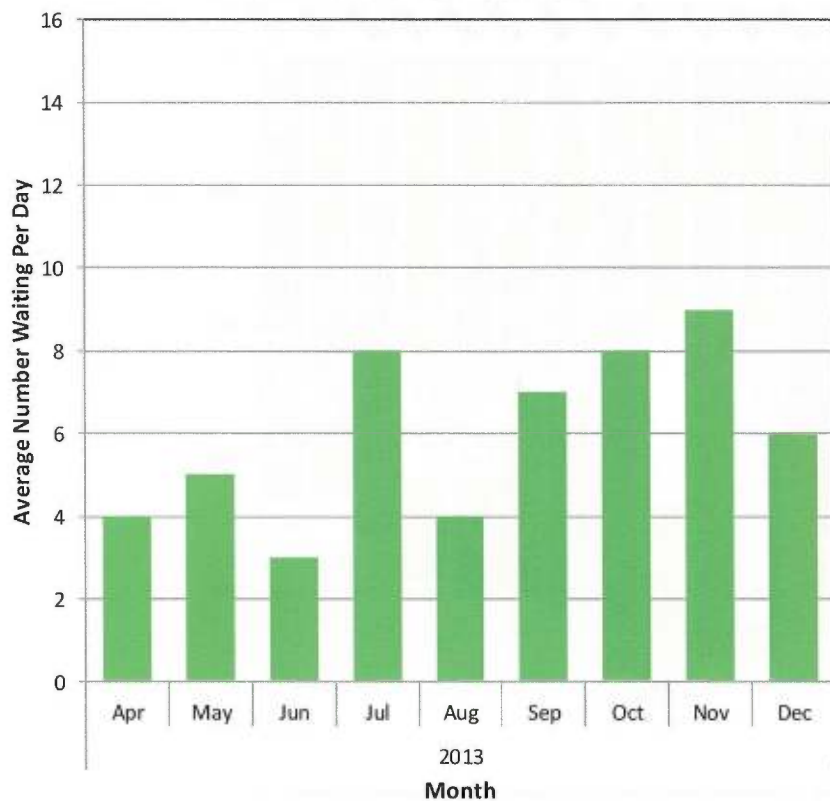
**People with Involuntary Admissions
Comparison Level 1 and Non-Level 1
FY 2014**



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

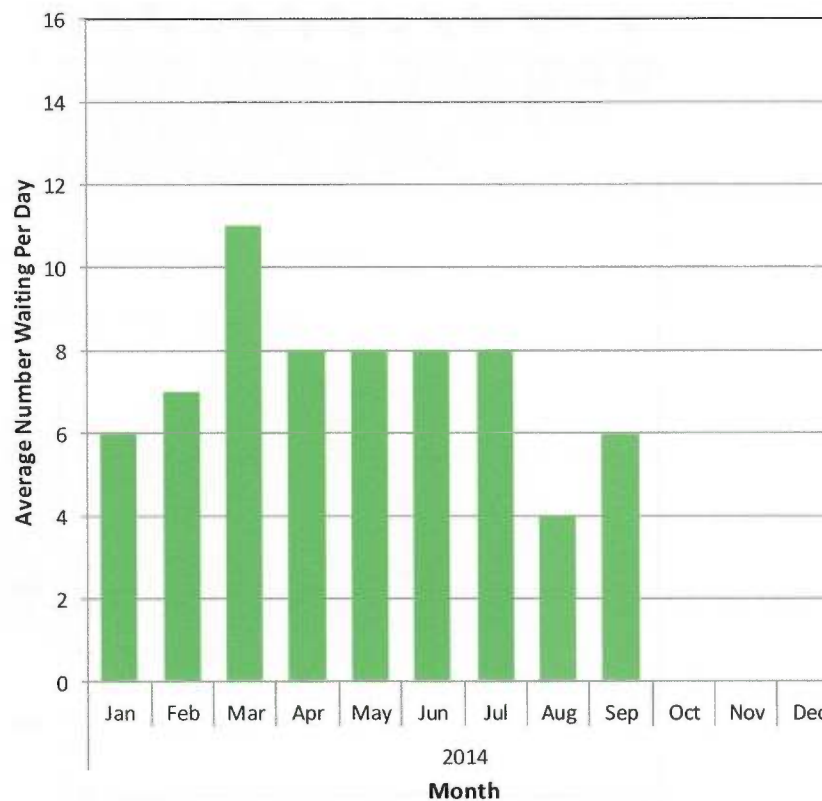
e. Average Numbers of People Waiting Inpatient Placement (2013-2014)

**Average Numbers of People Waiting Inpatient Placement
April 2013 - December 2013**



Based on the GMPCC admissions unit's morning update report and end-of-shift reports regarding persons waiting inpatient placement. Includes persons waiting in emergency departments inpatient placement or involuntary and persons waiting in department of corrections for inpatient placement on a court ordered forensic observation.

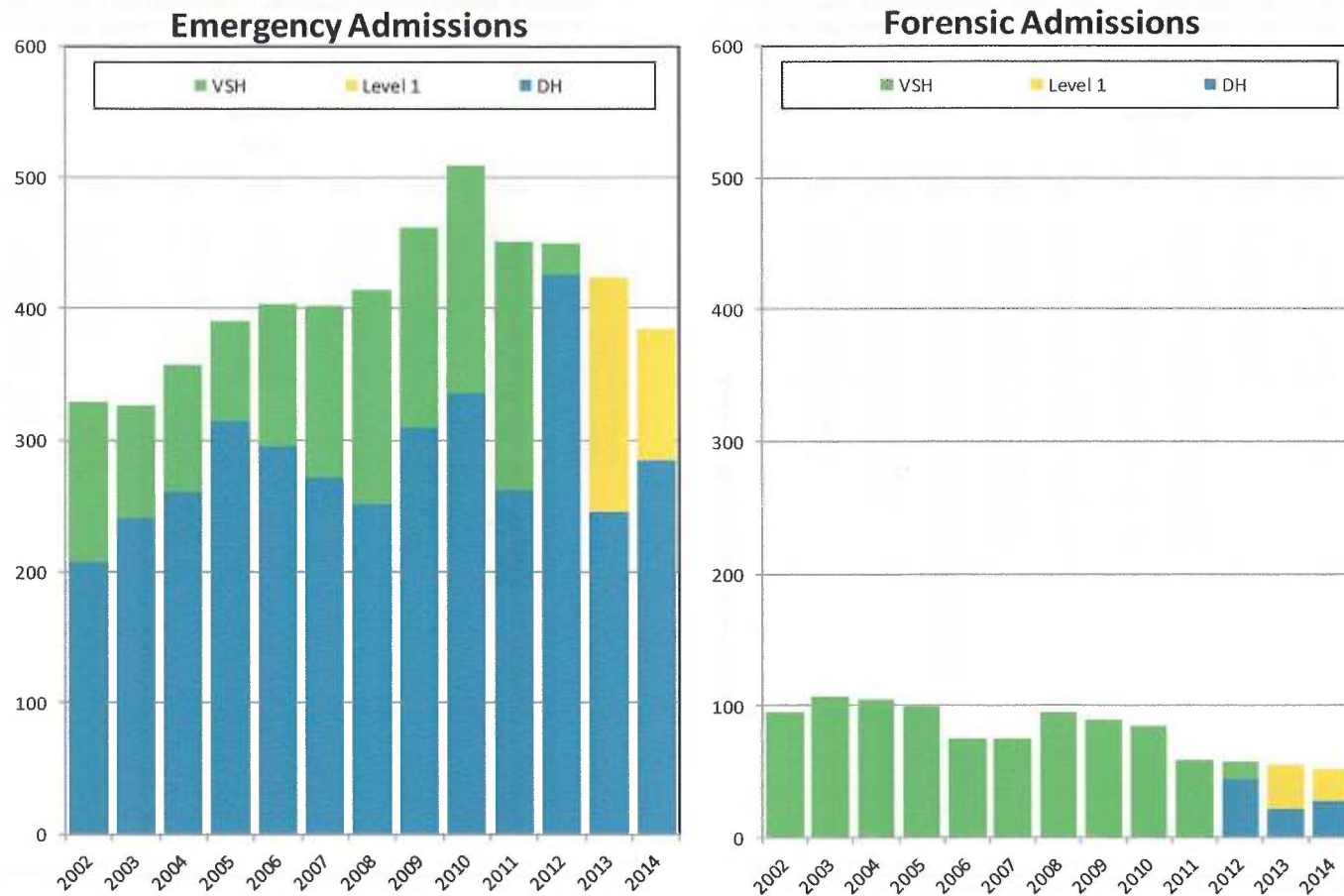
**Average Numbers of People Waiting Inpatient Placement
2014**



Based on the GMPCC admissions unit's morning update report and end-of-shift reports regarding persons waiting inpatient placement. Includes persons waiting in emergency departments inpatient placement or involuntary and persons waiting in department of corrections for inpatient placement on a court ordered forensic observation.

f. Vermont State Hospital and Designated Hospitals, Emergency and Forensic Admissions (FY2002-2014)

**Vermont State Hospital and Designated Hospitals
Emergency and Forensic Admissions
FY2002-FY2014**



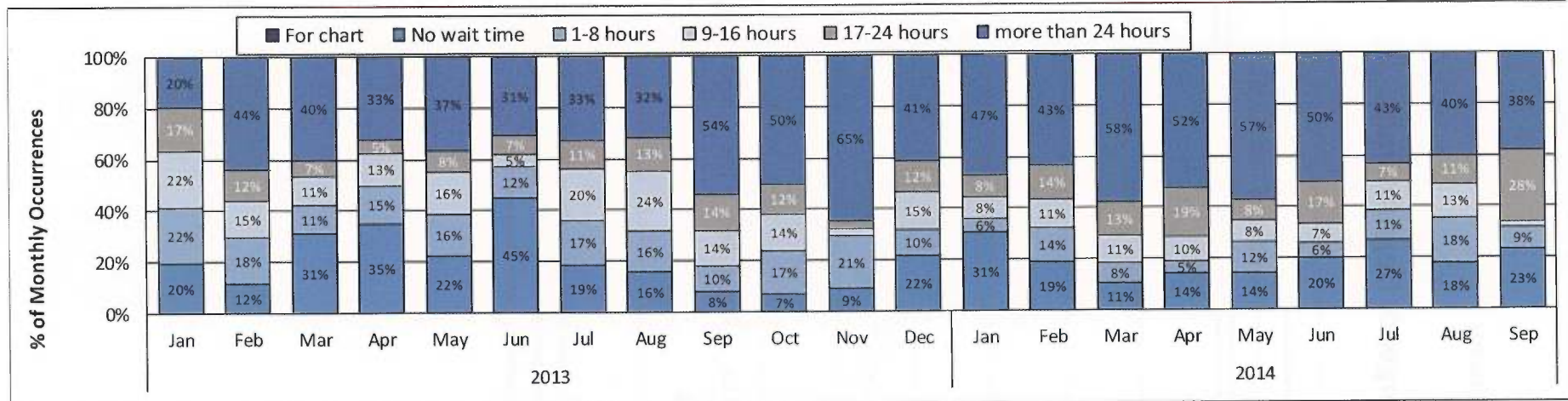
Analysis based on the Vermont State Hospital (VSH) Treatment Episode Database, and adult inpatient tracking maintained by the Department of Mental Health, Care Management Unit.
Includes all admissions during FY2002 - FY2014 with a forensic legal status or emergency legal status at admission.

g. Wait Times in Hours for Involuntary Inpatient Admission (2013-2014)

Emergency Exams and Warrants, Court Ordered Forensic Observations, and Youth

Wait Times in Hours for Involuntary Inpatient Admission

2013-2014



2013													2014								
Wait time	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
No wait time	8	4	14	14	11	19	12	6	4	3	3	9	11	7	4	6	7	11	12	8	11
1-8 hours	9	6	5	6	8	5	11	6	5	7	7	4	2	5	3	2	6	3	5	8	4
9-16 hours	9	5	5	5	8	2	13	9	7	6	1	6	3	4	4	4	4	4	5	6	1
17-24 hours	7	4	3	2	4	3	7	5	7	5	1	5	3	5	5	8	4	9	3	5	13
more than 24 hours	8	15	18	13	18	13	21	12	27	21	22	17	17	16	22	22	28	27	19	18	18
Total	41	34	45	40	49	42	64	38	50	42	34	41	36	37	38	42	49	54	44	45	47
Wait Time in Hours																					
Youth																					
Mean							27	17	23	21	48	32	8	19	17	39	30	45	49	18	24
Median							30	16	15	18	47	26	8	17	14	28	28	28	38	17	21
EEs/Wrts																					
Mean	17	36	29	24	35	24	33	18	72	43	60	33	40	56	80	39	48	56	56	39	45
Median	12	16	14	6	14	3	13	11	31	19	39	14	17	17	39	21	27	20	16	16	19
OBS																					
Mean	16	48	77	223	87	75	277	269	468	404	525	325	580	652	641	753	288	447	24	55	412
Median	0	48	0	229	69	34	278	277	489	354	495	281	580	532	641	613	311	219	0	74	412
Total																					
Mean	17	39	32	49	40	28	61	46	81	86	111	67	68	132	102	106	67	84	51	40	58
Median	12	19	14	8	14	3	15	15	25	25	46	17	19	19	39	26	28	26	14	16	19

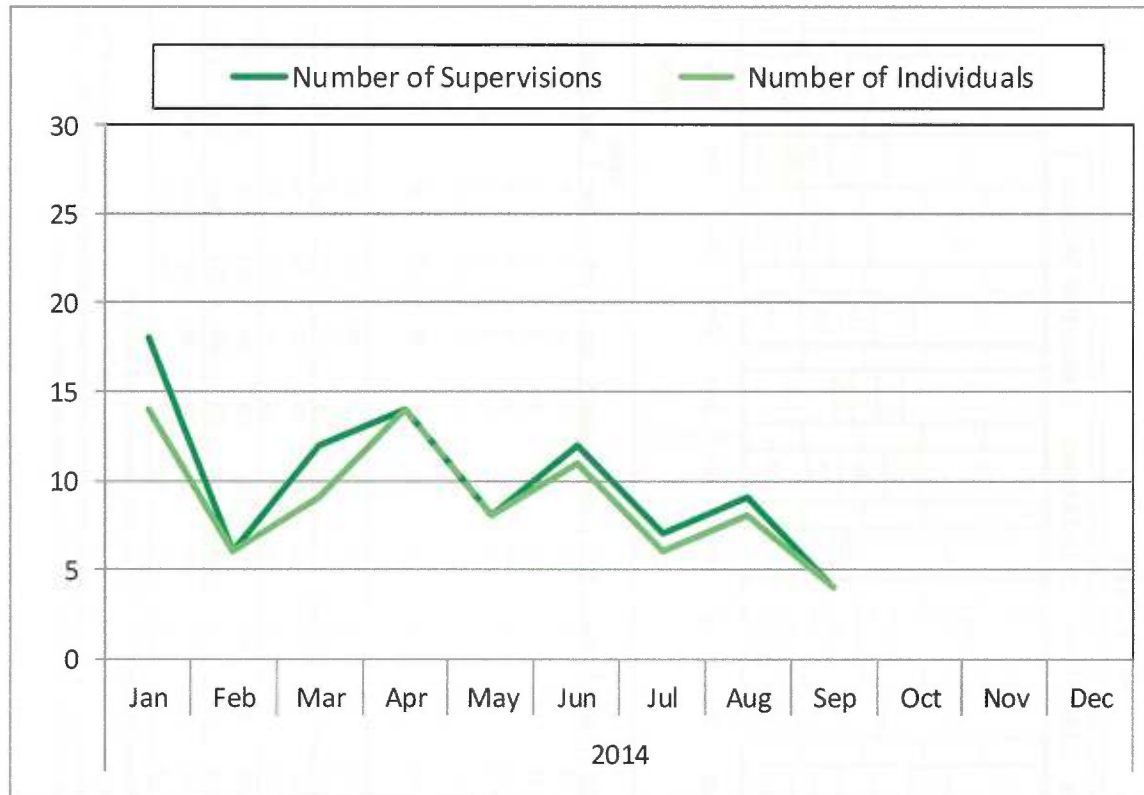
Analysis conducted by the Vermont Department of Mental Health Research & Statistics Unit.

Analysis based on data maintained by the VPCH admissions department from paperwork submitted by crisis, designated agency, and hospital screeners. Wait times are defined from determination of need to admission to disposition, less time for medical clearance, for persons on warrant for immediate examination, applications for emergency exam, court ordered forensic observations, and youth waiting for inpatient admission. Wait times are point in time and are categorized based on month of service, not month of disposition, for clients who had a disposition to a psychiatric inpatient unit.

II. Additional Reporting Requests

a. Sheriff Supervisions in Emergency Departments

Sheriff Supervisions in Emergency Departments 2014

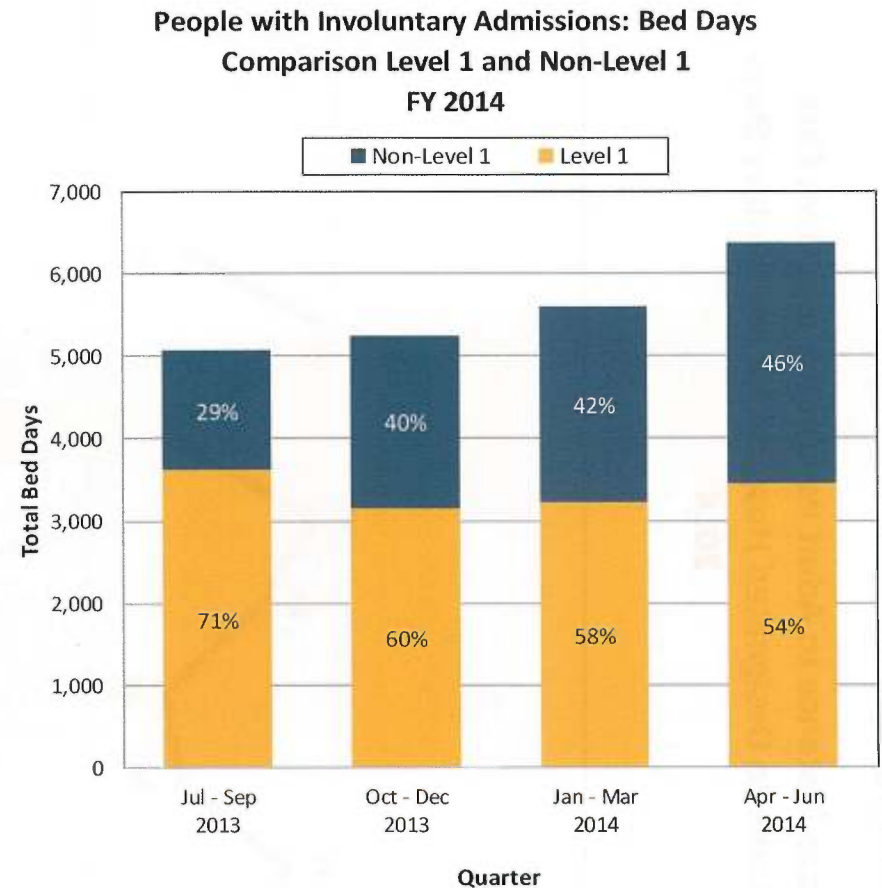


Based on sheriff supervision invoices received by the Department of Mental Health Business Office for supervision of individuals in emergency departments. Data are typically reported two months behind to allow receipt of all Sheriff invoices, however, preliminary counts for the previous month are presented.

b. Involuntary Non-Level 1 and Level 1 bed days (FY2013-2014)



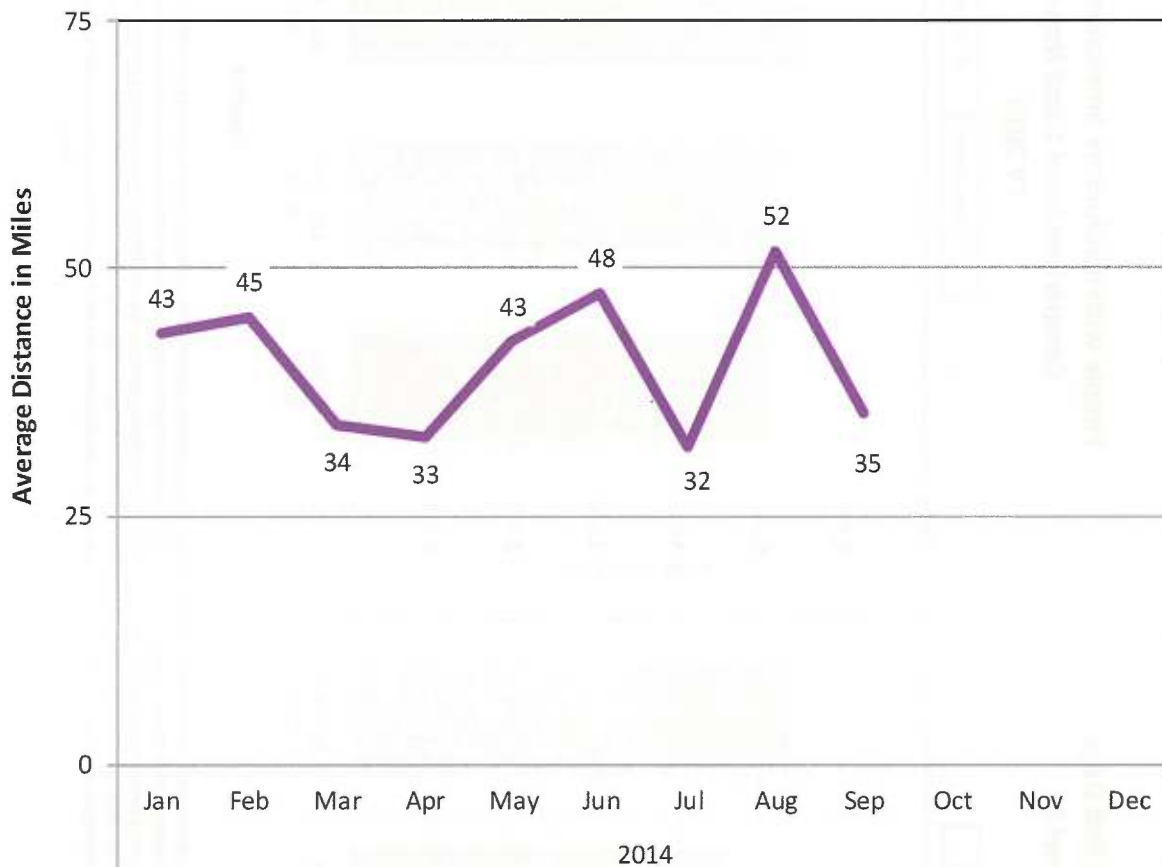
Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. Bed days for Level 1 stays can include inpatient days before the Level 1 determination was made due to the payment structure of Level 1 inpatient stays.



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. Bed days for Level 1 stays can include inpatient days before the Level 1 determination was made due to the payment structure of Level 1 inpatient stays.

c. Average Distance to Psychiatric Inpatient Care (2014)

**Average Distance to Adult Psychiatric Inpatient Care
From Home to Designated Hospital for Involuntary Stays
2014**



	Month of Admission											
	2014											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Cases*	30	26	33	33	41	44	41	38	37			
Average Distance in Miles	43	45	34	33	43	48	32	52	35			

Analysis based on data maintained by the VPCH admissions department from paperwork submitted by crisis, designated agency, and hospital screeners for adults admitted to involuntary inpatient care at Designated Hospitals. Total cases includes persons admitted involuntarily to psychiatric inpatient units, but may also include patients who convert to voluntary upon arrival to the unit. Cases and averages exclude patients with no residency information and patients reported as residing out of state.

d. Hospital Admissions, Length of Stay, and Readmissions

**Adult Involuntary Inpatient Utilization: Statewide
2014**

	2014							
SYSTEM TOTAL	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Total Admissions this Month	32	29	34	37	43	48	45	43
Total Discharges this Month*	35	24	33	35	45	42	41	46
Length of Stay for Discharged Clients*	44.5	48.8	39.4	34.7	64.0	41.3	27.9	26.7
30 Day Readmission Rate*	3%	8%	0%	9%	11%	10%	10%	4%

Analysis is based on the adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit.

* Administrative staff and care managers at the Department are working to complete data records. While a majority of FY2014 records are entered, staff are still working to close out records with discharge dates. Once all records for FY2014 are resolved, the Department will be able to report length of stay and 30 day readmission rates as requested.

This request has been updated from last month's report to include the Department's progress in entering involuntary admissions events into our data collection spreadsheet. Currently, there are approximately 80 records without discharge dates, which accurately reflects the number of involuntary patients receiving inpatient care.

Data collection regarding involuntary admissions is a multi-unit manual effort at present. Data for involuntary admissions are collected by the Department's Care Management Unit with assistance from administrative staff. At the beginning of each month, the Research and Statistics Unit provides Care Management with data collected on screenings for inpatient hospitalization. Care management reviews this list and adds records that may have been missed. Care management then coordinates with Utilization Review to capture Level 1 status for each patient. Data for inpatient stays typically takes two months to capture (i.e. August data completed in October). This delay represents Department efforts to audit the data collection and spreadsheet entries for completeness and accuracy. This delay also allows the Department to collect as many discharge dates as possible, since the median length of stay for inpatient psychiatric care is 14 days.

III. Vermont Department of Mental Health System Snapshot (2012-2014)



Vermont Department of Mental Health System Snapshot (February 12, 2014)

Reporting Category	2012											
	FY12 Q3			FY12 Q4			FY13 Q1			FY13 Q2		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	-	-	-	89%	92%	90%	89%	89%	91%	91%	88%	89%
Avg. Daily Census	-	-	-	-	-	-	-	-	-	-	-	-
Adult Crisis Beds												
% Occupancy	-	-	-	72%	80%	80%	77%	75%	72%	78%	82%	86%
Avg. Daily Census	-	-	-	-	-	-	-	-	-	-	-	-
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	-	-	-	-	-	-	-	-	-	-	-	-
Adults	-	-	-	28	45	32	43	40	43	44	39	32
Total adults admitted with Level 1	-	-	-	-	-	-	13	11	10	17	11	13
Designation (% of Total applications)	-	-	-	-	-	-	30%	28%	23%	39%	28%	41%
Total adults admitted with CRT	-	-	-	7	15	18	18	11	24	22	14	11
Designation (% of Total applications)	-	-	-	25%	33%	56%	42%	28%	56%	50%	36%	34%
Instances when Placement Unavailable & Client Held in ED												
Involuntary Medications												
# Applications	4	3	7	3	6	4	4	3	4	6	0	2
# Granted Orders	3	2	5	2	1	3	4	2	1	6	-	2
Mean time to decision (days)	20	16	19	15	22	20	11	15	14	13	-	11
Court Ordered Forensic Observation Screenings												
# Requested	-	-	-	-	-	-	17	19	11	8	8	14
# Inpatient Ordered	-	-	-	-	-	-	4	6	4	5	6	9
VT Resident Suicides												
Youth (0-17)												
Total	0	0	0	0	0	0	0	1	1	0	0	0
# with DA contact within previous year	0	0	0	0	0	0	0	0	0	0	0	0
Adults (18+)												
Total	7	6	11	8	9	7	6	4	7	4	3	9
# with DA contact within previous year	2	1	2	3	1	2	2	1	1	1	0	3
Housing												
# Clients permanently housed as a result of new Act79 housing funding	-	-	-	5	10	6	18	20	13	8	0	
Involuntary Transportation												
Adults (total transports)												
# of Transports	24	14	19	11	23	15	14	13	17	8	15	15
% Non-Restrained	33%	36%	11%	27%	22%	47%	57%	46%	35%	38%	67%	47%
% Restrained	67%	57%	89%	73%	74%	40%	43%	54%	65%	63%	33%	53%
% of Restrained using metal restraints	46%	50%	63%	73%	48%	20%	21%	31%	35%	13%	20%	27%
% of Restrained using soft restraints	21%	7%	26%	0%	26%	20%	21%	23%	29%	50%	13%	27%
Children Under 10 (total transports)												
# of Transports	-	-	-	-	-	-	5	1	0	2	1	1
% Non-Restrained	-	-	-	-	-	-	80%	100%	-	100%	0%	100%
% Restrained	-	-	-	-	-	-	20%	0%	-	0%	100%	0%
% of Restrained using metal restraints	-	-	-	-	-	-	0%	0%	0%	0%	100%	0%
% of Restrained using soft restraints	-	-	-	-	-	-	100%	0%	0%	0%	0%	0%
CRT Employment												
% Employed	14%			15%			15%			16%		
Wages per employed client	\$2,308			\$2,363			\$2,379			\$2,486		



Vermont Department of Mental Health System Snapshot (April 14, 2014)

*data forthcoming

2013

Reporting Category	FY13 Q3			FY13 Q4			FY14 Q1			FY14 Q2		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	94%	91%	92%	84%	87%	93%	88%	89%	89%	89%	90%	83%
Avg. Daily Census	137	132	136	134	135	146	138	139	139	143	149	137
% Occupancy at No Refusal Units							100%	96%	99%	99%	99%	98%
Avg. Daily Census							28	27	28	28	28	27
Adult Crisis Beds												
% Occupancy	77%	79%	83%	82%	84%	85%	82%	81%	79%	81%	83%	79%
Avg. Daily Census	27	28	29	29	31	31	30	31	31	31	32	31
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	-	-	-	9	10	6	9	7	15	6	4	2
Adults	50	32	55	41	55	39	65	32	43	43	37	39
Total adults admitted with CRT	13	13	27	19	14	11	15	12	9	7	11	19
Designation (% of Total applications)	26%	41%	49%	46%	25%	28%	23%	38%	21%	16%	30%	49%
Total Level 1 Admissions	22	13	20	22	26	10	19	18	13	11	7	14
Instances when Placement Unavailable & Adult Client Held in ED												
	27	21	43	27	38	24	38	16	34	29	30	23
Adult Involuntary Medications												
# Applications	2	3	3	2	9	4	5	7	5	10	9	4
# Granted Orders	2	3	2	2	5	3	5	6	3	4	6	3
Mean time from filing date to decision date (days)	22	12	20	27	19	17	20	14	12	17	9	10
Court Ordered Forensic Observation Screenings												
# Requested	11	13	9	10	11	11	22	20	19	16	13	9
# Inpatient Ordered	3	7	5	5	6	6	11	8	7	5	6	5
VT Resident Suicides												
Youth (0-17)												
Total	0	0	0	0	0	2	0	0	0	1	0	1
# with DA contact within previous year	-	-	-	-	-	1	-	-	-	0	-	1
Adults (18+)												
Total	4	6	10	8	10	5	8	10	14	13	8	6
# with DA contact within previous year	0	3	2	2	1	0	2	1	4	4	1	1
Housing												
# Clients permanently housed as a result of new Act79 housing funding	18	21	14	11	14	5	0	5	0	2	0	0
Total # enrolled to date	98	119	133	144	158	169	169	176	176	168	123	123
Involuntary Transportation												
Adults (total transports)												
# of Transports	19	17	18	11	18	13	18	12	18	15	17	17
% Non-Restrained	58%	94%	61%	82%	78%	85%	72%	75%	83%	100%	94%	65%
% Restrained	42%	6%	39%	18%	22%	15%	28%	25%	17%	0%	6%	35%
% all transports using metal restraints	16%	6%	6%	9%	6%	8%	17%	25%	17%	0%	6%	18%
% all transports using soft restraints	26%	0%	33%	9%	17%	8%	11%	0%	0%	0%	0%	18%
Youth Under 10 (total transports)												
# of Transports	3	3	0	0	0	0	0	2	0	0	0	0
% Non-Restrained	100%	100%	-	-	-	-	-	100%	-	-	-	-
% Restrained	0%	0%	-	-	-	-	-	0%	-	-	-	-
% all transports using metal restraints	0%	0%	-	-	-	-	-	0%	-	-	-	-
% all transports using soft restraints	0%	0%	-	-	-	-	-	0%	-	-	-	-
CRT Employment												
% Employed	15%			16%			17%			15%		
Wages per employed client	\$2,318			\$2,457			\$2,298			\$2,456		



Vermont Department of Mental Health System Snapshot (October 14, 2014)

*data forthcoming

2014

	FY14 Q3			FY14 Q4			FY15 Q1			FY15 Q2		
Reporting Category	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	87%	88%	89%	91%	93%	89%	82%	85%	86%			
Avg. Daily Census	146	147	151	153	157	150	153	159	162			
% Occupancy at No Refusal Units	98%	98%	100%	100%	99%	100%	63%	75%	84%			
Avg. Daily Census	28	27	28	28	28	28	29	34	38			
Adult Crisis Beds												
	* VPCH gradual opening of 25 beds											
% Occupancy	83%	79%	77%	77%	77%	76%	76%	66%	75%			
Avg. Daily Census	32	30	29	29	29	29	29	25	28			
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	5	4	7	5	9	10	4	3	8			
Adults	38	32	35	46	42	46	45	52	49			
Total adults admitted with CRT	9	11	8	9	9	14	15	10	15			
Designation (% of Total applications)	24%	34%	23%	20%	21%	30%	33%	19%	31%			
Total Level 1 Admissions	14	8	10	11	18	16	9	14	9			
Instances when Placement Unavailable & Adult Client Held in ED												
	19	19	27	27	30	33	28	29	28			
Adult Involuntary Medications												
# Applications	6	8	7	4	4	5	8	6	5			
# Granted Orders	5	4	6	4	4	4	7	2	1			
Mean time from filing date to decision date (days)	14	17	16	10	14	9	13	10	7			
Court Ordered Forensic Observation Screenings												
# Requested	6	11	12	14	8	10	11	10	5			
# Inpatient Ordered	2	7	3	5	5	4	3	4	2			
VT Resident Suicides												
Youth (0-17)												
Total	2	0	0	0	0	1	0	3	*			
# with DA contact within previous year	2	0	0	0	0	1	0	1	*			
Adults (18+)												
Total	11	5	6	6	6	7	8	10	*			
# with DA contact within previous year	1	1	0	2	2	3	1	2	*			
Housing												
# Clients permanently housed as a result of new Act79 housing funding	1	2	3	3	4	1	1	1	2			
Total # enrolled to date	124	122	124	131	131	131	132	133	129			
Involuntary Transportation												
Adults (total transports)												
# of Transports	13	15	13	16	15	22	14	19	*			
% Non-Restrained	85%	87%	69%	81%	67%	59%	71%	79%	*			
% Restrained	15%	13%	31%	19%	33%	41%	29%	21%	*			
% all transports using metal restraints	8%	7%	15%	6%	7%	32%	0%	5%	*			
% all transports using soft restraints	8%	7%	15%	13%	27%	9%	29%	16%	*			
Youth Under 18 (total transports)												
# of Transports	4	5	7	4	3	5	6	4	*			
% Non-Restrained	100%	100%	100%	100%	100%	100%	83%	75%	*			
% Restrained	0%	0%	0%	0%	0%	0%	17%	25%	*			
% all transports using metal restraints	0%	0%	0%	0%	0%	0%	17%	25%	*			
% all transports using soft restraints	0%	0%	0%	0%	0%	0%	0%	0%	*			
CRT Employment												
% Employed		16%			*			*				
Wages per employed client		\$2,301										



Vermont Department of Mental Health System Snapshot

Definitions

Inpatient Hospital	The hospitals designated by the Commissioner of Mental Health for involuntary psychiatric treatment: Brattleboro Retreat (BR), Central Vermont Medical Center (CVMC), Fletcher Allen Health Care (FAHC), Rutland Regional Medical Center (RRMC), Windham Center at Springfield Hospital (WC), and Vermont Psychiatric Care Hospital (VPCH). Adult Inpatient Units at VPCH, RRMC - South Wing, and Brattleboro Retreat - Tyler 4. The units designated as no refusal units: BR - Tyler 4, RRMC - South Wing, VPCH.
Designated Agency Crisis Bed	Emergency Services beds intended to provide crisis intervention, respite, or hospital diversion that are staffed by and under the supervision of a designated community mental health agency (DA). Statewide averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.
Court-ordered Forensic Observations	Forensic patients are designated when there is criminal justice involvement and when there are questions concerning competency/sanity of an individual being arraigned. A screening is requested by a community mental health agency pursuant to §4815 13 VSA. Numbers represent a point in time count mid-month.
Emergency Examination (EE)	An application for emergency examination has been completed for involuntary admission (§7508 of 18 VSA) to a designated hospital for psychiatric treatment (danger to self or others) subsequent to an evaluation by community mental health agency screener & medical doctor.
Restrained Transport (formerly called Secure)	Transport via law enforcement utilizing either metal or soft restraints.
Non-Restrained Transport (formerly called Non-Secure)	Transport not utilizing restraints; this can include plain clothed law enforcement, Designated Agency transport teams, or other means of transport such as family members.
VT Resident Suicides	Based on <u>PRELIMINARY</u> data from the Vital Statistics System maintained by Vermont Department of Health and Monthly Service Report (MSR) data provided by the Department of Mental Health (DMH). Cross-sector data analysis was conducted using LinkPlus, a probabilistic statistical linkage software developed by the CDC for linking records across databases. MSR data includes services provided by community designated agencies for clients served by DAs within the year prior to death. Primary Program is defined as the primary program assignment on the client's last service with DMH. Monthly counts are subject to change as more information is made available.
Housing	Based on the number of applications approved, in the months the program has been operating and the total approved to date. Enrollment to date numbers do not necessarily sum to total numbers housed. Data cleaning is on-going.

Adult Inpatient Utilization and Bed Closures: Page 1 of 2

System Total and Level 1 Units 2014

All Units
 Level 1 Units
 Non-Level 1 Adult Units

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
ADULT INPATIENT UNITS												
Total Beds	169	169	169	169	169	169	188	188	161			
Average Daily Census	137	147	151	153	155	148	154	159	142			
Percent Occupancy	83%	87%	89%	91%	92%	88%	82%	85%	88%			
# Days at Occupancy	0	0	0	0	0	0	0	0	0			
# Days with Closed Beds	31	28	31	30	31	19	30	31	30			
Average # of Closed Beds	6	10	7	3	4	3	18	14	8			
VPCH												
Total Beds	8	8	8	8	8	8	25	25	25			
Average Daily Census	8	8	8	8	8	8	9	14	18			
Percent Occupancy	100%	100%	99%	100%	98%	100%	34%	55%	71%			
# Days at Occupancy	31	27	28	30	26	30	0	0	0			
# Days with Closed Beds	0	0	3	0	0	0	30	31	30			
Average # of Closed Beds	-	-	1	-	-	-	17	11	7			
BR TYLER 4												
Total Beds	14	14	14	14	14	14	14	14	14			
Average Daily Census	14	14	14	14	14	14	14	14	14			
Percent Occupancy	100%	100%	100%	100%	100%	100%	100%	100%	100%			
# Days at Occupancy	29	27	31	30	30	29	31	31	30			
# Days with Closed Beds	0	0	0	0	0	0	0	0	0			
Average # of Closed Beds	-	-	-	-	-	-	-	-	-			
RRMC SOUTH WING												
Total Beds	6	6	6	6	6	6	6	6	6			
Average Daily Census	6	6	6	6	6	6	6	6	6			
Percent Occupancy	98%	100%	100%	99%	100%	99%	100%	99%	100%			
# Days at Occupancy	28	28	31	29	31	29	31	29	30			
# Days with Closed Beds	6	0	1	2	0	0	0	0	2			
Average # of Closed Beds	1	-	1	1	-	-	-	-	1			
Wait Times for Beds												
Average # People Waiting per Day	6	7	11	8	8	8	8	4	6			

Based on data reported to the Vermont Department of Mental Health (DMH) by designated hospitals (DH) for adult inpatient care using the electronic bed boards system. Beds at inpatient settings can be closed based on the clinical decision of the director of each inpatient unit. Average number of people waiting per day is determined using the morning inpatient update and wait times in days are based upon data maintained by the VPCH admissions department that is submitted by crisis, designated agency, and hospital screeners.

Adult Inpatient Utilization and Bed Closures: Page 2 of 2

System Total and Non-Level 1 Units 2014

All Units
 Level 1 Units
 Non-Level 1 Adult Units

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
ADULT INPATIENT UNITS												
Total Beds	169	169	169	169	169	169	188	188	161			
Average Daily Census	137	147	151	153	155	148	154	159	142			
Percent Occupancy	83%	87%	89%	91%	92%	88%	82%	85%	88%			
# Days at Occupancy	0	0	0	0	0	0	0	0	0			
# Days with Closed Beds	31	28	31	30	31	19	30	31	30			
Average # of Closed Beds	6	10	7	3	4	3	18	14	8			
CVMC												
Total Beds	14	14	14	14	14	14	14	14	14			
Average Daily Census	12	11	12	11	13	12	12	12	13			
Percent Occupancy	89%	76%	86%	81%	92%	85%	85%	87%	90%			
# Days at Occupancy	8	1	5	1	13	3	3	6	6			
# Days with Closed Beds	0	0	0	0	0	0	15	12	0			
Average # of Closed Beds	-	-	-	-	-	-	2	1	-			
FAHC												
Total Beds	27	27	27	27	27	27	27	27	27			
Average Daily Census	25	20	20	24	24	24	23	22	21			
Percent Occupancy	91%	74%	75%	89%	88%	89%	85%	80%	79%			
# Days at Occupancy	0	0	0	0	0	1	0	0	0			
# Days with Closed Beds	31	27	31	30	29	19	2	15	27			
Average # of Closed Beds	2	7	5	2	2	2	1	1	2			
BR (NON LEVEL 1 UNITS)												
Total Beds	73	73	73	73	73	73	75	75	75			
Average Daily Census	57	67	66	66	68	64	69	67	68			
Percent Occupancy	78%	92%	91%	91%	93%	87%	92%	89%	90%			
# Days at Occupancy	0	0	0	0	0	0	3	0	0			
# Days with Closed Beds	30	28	26	14	26	10	8	31	21			
Average # of Closed Beds	3	2	2	2	2	2	1	2	2			
RRMC GEN PSYCH												
Total Beds	17	17	17	17	17	17	17	17	17			
Average Daily Census	12	15	16	16	17	15	14	16	17			
Percent Occupancy	71%	89%	95%	96%	98%	90%	84%	93%	98%			
# Days at Occupancy	2	4	14	18	20	7	7	9	21			
# Days with Closed Beds	23	24	5	10	12	0	7	0	0			
Average # of Closed Beds	2	1	1	1	1	-	1	-	-			
WC												
Total Beds	10	10	10	10	10	10	10	10	10			
Average Daily Census	6	8	8	7	8	6	7	9	7			
Percent Occupancy	61%	76%	77%	69%	83%	64%	68%	85%	70%			
# Days at Occupancy	1	4	5	3	7	2	6	7	0			
# Days with Closed Beds	3	2	0	0	0	0	1	0	0			
Average # of Closed Beds	6	2	-	-	-	-	2	-	-			
Wait Times for Beds												
Average # People Waiting per Day	6	7	11	8	8	8	8	4	6			

Based on data reported to the Vermont Department of Mental Health (DMH) by designated hospitals (DH) for adult inpatient care using the electronic bed boards system. Beds at inpatient settings can be closed based on the clinical decision of the director of each inpatient unit. Average number of people waiting per day is determined using the morning inpatient update and wait times in days are based upon data maintained by the VPCH admissions department that is submitted by crisis, designated agency, and hospital screeners.

**State of Vermont****Department of Public Service**

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Oct 29, 2014

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

To: The Legislative Joint Fiscal Committee

Enclosed is the Annual 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, 2014 through September 30, 2014.

For this period the Department had costs or expenditures of \$0.00 for proceedings at the Federal Energy Regulatory Commission, due to the fact that we had no filings with FERC, hence no time to support any filings. We do anticipate costs in this current quarter, and will report them at the end of the quarter.

Respectfully Submitted,
Vermont Department of Public Service

A handwritten signature in black ink, appearing to read "Chris Recchia", written over a horizontal line.

Christopher Recchia
Commissioner

Enclosure



**Public Service Department Expenditures
Related to Proceedings
At the
Federal Energy Regulatory Commission
For the period
July 1, 2014 through September 30, 2014**

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 ¹	\$ <u>0</u>
Indirect Expenditures ²	\$ <u>0</u>
Total Expenditures ³ for 2 nd -4 th Qtr FY 2014	\$ <u>0</u>

¹In 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 July 1, 2012 through June 30, 2012.

§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;

²Indirect expenditures include telephone, postage and copying expense.

³Expenditures include amounts actually paid for the quarter.



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Robin Lunge, Director

Report on Payment Variation in Physician Practices

Robin Lunge,
Director of Health Care Reform
Agency of Administration
On behalf of the Secretary of Administration

Kara Suter,
Director of Payment Reform
Department of Vermont Health Access

Steve Kappel,
Policy Integrity

November 26, 2014

Introduction

Act 144 of the 2013-2014 session of the Vermont Legislature charges the Secretary of Administration with recommending whether the State should prohibit health insurers from reimbursing physicians in independent practices at lower rates than those at which they reimburse physicians in hospital owned practices for providing the same services. To meet this charge, this report provides background information on why there are different payments for the same health care services in Vermont, known as price or payment variation, and summarizes earlier reports received by the Green Mountain Care Board on the topic.

The report describes how public payers determine prices, which includes a payment differential based on where the service is delivered, but not on ownership. In addition, the report discusses the available data, which is limited to primary care physician practices participating in the Blueprint, and determines that the current variation in commercial payment rates appears to be based on affiliation with an academic medical center, not based on hospital ownership.

Finally, the report recommends further analysis on this important topic in the context of pursuing payment and delivery system reform to ensure that a new payment system takes into account the current variation.

Process and Public Input

The Director of Health Care Reform received a number of letters from physician practices and others providing input into the issue. These letters are available by contacting the Agency of Administration.

The Director of Health Care Reform requested time on the agenda of the Green Mountain Care Board to share the analysis prior to its finalization, to hear questions and clarifications from GMCB members, and to allow for public input and questions. This public meeting was held on November 20, 2014. The Director's presentation to the GMCB is provided in Appendix A.

Background

Throughout the U.S. health care system there is wide variation in the amount paid for a specific health service. Multiple factors contribute to variation, both from the provider side and the payer side of a payment transaction. Major factors contributing to price variation in Vermont are identified below. There are differences in the influence of these factors between the Commercial and Public sectors:

1. Relative Power in Establishing Payment Rates

Medicare and Medicaid, or public payers, have the legal authority to unilaterally set payment rates. The next section of this report elaborates on how public payers determine payments to providers.

Commercial payers typically negotiate payment with health care providers, but the structure of these negotiations is strongly influenced by the relative market power of each party to the negotiation. As in any market-based system, providers with more volume or who are larger have a greater ability to negotiate with a payer than small or low volume providers. Smaller providers may be "price takers" even with payers with smaller market share; in other words, these

providers may not truly be able to negotiate, but may be expected to simply accept the proffered rate. On the other hand, in a small market like Vermont, a provider may have a monopoly in a given geographic area. In that case or in the instance where a specialty provider has a rare or unique skill, this may allow that provider to have more influence over the payment rate and allow for negotiation. These factors, among others, influence the market power of any specific provider with any given payer.

2. Product

Payments differ based on how a particular insurance product limits the provider network. For example, a health maintenance organization which has a closed or limited network, may be able to use that product design to negotiate lower provider reimbursement by only allowing the lowest priced providers inside the network.

3. Payment mechanism

Currently, payments may be based on provider costs (e.g. Medicare payments to Critical Access Hospitals), discounted charges, fee schedules, and prospective payment systems, such as Diagnosis Related Groups (DRGs), which establish payment for a hospital inpatient stay based on factors such as diagnoses and procedures, but are not affected by quantities of services provided or charges.

4. Provider Type

Some payers will pay less for the same service if it was provided by a different class of health professionals. For example, Medicare and Medicaid discount payments to master level psychologists compared to payments made to psychiatrists.

5. Place of service

Some payers will pay for the same service at different rates depending on where that service was provided.

Public Payers: Medicare and Medicaid

Prior reports have identified location of care as contributing to payment variation, but it is important to distinguish location from ownership. Public payers do not negotiate rates or distinguish payment by ownership status. As opposed to the commercial marketplace where size and volume may impact negotiated rates, public payers (Medicare and Medicaid) organize their payment systems by setting of care. The public payer ambulatory payment systems described within this report includes the physician office setting and outpatient hospital department (OPD) setting. Systems that set rates in these settings reflect the relative price of a service within each setting of care. Setting of care is determined by what "Place of Service" or "POS" is included on the bill for the service.

In Vermont, the Outpatient Prospective Payment System (OPPS) and the Physician Fee Schedule are used to pay for services in physician offices and in outpatient hospital departments.¹ There are federal rules for determining whether a physician practice is "part of" a hospital, which primarily relate to the location and administrative and financial relationships of the practice and

¹ In Medicare, Critical Access Hospitals are cost-based reimbursement and not OPPS. VT Medicaid reimburses all hospitals under OPPS, although sole community hospitals (SCHs) are adjusted slightly above non SCHs.

hospital provider. These rules can be found in 42 C.F.R. § 413.65.² Based on these rules, hospitals routinely bill Medicare and Medicaid services in both hospital outpatient department and physician office settings of care.

Payments to Physicians

Public payers do not distinguish payments to physicians by ownership status. Physician office practices are reimbursed for professional services the same regardless of ownership status. The component of payment for professional services—known as “physician work” is the same regardless of setting of care.

In the other most common ambulatory setting of care, hospital Outpatient Department (OPD), a separate payment is made for professional services (“physician work”) and facility fees—known as Ambulatory Payment Classifications (APCs). The professional service payment is the same across both settings of care; said another way, the component of payment associated with the work of the physician (or other allied health professional) is paid the same in both the office and outpatient hospital setting of care. In fact, most hospital systems bill both the physician office setting and the outpatient hospital settings, in accordance with Medicare regulations, in addition to the traditional acute setting.

Payments to Hospitals

Despite the congruence of professional payments across settings, the payments for facility fees do vary because they are based on different data and methodologies. Office practices receive payments for their relative “practice expense” while outpatient hospitals receive payments based on “ambulatory payment classifications.”³ Comparability between settings is a challenge because of the ability to distinguish hospital ownership in the data, differences in underlying data used to set rates, conversion factors, and differences in the amount of “packaging” in the outpatient setting. The main differences in the payment systems are summarized in the table below.

Payment System	Office	Outpatient
Relative Costs	<p>Medicare and Medicaid: Based on national physician practice data on the direct costs of clinical labor, supplies and equipment for each service as well as survey data on the indirect costs of operating physician practices across different types of physician specialties.</p> <p>Referred to as “Practice Expense”; also includes costs associated with malpractice insurance.</p>	<p>Medicare and Medicaid: Based on national Medicare cost report data on the departmental costs and two year historic utilization data.</p>
Payment Unit	One service = One payment	<p>Ambulatory Payment Classifications (APCs) Bundles the cost of ancillary services into the major procedure</p>

² <http://www.gpo.gov/fdsys/pkg/CFR-2013-title42-vol2/pdf/CFR-2013-title42-vol2-sec413-65.pdf>

³ In the office setting, practices also receive a payment for malpractice insurance costs, but this is very small relative to the payment for practice expenses.

Commercial Payers

Based on interviews described in the 2014 Price Variation Analysis Report⁴ produced for the Green Mountain Care Board in August 2014, most small physician practices are “price takers” – an offer is made by a payer and the provider either accepts or rejects the offer, without further opportunity for payment negotiation⁵. In contrast, large providers do engage in negotiations with payers. These negotiations are much more similar to classic contractual negotiations than to the “price taker” model.

Analysis

Efforts to explore the question of payment variation by ownership status in the commercial insurance market were hampered by the lack of a readily-available source that supports payment analysis by practice ownership. The one source for this information that we were able to identify is the Blueprint for Health’s practice roster. This roster identifies practice ownership type (FQHC, hospital-owned, independent / single site, and independent / multiple site). Analyses presented below relied on this information to classify practices. It is important to understand that this analysis is limited to primary care practices that participate in the Blueprint. While this is a large majority of primary care practices, between 75 to 80%, patterns may differ for specialty practices.

Analyses were conducted using data from VHCURES, Vermont’s all-payer claims database. Claims included in the analysis were for Vermont residents under 65 and were limited to primary payer. Analyses looked at average payment across ownership types for individual CPT codes. CPT (Current Procedural Terminology) is a coding system developed by the American Medical Association and universally used for billing of professional services. In addition to the basic 5 character code, CPT supports the use of “modifiers” which provide additional information. For example, modifiers are used for the two-part Medicare payments described above.

Findings

Looking at the 10 most frequent CPT codes, which accounted for just under 60 percent of all professional services performed by Blueprint practices in 2012, there was a clear difference in average payment between hospital-owned practices and all others. Conversations with payers suggested that the difference is not based on ownership, but instead on academic / non-academic status. We repeated our analyses separating out practices owned by the University of Vermont Medical Center, formerly Fletcher Allen, from all other hospital-owned practices and confirmed this. The table below illustrates the variation found in the commercial setting, which appears to be based on affiliation with an academic medical center. It is important to note that this could also be based on size or volume, since the state’s only academic medical center is also the largest hospital. Variations in prices could also be based on the commercial payer mix.

⁴ Available here:

http://gmcboard.vermont.gov/sites/gmcboard/files/Meetings/Presentations/Price_Variation_Analysis_GMCB1002_14.pdf

⁵ Other contractual terms may be negotiated with smaller providers

**Average Allowed Price by Practice Ownership, Top 10 Procedure Codes,
Excluding Services with Modifier⁶**

Services rendered during calendar 2012

CPT Code	FQHC-Owned	Independent	Hospital-Owned		Number of Services
			Non-Academic	Academic	
99213	\$73.82	\$80.68	\$75.66	\$98.71	142,203
99214	\$111.45	\$120.03	\$112.80	\$148.77	84,684
90471	\$22.11	\$26.82	\$22.44	\$38.41	66,184
99396	\$139.72	\$142.77	\$141.57	\$180.44	26,364
36415	\$7.24	\$7.37	\$7.11	\$10.28	27,534
90460	\$45.41	\$34.60	\$33.54	\$33.50	27,667
90658	\$15.36	\$19.74	\$18.07	\$27.09	15,011
90472	\$15.39	\$20.04	\$18.16	\$29.89	12,317
99395	\$127.38	\$129.59	\$128.66	\$163.17	9,556
87880	\$21.87	\$23.52	\$21.31	\$49.70	6,628
					418,148

As can be seen, with the exception of one code, variation is quite small, except for the variation between practices affiliated with academic medical center

⁶ Labels for CPT codes are provided in the second part of the table.

Discussion and Recommendation

The findings in this report illustrate that the majority of payers in Vermont do not reimburse hospital-owned office practices higher on average than physician-owned office practices for the 10 most common procedure codes for primary care services. The analysis found some variation in the commercial market attributable to academic medical center affiliation but not ownership status. Among public payers, the analysis found variation associated with differences in payment systems across settings of care rather than ownership status. This analysis provides a picture of payments to physician-owned practices in comparison to payments to hospital-owned practices, but it is important to note that rates for hospital-owned practices are a portion of a larger strategic revenue plan.

Whether these differences are legitimate reasons for differential payments is subject to debate with good arguments on all sides. Independent physicians will argue that smaller practices promote innovation, are more nimble, and could bring new ideas that reduce costs. Some will also argue that some practices are at the edge of sustainability and this must be considered in the price. Hospitals will argue that given the fixed costs of these institutions, that prices for services in outpatient settings should reflect the higher cost of these settings. Academic medical institutions will argue that supporting medical education through higher prices is important and that Vermonters benefit from having an academic medical center in the state, in part because of the research focus and in part because medical professionals tend to settle where they go to school, thus providing a needed workforce. Of course, in today's market-based system, these considerations while important, do not ensure leverage in price negotiation.

If the Green Mountain Care Board is to move forward with a regulatory system in lieu of today's market-based system, trying to determine the "right" price for a service should not be done in a one-off manner. The determination needs to be part of the larger payment and delivery system reform efforts that Vermont is engaging in. As Vermont begins its analysis and research on how to move forward with an all payer waiver, the state has an opportunity to look at these issues in the larger context and from multiple angles.. Our recommendation is that the administration and the GMCB continue to pursue payment and delivery system reform and to ensure that this issue remains an important part of that discussion

Appendix A

Physician Practices Report Update

Robin J. Lunge

Director of Health Care Reform

November 20, 2014

Legislature's Question

- Should the state prohibit health insurers from reimbursing physicians in independent practices at lower rates than those at which they reimburse physicians in hospital-owned practices?
- Focus of this question is on *ownership*, but there are multiple factors contributing to price variation.

What are the factors driving variation?

- Commercial insurance
 - Negotiating power (or lack of) between insurer and a specific provider entity
 - Differences in negotiating power among providers compared to each other (size; volume)
 - Network design
 - Academic medical centers
- Public payers (Medicare; Medicaid)
 - Place of service (office versus hospital outpatient dept)
- Both
 - Payment mechanism itself

Variation - Public Payer analysis

- There is payment variation based on site of service
 - Not on *ownership* status
 - Physician office setting (hospital-owned or independent): fee for professional services; fee for practice expense
 - Outpatient hospital department: fee for professional services; facility fee
- Professional service fee is the same across both settings
- Practice fee & facility fee does vary
- Hospitals bill both ways, depending on the place the service is received

Medicare & Medicaid

Payment System	Office	Outpatient
Relative Costs	Based on national physician practice data on the direct costs of clinical labor, supplies and equipment for each service as well as survey data on the indirect costs of operating physician practices across different types of physician specialties. Referred to as “Practice Expense”; also includes costs associated with malpractice insurance.	Based on national Medicare cost report data on the departmental costs and two year historic utilization data.
Payment Unit	One service = One payment	Ambulatory Payment Classifications (APCs) Bundles the cost of ancillary services into the major procedure

Variation – Commercial analysis

- There is payment variation based on whether the practice was affiliated with an academic medical center
 - Not on *ownership*
- Analysis is limited to:
 - Primary care practices that participate in the Blueprint for Health
 - 10 most frequent CPT codes – average across all carriers
 - 60% of all professional services in VHCURES

Variation in Top 10 Codes

Average Allowed Price by Practice Ownership, Top 10 Procedure Codes, Excluding Services with Modifier

Services rendered during calendar 2012

CPT Code	FQHC-Owned	Independent	Hospital-Owned		Number of Services
			Non-Academic	Academic	
99213	\$73.82	\$80.68	\$75.66	\$98.71	142,203
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90472	\$15.39	\$20.04	\$18.16	\$29.89	12,317
99395	\$127.38	\$129.59	\$128.66	\$163.17	9,556
87880	\$21.87	\$23.52	\$21.31	\$49.70	6,628
					418,148

Draft AOA Recommendation

- Continued focus on payment variation in the context of moving toward a new, unified payment system and all payer waiver based on the following principles:
 - Transparency
 - Adequacy and sufficiency of reimbursement
 - Address the cost-shift among payers

Notes on Table – Slide 7

CPT Code	Definition
99213	Established patient office or other outpatient visit, typically 15 minutes
99214	Established patient office or other outpatient, visit typically 25 minutes
90471	Administration of 1 vaccine
99396	Established patient periodic preventive medicine examination age 40-64 years
36415	Insertion of needle into vein for collection of blood sample
90460	Admin. of first vaccine or toxoid component through 18 years of age with counseling
90658	Vaccine for influenza for injection into muscle, patient age 3 years and older
90472	Administration of vaccine
99395	Established patient periodic preventive medicine examination age 18-39 years
87880	Strep test (Streptococcus, group A)

Practices are limited to those participating in the Blueprint for Health. Identification of ownership by the Blueprint.

Selection and ordering of codes is based on all occurrences, including those with modifiers. Average price is calculated only for those services with no reported modifier.

Allowed price is the sum of payer and patient payments and excludes any subsequent payments

Bold indicates highest allowed price for that service

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Review of the Vermont Veterans' Home In Response to 2014 Act 179 Sec. E.100.2

Prepared for the Joint Fiscal Committee

Agency of Administration

11/15/2014

Sec. E.100.2 VERMONT VETERANS' HOME; FUNDING REVIEW

(a) The Secretary of Administration shall carry out a review of the revenue and budget options for the Vermont Veterans' Home and develop a business plan with the following goals:

- (1) creation of a revenue and budget approach that does not present a long-term structural deficit for the Vermont State budget; and
- (2) development of a strategy that eliminates the need for ongoing General Fund subsidies by fiscal year 2018.

(b) This review shall be submitted to the Joint Fiscal Committee before November 15, 2014.

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Executive Summary

The Secretary of Administration has prepared the following report per Sec. E.100.2 of Act 179 of 2014, which directed the Secretary to review the budget and revenues options for the Vermont Veterans' Home and to develop a business plan that does not present a long term structural deficit for the Budget of the State of Vermont and eliminates the need for ongoing General Fund subsidies by 2018.

This report details some of the pressures that have resulted in the increased reliance on General Funds in the last two fiscal years. This is primarily a result of a lower than budgeted census, but other factors, such as a denial of payment by CMS during a deficiency period, non-paying residents, and rate setting settlements, have contributed to the recent increased need for General Funds to balance the budget.

Because of a lower stable census and little indication that the Home will be able to increase it above an estimated 130 nursing home residents, it is the Administration's recommendation that the operations of the Home be reset to align with a new census status quo. This will require reassessing the current staffing level and the number of licensed beds. Additionally, steps including reconfiguring rooms to create additional private rooms with a higher per day charge, and revamping the use of vacant space, will help increase revenues for the Home.

These proposals will minimize the Home's reliance on General Funds, but it will not necessarily eliminate it. The State has provided either General Fund or Global Commitment funding to the Home for well over ten years and it may not be realistic, given the current struggles to increase the census, that the Home will be able to achieve complete self-sustainability by 2018. Through the implementation of the business process changes out-lined in this report, General Fund contributions will decrease. The Administration is currently working to finalize how these changes will impact funding at the Home and they will be incorporated in the Veterans' Home FY2015 Budget Adjustment request and the FY2016 Governor's Recommended Budget. The Secretary of Administration will work closely with the Departments of Finance and Management and Human Resources, as well as the Vermont Veterans' Home to begin implementing these changes in the coming months.

To completely eliminate the need for General Fund, other revenue sources will need to be identified. In this regard, some have suggested a Veterans' Home centric lottery game, while others have proposed a small wholesale fee on boxes of break open tickets, with the proceeds of either directed to the special fund to fund the operations of the Home.

Introduction

In Sec. E.100.2 of Act 179 of 2014, the Secretary of Administration was charged with reviewing budget and revenue options for the Vermont Veterans' Home and to develop a business plan that does not present a long term structural deficit for the Budget for the State of Vermont and eliminates the need for ongoing General Fund subsidies. This request arose due to a significant increase in the appropriation of General Fund to the Home in the FY2014 Budget, the FY2014 Budget Adjustment and the FY2015 Budget.

This report presents the background information on the revenue and expenditure issues that have faced the Home over the past few fiscal years. Following a review of the Home's recent fiscal challenges, the report presents recommendations to lessen (or eliminate) the need for the state to provide General Funds to keep the Home financially solvent.

The Secretary has met with the Administration of the Vermont Veterans' Home and Board Leadership along with members of the VSEA to hear ideas for making the Veterans' Home more fiscally sustainable. Some of their recommendations have been incorporated in this report.

Background

Overview of Current Funding Streams

Currently, the Veterans' Home appropriation consists of Federal Funds, General Funds, Global Commitment Funds and Special Funds. The Federal Fund and Special Fund appropriations are determined by anticipated reimbursement from different payer sources. Additionally, the Home receives Global Commitment Funds. The General Fund appropriation covers the gap between estimated expenditures and revenues from resident reimbursement. In addition to state appropriations, the Board of Trustees has authority to approve expenditures from two trust funds and a donation account based on the rules governing each fund. Each of these funding streams is discussed in more detail below.

Federal Funds: The Veterans' Home Federal Fund appropriation consists of dollars from three separate streams. Both Medicare and Veterans Administration (VA) reimbursement for nursing Home days are deposited into this fund. On average in FY2014 Medicare reimbursement was \$407 per day and VA was \$385 per day. Additionally, qualifying Veterans' receive a daily stipend from the VA that is deposited into this fund.¹ In FY2014 the stipend was \$100 for nursing home residents and \$43 for residents of the Domiciliary.

Special Funds: There are four Special Funds that make up the Special Fund appropriation; Vermont Medicaid, New York Medicaid, Private Pay, and Domiciliary. The revenue to these funds comes from

¹ All Veterans that live at the home with a disability rating of 70% or lower received a stipend from the VA. Residents whose disability rating is greater than 70% are considered VA residents and their reimbursement is paid for by the VA. Gold star parents and spouses that reside at the home do not receive the stipend.

reimbursement based on each resident's payer source. The reimbursement rate for these payers varies by source. The following table lists the FY2014 reimbursement rate for each of the special funds:

Table 1 - FY2014 Special Fund Reimbursement Rates (excluding the VA Stipend)

Vermont Medicaid	\$245
New York Medicaid	\$223
Private Pay	\$232
Domiciliary	\$20

Global Commitment Funds: The Home was appropriated \$410,986 of Global Commitment Funds in FY2014 and FY2015. In FY2013, the Global Commitment amount was reduced by nearly \$1M due to the negative impact it had on the reimbursement rates paid by Medicaid. This resulted in Medicaid rate settlements of \$480,302 for FY2012 rates and \$501,177 for FY2013 rates; the settlement equated to nearly \$1M of General Fund costs in the FY2014 Budget Adjustment Act. The change in Global Commitment funding should eliminate the Veterans' Home owing the state funds for rate settlements in future years.

General Funds: The FY2014 budget included a General Fund appropriation of \$1,344,225. FY2014 was the first time since FY2007 that the State had to appropriate General Funds to the Home. In the FY2014 Budget Adjustment, the Veterans' Home required an additional General Fund appropriation of \$2,854,731 to cover costs associated with lower than budgeted revenue.² The FY2015 Budget included an appropriation of \$2,704,637³ to help cover the costs of operating the Home, and it is anticipated that additional General Funds will be requested in the FY2015 Budget Adjustment. While in recent years the Home has had an increased reliance on General Fund to cover its deficit, the State has provided either General Funds or Global Commitment to the Home to help balance its budget for many years. Table 2 provides a history of State (or State equivalent) funding provided to the Home since 2002.

² The amount was later decreased by \$15,179 as a result of a statewide administrative management savings initiative. The final FY2014 appropriation at the Vermont Veterans' Home equaled \$4,183,777.

³ Amount appropriated after the August 13th, 2014 rescission.

Table 2 - History of State funds Appropriated to the Vermont Veterans' Home

Fiscal Year	General Funds	Global Commitment	Total State Funds	Percent change in State Funds
2002	2,287,969	-	2,287,969	-
2003	918,275	-	918,275	-59.87%
2004	1,882,445	-	1,882,445	105.00%
2005	1,018,786	-	1,018,786	-45.88%
2006	165,495	747,000	912,495	-10.43%
2007	170,826	913,047	1,083,873	18.78%
2008	-	913,047	913,047	-15.76%
2009	-	881,289	881,289	-3.48%
2010	-	837,225	837,225	-5.00%
2011	-	1,410,956	1,410,956	68.53%
2012	-	1,410,956	1,410,956	0.00%
2013	-	1,410,956	1,410,956	0.00%
2014	1,344,225	410,986	1,755,211	24.40%
2014 BAA	4,183,777	410,986	4,594,763	225.65%*
2015	2,817,331	410,986	3,228,317	-6.35%†

* Percent Change from FY2013 to FY2014 BAA

† Percent Change from FY2014 BAA to FY 2015; does not include an anticipated FY2015 Budget Adjustment

Other non-operating revenue: A unique aspect of the Vermont Veterans' Home is its Governance by a Board of Directors. The funds listed above are managed by the State and appropriated through the legislative process. There are three funds, a private trust, an endowment, and a donation fund, which can only be expended per a vote by the Board of Directors. These cannot be spent to support the daily operations of the Home.⁴ In 2014, the Home received over \$70,000 in donations that by nature are restricted and cannot be used to support operations.

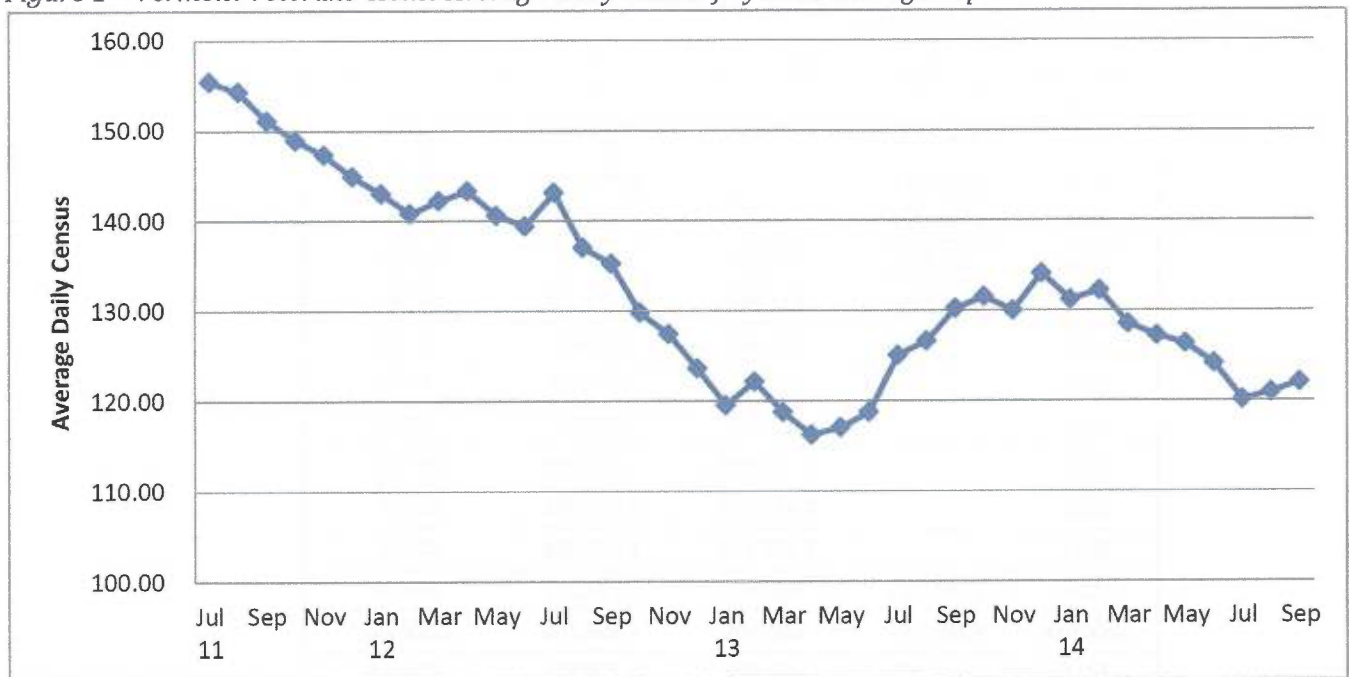
Census Summary

In recent years, the Veterans' Home has faced issues managing its census. Factors including reimbursement from residents and denial of payment by The Centers for Medicare and Medicaid (CMS) have impacted the Home's ability to increase and maintain a higher census.

Historical information: The census at the Vermont Veterans' Home drives its ability to collect reimbursement from residents to cover costs. The average daily census has dropped from 155.4 in July of 2012 to 120.1 in July of 2014, with a low of 116.2 in April of 2013. This information is depicted in Figure 1 below:

⁴ Per the bylaws of the Board of Directors

Figure 1 – Vermont Veterans' Home Average Daily Census July 2012 through September 2014



Demographics: The average age of the Veterans' at the Home is 81.49 years, including the residents in the Domiciliary. There are currently 104 Male Veterans and 2 Female Veterans, the rest of the residents are either Gold Star parents or the spouses of Veterans. The following table details the service period of the current veteran population:

Table 3 - Service Period of Residents of the Vermont Veterans' Home

Time of Service	Number of Veterans
World War II	37
Korea	23
Vietnam	33
Gulf War	2
Peace Time	14

Deaths: The Veterans' Home not only has to work to bring in new residents to increase the census, but the Home also has to fill the resident beds that are vacated through resident death. From January 1 through November 4, 2014, there have been 52 deaths at the Home.

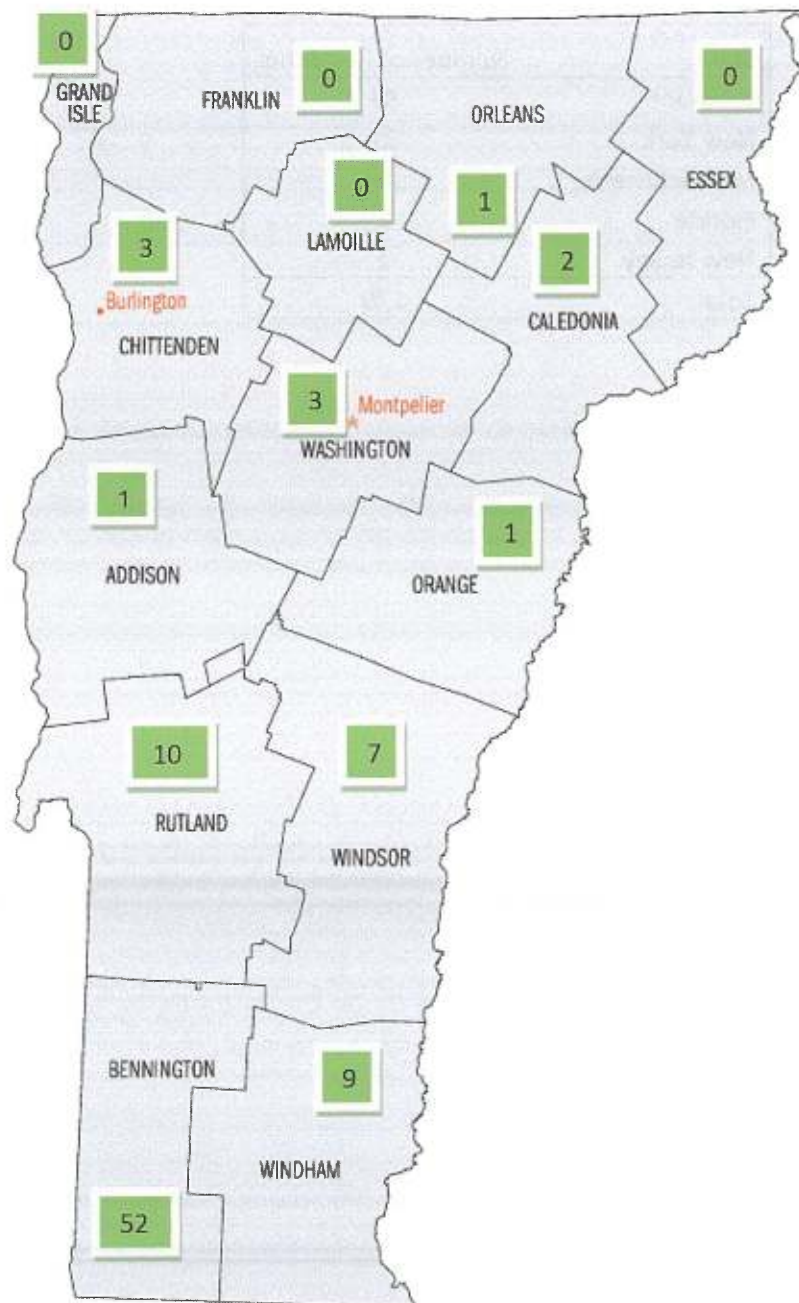
Location: The Veterans' Home is located in Bennington, several hours from the state's population centers. As a result, it is difficult for the Home to recruit residents from the northern and central part of the State because of the distance it puts between the resident and his or her family. This is evidenced by the geographic distribution of the residents at the Home. The following table and figure summarizes the

home state of current residents, and the home county of the Vermont Residents as of November 10, 2014.

Table 4 – Home States of Vermont Veteran's Home Residents

State	Number of Residents
Vermont	89
New York	31
Massachusetts	6
Florida	2
New Jersey	1
Total	129

Figure 2 – Distribution of Vermont Residents at the Vermont Veterans' Home



Map source: <http://quickfacts.census.gov/qfd/img/counties/stout50.gif>

Reimbursement: For the last two years the Home's reimbursement amount has been impacted by both institutional and individual resident issues. These issues have impacted how the Home screens residents for admission.

On the individual side, the Home has had to work to manage the sense of entitlement that some Veterans' have regarding their right to live at the Home. In October of 2013 the Home had to have a resident removed for non-payment for services rendered, and at a loss to the Home. Additionally, there are potential residents who qualify for Vermont Medicaid but who will not enroll, jeopardizing the Home's ability to be reimbursed if the individual is admitted. As a result of non-paying Veterans the Home has worked to make sure that any new admissions have a way to pay for the services they receive. If they do not or refuse to apply for Medicaid, they are not admitted to the Home.

On the institutional side, in mid-2012 CMS cited the Home for deficiencies that resulted in a withholding of payment for Medicaid and Medicare enrolled residents from June 28th, 2012 through September 25, 2012. In May of 2013 CMS issued another denial of payment letter and withheld reimbursement from May 26, 2013 through August 4, 2013. Due to these two events, the Home was designated as a Special Focus Facility and is subject to twice as many CMS evaluations. During these periods, the Home did not admit new residents in order to give them the ability to focus on implementing a corrective action plan and ensure that the Home did not lose reimbursement from CMS altogether. After the two denials of payment, the Home has worked to admit residents that the staff can manage, by screening potential residents for behavioral issues and other complex and difficult factors to minimize risk of citations from CMS in order to have the Special Focus Facility designation lifted.

Marketing Director: In an attempt to increase the census, the Home reconfigured a vacant position to create a marketing director in 2014. The role of this position is to seek resident referrals from both the community and other medical institutions. Through the end of October, there have been 237 total referrals; 131 from institutions and 106 self referrals. Despite having over 200 referrals, the Home has not reached its budgeted census, due in part to resident deaths as well as the measures put in place to ensure that the Home is reimbursed and not at risk of licensing issues. The Administration suggests that the Home actively review the effectiveness of the current marketing plan to ensure that the position and plan are benefiting the Home. Appendix 1 includes some more information regarding the Home's current marketing plan and referrals.

Expenditure Review

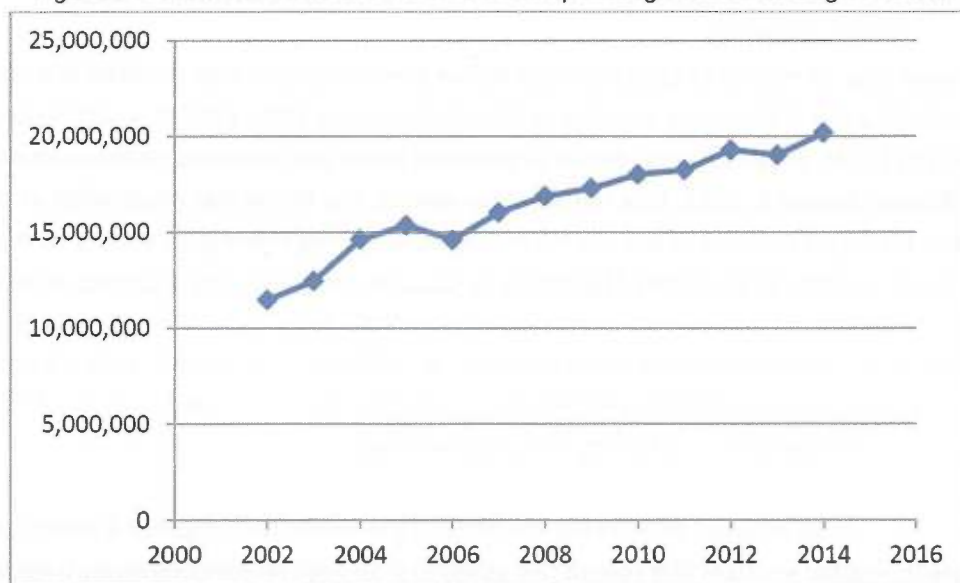
As part of the development of this report, the Administration examined the cost structure of the Home. This section provides a brief overview of some of the historical expenditures at the Home.

Historical Actual Spending: The Veterans' Home actual expenditures have grown from \$11.47M in FY2002 to \$20.17M in FY2014; representing an \$8.7M increase in 12 years, a growth rate of 4.82% per year. Figure 3 below depicts this growth year over year. Table 5 provides detail on the last 5 years of growth.

Table 5- Vermont Veterans' Home Historical Spending FY2010 through FY2014

	Personal Services		Contracts		Operating		Total
FY2014	13,069,139	65%	2,136,535	10%	4,967,509	25%	20,173,182
FY2013	12,872,371	68%	1,544,710	8%	4,605,496	24%	19,022,577
FY2012	12,872,969	67%	1,618,751	8%	4,789,281	25%	19,281,000
FY2011	12,899,591	71%	1,108,809	6%	4,232,402	23%	18,240,803
FY2010	13,226,905	73%	1,037,170	6%	3,748,599	21%	18,012,673

Figure 3 – Vermont Veterans' Home Actual Spending FY2002 through FY2014



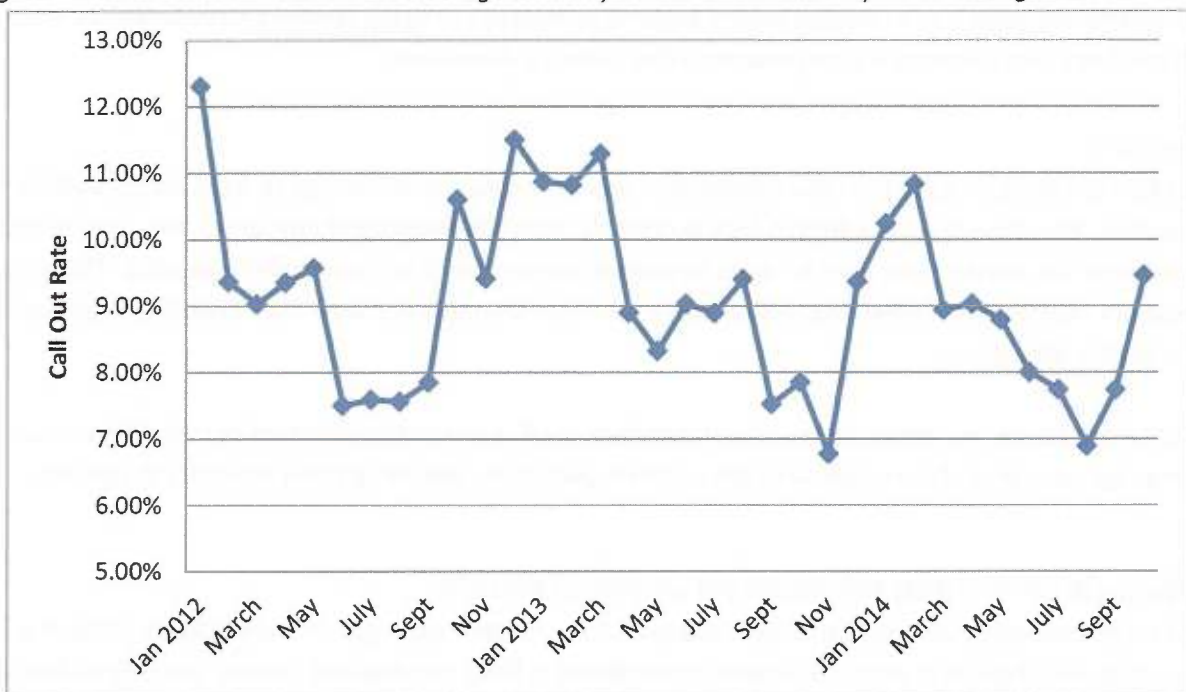
Salaries and Benefits: In FY2014 salary and benefit expenses represented 65% of actual expenditures; approximately \$13M. Until FY2015, the Veterans' Home operated with exclusively full time staff. In FY2014 four employees converted to part time FTEs.

Personal service costs at the Veterans' Home are a driver of costs and an area of the budget that is difficult to manage. A lack of part-time employees and a fixed staffing level has made it difficult for the Home to flex staff when the actual census at the Home changes. Similarly, when there is a staff member who calls out the Home either has to request that a different employee cover the shift, resulting in increased overtime costs, or they have to enlist the use of a staffing contract. In FY2014 the Home spent \$856,182 on overtime and \$277,287 on a supplemental staffing contract. Table 6 shows the change in overtime costs from FY2010 through FY2014. This has been a cost pressure at the Home for a few years due to an unusually high staff call out rate. Figure 4 below depicts the monthly call out rate since January 2012. In January 2012, the call out rate was at a high of 12.3%; in October of 2014 the call out rate was 9.46%.

Table 6 – Veterans' Home Change in Overtime Costs

	Annual Actual Overtime Costs	Percent Change
FY2014	\$856,182	38%
FY2013	\$619,131	-11%
FY2012	\$692,280	1%
FY2011	\$688,418	39%
FY2010	\$493,802	-

Figure 4 – Vermont Veterans' Home Average Monthly Call Out Rate January 2012 through October 2014



Nursing Home Assessment: 33 V.S.A. §1954 establishes the assessment paid by nursing homes in Vermont per the number of licensed beds at a facility. Currently the Vermont Veterans' Home has a bed license of 171. The current annual per bed tax is \$4,919.53; the Veterans' Home will be assessed \$841,240 in FY2015. The Home has to pay the assessment regardless of the actual average resident census.

Current Steps being taken to Increase Reimbursement and Manage Costs

Reimbursement

Managing reimbursement is critical to ensuring that there is sufficient revenue to operate the Home. The Home is working to make sure that only residents who have a payer source are admitted. Additionally, work is being done to train and improve processes to ensure that the Special Focus Facility designation is lifted to minimize risk of further CMS reimbursement action. Part of this work includes accepting residents that the staff can manage.

Additionally, the Director of Rate Setting visited the Home to educate staff on documenting acuity of residents correctly so that the Home is accurately reimbursed. The nursing staff is being trained on how to accurately document, and resident record keeping processes are being revisited to ensure that there are procedures that allow staff time to capture the correct information.

Expenses

In addition to taking steps to increase reimbursement, the Home has continued to work on controlling its expenses. Based on feedback from a review done by Health Management Resources, Inc., the Home has implemented department level budgets to provide more control on department spending. This gives department heads more awareness of their current budget amounts and how their spending aligns with their monthly allocations.

In FY2014 the Home implemented the use of part-time staff as a management tool to minimize the use of temps and overtime. Four employees are currently part-time, providing some flexibility in staffing.

Proposals to reduce reliance on General Funds

Based on the Secretary of Administration's analysis of the current Veterans' Home situation, achieving a census that would result in no state support of the Home is likely not realistic. Despite the Home's best attempts to increase the census over the last few years while minimizing risk to reimbursement and citations by CMS, the average monthly nursing home census has not been over 135 since September of 2012. While additional effort might increase the census slightly, it is the Secretary's determination that the Home will most likely not reach a nursing Home census higher than 130.

Rather than propose a likely unachievable plan to eliminate the reliance on General Fund entirely, this report proposes changes to current practices so that Vermont can continue to operate a Veterans' Home while minimizing reliance on General Funds. To completely eliminate the need for General Fund support, alternative sources of revenue will need to be identified.

Expenses

There are a few areas at the Veterans' Home where the expenses do not align with the current census. Most notably these areas include the staffing levels and the nursing home assessment.

Staffing: Currently the Vermont Veterans' Home is staffed to cover a census of 150 residents. The Home has not had a census that high since 2011 and the current environment does not indicate that a census of 150 is achievable in the near future. Given that the Home has had an average monthly census around 130 for the past few years, and there is no indication that they will be able to achieve a census of higher than 130, the Administration proposes dropping the staffing level to more closely align with an achievable census of 130 residents. Over the next few months the Secretary will be working closely with the Commissioner of Human Resources and the Veterans' Home to establish a staffing plan that will align the staff resources needed to provide care with the number of residents at the Home.

Nursing Home Assessment: The Nursing Home Assessment is currently levied based on the number of licensed beds at a facility. The Veterans' Home is currently licensed for 171 beds, and is subsequently taxed at that amount despite not having a census that aligns with the license. If the number of licensed beds were lowered to more closely align with a realistic census, the Home would save on this cost. The Administration proposes to drop the license to 130 in order to more closely align with the number of beds that could be filled. This would save an estimated \$177,103.⁵

Revenue

The current reimbursement rates for the Home do not provide sufficient funds to cover the costs of operations. The Administration estimates that the savings from decreasing staff and the number of licensed beds will not be sufficient to make the Home self sustaining and additional changes should be considered to increase the Home's revenue. There are three avenues for revenue generation included in this report; repurposing open space at the Home, the introduction of a private room option with a higher per day room charge, and raising dedicated funds through a lottery game or a small fee on break open tickets where proceeds would be used only for the operations of the Home.

Repurposing Space: Residents and staff do not currently occupy all of the available space at the Home. Currently there is open office space on the second floor of the Home that formerly housed the finance and human resource departments. Due to the mold remediation project at the Home, those offices have been relocated to a vacant resident wing of the Home. Once the office space is renovated, the Home should consider either leaving the finance and human resource departments in the vacant wing and renting out the office space on the second floor, or the Home should investigate other opportunities for the empty resident wing, such as expanding the Domiciliary, providing shelter for homeless Veterans, or developing linkages with the VA Medical Center.

Private Rooms: Currently the Veterans' Home mainly offers double occupancy rooms for residents. In the past year there have been several potential residents who have declined admission to the Vermont Veterans' Home because there wasn't an option to have a private room. The Home has the room space to turn some double rooms into private rooms and charge a higher rate. This would increase the

⁵ This change would be net neutral to the State. While lowering the amount of the assessment at the Home would result in the State providing less General Fund to the Home, it would also decrease the amount of assessment being deposited into the State Health Care Resources Fund. There would be no net gain to the State through this change.

resident revenue and help offset the need for General Fund. The Administration at the Home is working to determine which rooms could be made private and will be proposing a revenue adjustment in the FY2015 Budget Adjustment request and FY2016 Budget.

Other Revenue Options: To reduce the need to use General Fund to support the Home, Vermont could opt to raise funds through an alternative revenue source to help pay for the operating costs of the Home. Alternative sources suggested include a veteran centric lottery game or small per box fee on the wholesale of break open tickets. The funds from these sources would be dedicated to the Home and deposited into a special fund from which only the Veterans' Home would receive an appropriation. The Administration will work with the Department of Finance and Management, the Department of Taxes, the Vermont Lottery and the Department of Liquor Control to develop a revenue proposal.

Conclusion

The current financial structure at the Vermont Veterans' Home does not lend itself to self sustainability and requires the State to subsidize the Home's operations with General Funds. This is not unique to the Veterans' Homes in New England. Rhode Island, Massachusetts and New Hampshire have state run Veterans' Homes that are funded with 100% General Funds. Given the historical census at the Vermont Veterans' Home, and the other difficulties the Home has faced over the last few fiscal years, the Secretary of Administration proposes to realign the operations of the Home to fit within the realities of the recent census trends. This will require reducing the staff to align with an average daily census of 130 residents and lowering the number of licensed beds. Additionally, there are opportunities to raise revenue for the Home by repurposing space, converting some double rooms to private rooms, and creating a dedicated revenue stream, such as a lottery game or a small fee on boxes of break open tickets. By implementing the recommendations outlined in this report, the Secretary of Administration is confident that Vermont can continue to operate a successful Home for its Veterans that provides optimal care to its residents with minimal subsidies from the state General Fund.

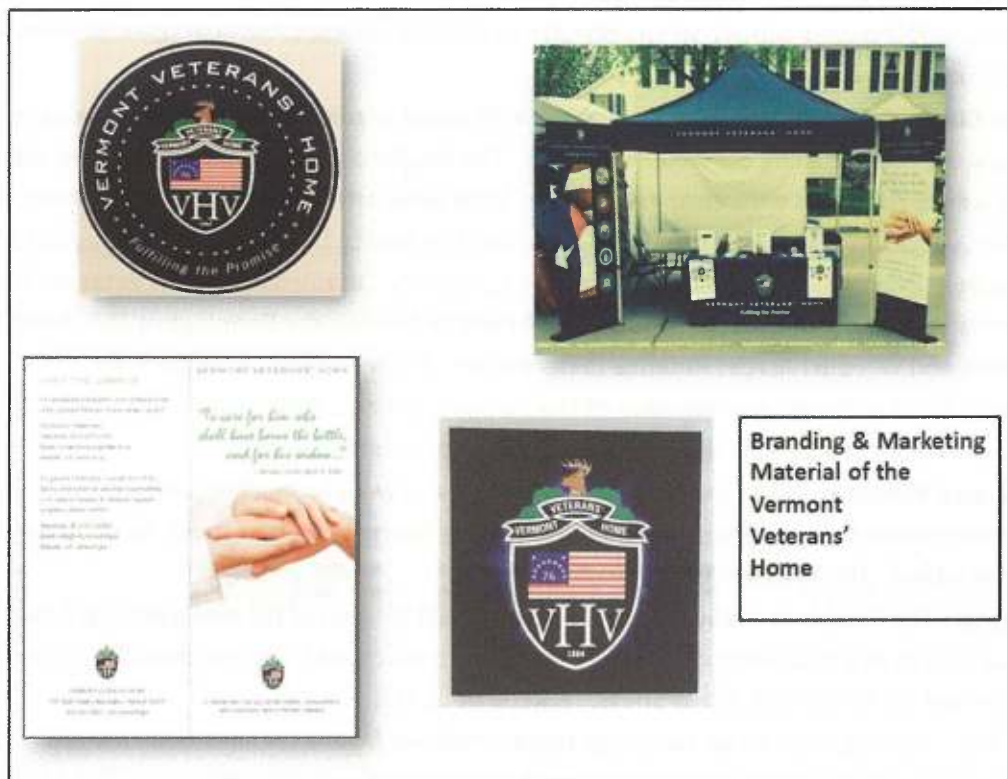
Appendix 1 - Marketing Information

The Vermont Veterans' Home (VVH) has a detailed marketing plan to help increase census. It was prepared for the Home by the Skoug Group, and full implementation would require \$240,000 of funding. Due to the funding issues at the Home, the Home is not implementing the complete plan. The Home has identified and is executing those activities that can be supported through the current budget. These activities include:

- **Lecture Series:** VVH has started the VALOR Program which entails monthly educational topics offered to the community and the Veterans/Members of VVH. This program began in September with a discussion on China, in October there was a presentation on the Haunted History of Vermont, and November there will be a discussion on Scottish Immigration to America. This program has had an attendance of 30 at each session averaging 10 members of the community at each.
- **Email Blasts, Twitter Feeds, and Facebook:** VVH sends regular emails/faxes to the various referral sources detailing our bed availability. The Facebook page and web page are regularly (at least weekly) updated with upcoming events, local news articles and pictures of facility events.
- **Public Events:** In addition to the VALOR program the facility hosted a Father's Day Car Show, 2 Summer Concerts in 2014, a Blood Drive, a visit from the Disabled American Veterans Mobile Benefits Van, and an ALS Walk. This year VVH will be hosting the Bennington Christmas Tree Lighting and Wreaths Across America in December. Plans are already in place for the 2015 Father's Day Car Show, an expansion of the Summer Concert Series, and another ALS Walk. Additionally we will be adding a Pow Wow to our community events.
- **Enhanced Website:** While we work on developing a new website all departments are reviewing the information on our current webpage to identify information that needs to be updated and/or added. This is a continual work in progress.
- **T-Shirts:** The President of the Board of Trustees paid for (out of his own personal funds) the set up charge at a local embroiderer where staff can purchase VVH merchandise, including but not limited to, Polo Shirts, Dress Shirts, Jackets, Hats, etc.
- **CAT TV:** Although not an ad campaign representatives from VVH have been invited to and have participated in 5 CAT programs throughout Vermont and Massachusetts. The CEO of VVH was recently interviewed by VPR for a Veterans' Day program. The program highlights our Memory Care and Arts program at the facility. A PSA was developed with the assistance of the CAT TV staff; the PSA is on our Web site and Facebook Page. It can be found at the following link: https://www.youtube.com/watch?v=otZqq3xg_ss
- **Business Card/Stationary:** Through the State printing office new business cards with the updated logo have been printed for the facility's leadership team (those that are actively involved in our community outreach). The logo has also been made into a sticker that can be placed on various items from folders to automobiles.
- **Display banners:** One of the first marketing steps implemented was the purchase of display banners which were used during our visit to the card room this past winter. The display is set up at all community events both on and off the facility grounds.

- **Small Rack Brochure:** Brochures were completed in conjunction with the display banners and have been distributed to various referral sources throughout Vermont, Western Massachusetts, and the Capital District of New York. The facility's Marketing/Admissions Director makes frequent visits to these locations to refill the brochures, provide updates on facility activities and provide education on our admissions process.
- **Giveaways:** The facility is using previously purchased VVH wrist bands (similar to the Live Strong wrist bands) as well as pens with the facility's contact information as giveaways at community events.

Below are images of the Home Marketing Material:



The Marketing director has also compiled the following referral data by source:

Table 7 – Resident Referrals by Source

Albany Med	5
Albany VA	7
Bennington Council on aging	1
Berlin Health	1
BMC	2
Brocton VA	1
Central Vermont	1
Diamond Ridge	1
Danforth	3
Dartmouth	5
Denver VA	1
Ellis Med	1
Equinox Terrace	4
Fawn Ridge	1
Fletcher Allen	1
Gifford Med	1
Glens Falls	1
Grace Cottage	1
Indian River	1
Lady of Meows	1
Maple Lane	1
Montana VA	1
Mountain View	1
Mt Ascutney	1
North Adams Regional	1
North Western Med	1
Northeastern Center	1
Northshire	1
Rutland med	5
VT Cboc	8
Samaritain Hospital	7
St peters	13
St Mary's	1
SVMC	31
WRJ	17
West Roxbury	1
Total Referrals by Intuitions	131
Self Referrals	106
Total Referrals year to date	237

Theresa Utton

From: LeBlanc, Leonard <Leonard.LeBlanc@state.vt.us>
Sent: Friday, November 07, 2014 1:02 PM
To: Neil Schickner
Cc: Theresa Utton; Aronowitz, Jason; Searles, Brian; Minter, Sue; LeBlanc, Leonard
Subject: JTOC reports
Attachments: 19 V.S.A. § 12b(d)(1)_JTOC_ContractBidReport_11_2014.pdf; 19 V.S.A. § 12b(d)(1)_JTOC_Project_Status_Report_11_2014.pdf

Neil,

Attached are the November JTOC reports. Please confirm that your office will distribute to members.

Thanks

Lenny LeBlanc
Chief Financial Officer
Vermont Agency of Transportation
(802) 828-2704
(802) 828-5989 (fax)
<mailto:leonard.leblanc@state.vt.us>



VT Agency of Transportation
Contract Bid Awards versus FY2015 Project Estimates
Joint Transportation Oversight Committee
November 2014

	PROGRAM	PROJECT NAME & NUMBER	DESCRIPTION	AWARD	AMOUNT BID	CONTINGENCY, ROW, PE ETC.	TOTAL ESTIMATE REVISED FOR BID RESULTS (E + F)	TOTAL ESTIMATE IN FY2015 BUDGET	AMOUNT ABOVE (BELOW) ESTIMATE (G-H)	% ABOVE (BELOW) ESTIMATE
*	ROADWAY	BARRE TOWN STP SCRP(10)	REMOVE STONE BOX CULVERT, HEADWALLS, INSTALL PRECAST CONCRETE BOX CULVERT, PAVEMENT, SUBBASE, GUARDRAIL AND INCIDENTAL ITEMS ON VT 14	4/24/2014	\$ 619,886	\$ 332,027	\$ 951,913	1,223,877	\$ 271,964	22.2%
*	BRIDGE	BENNINGTON BRF 1000(16)	REPLACE BRIDGE 57 WITH A NEW BRIDGE ON EXISTING ALIGNMENT INCLUDING RELATED CHANNEL AND APPROACH WORK ON TH 7 BENMONT AVE.	10/14/2014	\$ 2,894,291	\$ 1,565,633	\$ 4,459,924	3,825,218	\$ (634,706)	-16.6%
*	PAVING	BERLIN-BARRE CITY NH SURF(44)	SURFACE PREPARATION INVOLVING HOT-IN-PLACE RECYCLE AND OVERLAYING WITH A THIN BITUMINOUS WEARING SURFACE ON VT 62.	8/20/2014	\$ 1,427,820	\$ 216,073	\$ 1,643,893	1,050,000	\$ (593,893)	-56.6%
*	PAVING	BERLIN-MONTPELIER IM SURF(45)	SURFACE PREPARATION INVOLVING HOT-IN-PLACE RECYCLE AND OVERLAYING WITH A THIN BITUMINOUS WEARING SURFACE ON I-89.	8/20/2014	\$ 1,176,225	\$ 187,266	\$ 1,363,491	875,000	\$ (488,491)	-55.8%
*	BRIDGE	BRAINTREE ER STP 0187(12)	REPLACE BR. NO. 6 SOUTH APPROACH SLAB, REPLACE MEMBRANE BR. NO. 7 WITH PRECAST STRUCTURE. 1300' OF SLOPE REPAIR ON VT 12A	3/20/2014	\$ 1,649,062	\$ 465,315	\$ 2,114,377	2,263,366	\$ 148,989	6.6%
*	PAVING	BRANDON-MIDDLEBURY NH SURF(43)	SURFACE PREPARATION INVOLVING PATCHING, POT HOLE AND OVERLAYING WITH THIN BITUMINOUS WEARING SURFACE ON US 7.	8/21/2014	\$ 3,167,491	\$ 467,974	\$ 3,635,465	4,165,000	\$ 529,535	12.7%
*	BRIDGE	BRATTLEBORO BRO 1442(35)	REMOVE AND REPLACE BRIDGE NO. 7, ON THE EXISTING ALIGNMENT WITH ASSOCIATED ROADWAY AND CHANNEL WORK ON TH 12.	1/15/2014	\$ 996,203	\$ 491,170	\$ 1,487,374	1,609,900	\$ 122,526	7.6%
*	BRIDGE	BROOKFIELD BRF FLBR(2)	REPLACE TIMBER FLOATING BRIDGE WITH NEW FRP FLOATING BRIDGE WITH TIMBER DECK & RAILS, NEW ABUTMENTS, APPROACH WORK ON TH 1.	3/19/2014	\$ 2,386,073	\$ 1,083,415	\$ 3,469,488	4,749,957	\$ 1,280,469	27.0%
**	PAVING	BROOKFIELD-MONTPELIER IM 089-1(61)	COLD PLANING AND PAVING THE SOUTHBOUND LANES, INTERCHANGES, AND U-TURNS OF I-89 FROM BROOKFIELD TO MONTPELIER ON I-89.	3/7/2014	\$ 5,347,071	\$ 869,619	\$ 6,216,690	6,959,416	\$ 742,726	10.7%
**	BRIDGE	CASTLETON-RUTLAND BF MEMB(37)	REMOVE AND REPLACE SHEET MEMBRANE WATERPROOFING AND BIT. CONCRETE PAVEMENT ON THE BRIDGE AND ITS APPROACHES ON TH 5, VT 915, TH 22	5/30/2014	\$ 776,201	\$ 193,365	\$ 969,566	1,445,000	\$ 475,434	32.9%
**	BRIDGE	CASTLETON-RUTLAND BF MEMB(38)	REMOVE AND REPLACE SHEET MEMBRANE WATERPROOFING AND BIT. CONCRETE PAVEMENT ON TWO BRIDGES AND THE APPROACHES ON VT 4A	5/30/2014	\$ 473,554	\$ 133,586	\$ 607,140	591,000	\$ (16,140)	-2.7%
**	BRIDGE	CORINTH BRO 1447(29)	REPLACE EXISTING BRIDGE WITH PRECAST CONCRETE NEXT BEAM SUPERSTRUCTURE AND ASSOCIATED WORK ON TH 16.	10/28/2014	\$ 998,490	\$ 416,685	\$ 1,415,175	883,411	\$ (531,764)	-60.2%
**	BRIDGE	DANVILLE BF MEMB(36)	REMOVAL AND REPLACEMENT OF WEARING SURFACE, MEMBRANE, UPSTREAM CURB, AND MINOR ASSOCIATED WORK ON US 2.	8/20/2014	\$ 291,461	\$ 93,067	\$ 384,528	155,000	\$ (229,528)	-148.1%
**	PAVING	ELMORE-MORRISTOWN STP 2937(1)	COLD PLANING, RECLAIMING, SUPERELEVATION CORRECTIONS, RESURFACING, GUARDRAIL, DRAINAGE, AND OTHER INCIDENTALS ON VT 12.	5/12/2014	\$ 5,838,914	\$ 990,979	\$ 6,829,893	6,426,759	\$ (403,134)	-6.3%
**	PAVING	ENOSBURG-RICHFORD STP 2939(1)	COLD PLANING & RESURFACING OF HIGHWAY, RR CROSSINGS, MARKINGS, GUARDRAIL, SIGNS AND INCIDENTAL ITEMS ON VT 105 & 139.	6/9/2014	\$ 3,224,762	\$ 802,859	\$ 4,027,621	4,046,779	\$ 19,158	0.5%
**	PAVING	FAIRLEE-NEWBURY IM SURF(40)	SURFACE PREPARATION AND OVERLAYING WITH THIN BITUMINOUS CONCRETE PAVEMENT WEARING COURSE AND NEW MARKINGS ON I-91	4/21/2014	\$ 2,264,331	\$ 332,323	\$ 2,596,653	3,190,000	\$ 593,347	18.6%
**	BRIDGE	GUILFORD BRO 1442(36)	REMOVE AND REPLACE BRIDGE NO. 65, ON THE EXISTING ALIGNMENT, WITH ASSOCIATED ROADWAY AND APPROACH WORK ON TH 10.	1/15/2014	\$ 721,963	\$ 366,894	\$ 1,088,857	1,280,000	\$ 171,143	13.6%
**	PAVING	HARTFORD-SHARON IM SURF(46)	SURFACE PREPARATION INVOLVING HOT-IN-PLACE RECYCLE AND OVERLAYING WITH A THIN BITUMINOUS WEARING SURFACE ON I-89.	8/20/2014	\$ 2,541,630	\$ 369,738	\$ 2,911,368	2,035,000	\$ (876,368)	-43.1%
**	BRIDGE	HARTLAND BHF BPNT(12)	REMOVE AND REPLACE BRIDGE NO. 62A DECK AND THE CLEANING AND REPAINTING OF THE EXISTING STEEL ON BR. NO. 62A AND 66 ON US 5.	3/7/2014	\$ 1,896,177	\$ 541,101	\$ 2,437,278	1,768,629	\$ (668,649)	-37.8%
**	BRIDGE	HYDE PARK STP CULV(26)	REPLACE BRIDGE 42 WITH A NEW BRIDGE ON EXISTING ALIGNMENT INCLUDING RELATED CHANNEL AND APPROACH WORK ON VT 15.	2/25/2014	\$ 1,521,177	\$ 576,177	\$ 2,097,353	2,472,856	\$ 375,503	15.2%
**	PAVING	JAY-TROY STP 2915(1)	COLD PLANING, RECLAIMING AND PAVING OF HIGHWAY, NEW PAVEMENT MARKINGS, GUARDRAIL, SIGNS AND OTHER INCIDENTAL ITEMS ON VT 105.	8/20/2014	\$ 8,815,330	\$ 1,425,973	\$ 10,241,303	7,619,203	\$ (2,622,100)	-34.4%
**	BRIDGE	JERICO STP FTBR(3)	CONSTRUCTION OF A NEW PEDESTRIAN BRIDGE ADJACENT TO BRIDGE #7, VT 15 IN JERICO OVER THE BROWNS RIVER	7/2/2014	\$ 1,020,875	\$ 581,741	\$ 1,602,616	1,602,616	\$ -	0.0%
**	BRIDGE	JOHNSON BRF 030-2(26)	REPLACE ON EXISTING ALIGNMENT BRIDGE NO. 32 OVER THE SMITH BROOK WITH NECESSARY ROADWAY AND CHANNEL WORK ON VT 15.	9/3/2014	\$ 1,105,182	\$ 515,841	\$ 1,621,023	2,060,000	\$ 438,977	21.3%
**	BRIDGE	LYNDON BF MEMB(29)	REMOVAL AND REPLACEMENT OF WEARING SURFACE, MEMBRANE, AND MINOR ASSOCIATED WORK TO BRIDGES 144 & 147 ON US 5.	7/18/2014	\$ 377,206	\$ 108,491	\$ 485,697	450,000	\$ (35,697)	-7.9%
**	BRIDGE	MONTGOMERY BHO 1448(27)	REPLACE EXISTING SUPERSTRUCTURE WITH MINIMAL APPROACH WORK, SUBSTRUCTURE, ROADWAY AND CHANNEL WORK ON TH 10.	2/25/2014	\$ 271,723	\$ 190,008	\$ 461,731	519,000	\$ 57,269	11.0%
**	BRIDGE	MONTPELIER BF BPNT(17)	CLEANING AND PAINTING EXISTING STEEL SUPERSTRUCTURE AND MINOR ASSOCIATED WORK ON GRANITE STREET.	8/5/2014	\$ 1,097,070	\$ 212,511	\$ 1,309,581	830,000	\$ (479,581)	-57.8%
**	PAVING	MORGAN-BRIGHTON STP SURF(41)	SURFACE PREPARATION INVOLVING HOT-IN-PLACE RECYCLE AND OVERLAYING W/ A THIN BITUMINOUS WEARING SURFACE ON VT 111.	7/9/2014	\$ 2,282,938	\$ 339,072	\$ 2,622,009	2,010,000	\$ (612,009)	-30.4%
**	PAVING	POWNALE-BENNINGTON NH SURF(42)	SURFACE PREP, OVERLAYING WITH A THIN BCP WEARING COURSE, MARKINGS AND OTHER RELATED ITEMS ON US 7	6/5/2014	\$ 2,070,861	\$ 305,492	\$ 2,376,353	2,483,000	\$ 106,647	4.3%
**	PAVING	PUTNEY-WESTMINSTER STP 2946(1)	COLD PLANING AND RESURFACING OF THE HIGHWAY WITH A WEARING COURSE, NEW MARKINGS, GUARDRAIL, SIGNS AND INCIDENTAL ITEMS ON US 5, VT 123, WESTMINSTER STATE HIGHWAY.	4/28/2014	\$ 4,602,904	\$ 779,322	\$ 5,382,226	5,455,538	\$ 73,312	1.3%
**	PAVING	RANDOLPH STP 2932(1)	COLD PLANING, RECLAIMING, SUPERELEVATION CORRECTIONS, RESURFACING, GUARDRAIL, DRAINAGE, AND OTHER INCIDENTALS ON VT 66.	8/27/2014	\$ 8,814,024	\$ 1,521,663	\$ 10,335,687	8,830,774	\$ (1,504,913)	-17.0%
**	PAVING	RICHMOND-COLCHESTER IM SURF(38)	SURFACE PREP AND OVERLAYING WITHIN BITUMINOUS CONCRETE PAVEMENT, CRACK SEALING, POT HOLE REPAIR, MARKINGS ON I-89	3/26/2014	\$ 5,597,177	\$ 796,453	\$ 6,393,629	6,025,000	\$ (368,629)	-6.1%
**	BRIDGE	ROCKINGHAM BRF 0126(12)	REPLACE BRIDGE 11-R WITH A NEW BRIDGE ON EXISTING ALIGNMENT INCLUDING RELATED APPROACH WORK ON VT 121.	10/9/2014	\$ 1,922,822	\$ 928,923	\$ 2,849,745	3,395,000	\$ 545,255	16.1%

	PROGRAM	PROJECT NAME & NUMBER	DESCRIPTION	AWARD	AMOUNT BID	CONTINGENCY, ROW, PE ETC.	TOTAL ESTIMATE REVISED FOR BID RESULTS (E + F)	TOTAL ESTIMATE IN FY2015 BUDGET	AMOUNT ABOVE (BELOW) ESTIMATE (G-H)	% ABOVE (BELOW) ESTIMATE
38	ROADWAY	SEARSBURG NH 010-1(48)	EMBANKMENT RECONSTRUCTION, ACCESS ROAD, GUARDRAIL, INSTALLING STONE FILL AND EROSION PREVENTION AND SEDIMENT ON VT 9.	8/26/2014	\$ 441,302	\$ 196,649	\$ 637,951	662,929	\$ 54,978	7.9%
39	BRIDGE	SHREWSBURY STP 1443(44)	REPLACE EXISTING STRUCTURE (BRIDGE #37) WITH A NEW STRUCTURE WITH MINIMAL APPROACH ROADWAY AND CHANNEL WORK ON TH 4.	10/29/2014	\$ 751,671	\$ 357,074	\$ 1,108,745	1,042,000	\$ (66,745)	-6.4%
40	PAVING	ST. JOHNSBURY-LYNDON STP 2928(1)	COLD PLANING & RESURFACING HIGHWAY, NEW PAVEMENT MARKINGS, G.R., SIGNS, VIDEO DETECT. CAMERAS & OTHER INCIDENTAL ITEMS ON US 5	3/3/2014	\$ 4,572,394	\$ 843,091	\$ 5,415,485	5,808,548	\$ 393,063	6.8%
41	PAVING	ST. JOHNSBURY-LYNDON STP 2936(1)	COLD PLANING AND RESURFACING OF HIGHWAY, RR CROSSINGS, PAVE MARKINGS, G.R., VEHICLE STOP DET. & OTHER HIGHWAY ITEMS ON US 2, US 5, ALT US 5 ST. JOHNSBURY, US 5, ALT VT 122 LYNDON.	10/13/2014	\$ 8,342,628	\$ 1,486,103	\$ 9,828,731	7,960,082	\$ (1,868,649)	-23.5%
42	PAVING	ST. JOHNSBURY-LYNDON IM 091-3(50)	COLD PLANING, RECONSTRUCTING SHOULDERS, RESURFACING, NEW PAVEMENT MARKINGS, GUARDRAIL, DRAINAGE AND INCIDENTAL ITEMS ON I-91	3/7/2014	\$ 10,267,373	\$ 1,579,578	\$ 11,846,951	11,675,612	\$ (171,339)	-1.5%
43	PAVING	STOCKBRIDGE-BETHEL STP 2910(1)	RECLAIM & RESURFACE VT 107 NEW PAVEMENT MARKINGS, GUARDRAIL, DRAINAGE IMPROVEMENTS AND OTHER INCIDENTLS	6/18/2014	\$ 11,155,453	\$ 2,091,135	\$ 13,246,588	11,794,974	\$ (1,451,614)	-12.3%
44	BRIDGE	STOWE BR 0235(11)	REPLACE EXISTING SUPERSTRUCTURE AND SUBSTRUCTURE INCLUDING RELATED APPROACH ROADWAY AND CHANNEL WORK ON VT 108.	9/24/2014	\$ 2,615,674	\$ 766,844	\$ 3,382,518	2,748,696	\$ (633,822)	-23.1%
45	PAVING	SWANTON-SHELDON STP 2715(1)	COLD PLANING, RESURFACING, NEW PAVEMENT MARKINGS, SIGNS, GUARDRAIL, VEHICLE STOP BAR DETECTION, INCIDENTAL ITEMS ON VT 78.	7/24/2014	\$ 3,579,554	\$ 708,803	\$ 4,288,357	4,396,070	\$ 107,713	2.5%
46	PAVING	WAITSFIELD-MORETOWN STP SURF(39)	COLD PLANING, RESURFACING, NEW PAVEMENT MARKINGS, GUARDRAIL IMPROVEMENTS, SIGNS AND SHOULDER WIDENING ON VT 100.	7/16/2014	\$ 3,450,320	\$ 524,983	\$ 3,975,303	2,130,000	\$ (1,845,303)	-86.6%
47	BRIDGE	WARDSBORO BF 013-1(21)	REPLACE CULVERT WITH A NEW PRECAST CONCRETE BOX CULVERT WITH RELATED APPROACH AND CHANNEL WORK ON VT 30.	5/30/2014	\$ 190,707	\$ 90,789	\$ 281,496	788,037	\$ 506,541	64.3%
48	BRIDGE	WARDSBORO BF 013-1(22)	REPLACE CULVERT WITH A NEW PRECAST CONCRETE BOX CULVERT WITH RELATED APPROACH AND CHANNEL WORK ON VT 100.	5/30/2014	\$ 192,059	\$ 90,412	\$ 282,471	699,535	\$ 417,064	59.6%
49	ROADWAY	WARDSBORO-JAMAICA ER STP 013-1(17)	PAVEMENT RECLAMATION, PAVEMENT RESURFACING, PAVEMENT MARKINGS, NEW SIGNS, GUARDRAIL REPLACEMENT, DRAINAGE ON VT 100.	5/30/2014	\$ 12,096,433	\$ 2,652,952	\$ 14,749,385	12,583,407	\$ (2,165,978)	-17.2%
50	BRIDGE	WATERBURY IM 089_2(43)(RE-AD)	REPLACE BRIDGE 46A AND REPLACE CONCRETE DECKS ON BRIDGES 46 N&S, BUILD TEMP OFF RAMP, MODIFY STOWE ST. PARKING AREA ON I-89.	8/27/2014	\$ 11,060,578	\$ 2,835,479	\$ 13,896,057	12,928,497	\$ (967,560)	-7.5%
51	BRIDGE	WILMINGTON STP 013-1(14)	REPLACE CULVERT WITH A NEW PRECAST CONCRETE BOX CULVERT WITH RELATED APPROACH AND CHANNEL WORK ON VT 100.	4/2/2014	\$ 466,935	\$ 174,787	\$ 641,722	602,500	\$ (39,222)	-6.5%
52									\$ (16,573,964)	
53	Notes (by column heading):									
54	E. Amount Bid: Actual low bid									
55	F. Contingencies, ROW, PE, Etc. Other costs associated with the project.									
56	G. Total Estimate (Revised for bid results): Total of Amount Bid plus Contingencies, ROW, PE, Etc. (column E + column F)									
57	H. Total Estimate as in FY2015 Budget: Estimated total project costs as it appears in the FY2015 Transportation Program.									
58	I. Amount Above (Below) Estimate: Difference of Total Estimate Revised for Bid Results minus Project Estimate FY2015 Budget (column G - column H)									
59	J. % Difference Above (Below) Estimate: Amount Above (Below) Estimate as percentage of Total Estimate in FY2015 Budget (column I + column H)									
60	Note the amounts in all columns may affect more than one fiscal year budget - most projects span more than one fiscal year.									

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9	INTERSTATE BRIDGES	BARTON-COVENTRY IM BPNT(11)	\$4,353,893	\$738,000	\$1,300,000	(\$562,000)	\$3,615,893	
10	INTERSTATE BRIDGES	BRADFORD-NEWBURY IM BPNT(14)	\$5,805,000	\$605,000	\$1,215,000	(\$610,000)	\$5,200,000	
11	INTERSTATE BRIDGES	BRATTLEBORO IM 091-1(65)	\$66,288,900	\$27,000,000	\$24,000,000	\$3,000,000	\$39,288,900	
12	INTERSTATE BRIDGES	GEORGIA IM CULV(25)	\$8,043,995	\$180,226	\$550,726	(\$370,500)	\$7,863,769	
13	INTERSTATE BRIDGES	HARTFORD IM 091-2(79)	\$9,891,514	\$2,512,866	\$2,281,945	\$230,921	\$7,378,648	
14	INTERSTATE BRIDGES	LITTLETON-WATERFORD IM 093-1(13)	\$2,973,927	\$500,450	\$963,927	(\$463,477)	\$2,473,477	
15	INTERSTATE BRIDGES	MIDDLESEX IM 089-2(41)	\$9,357,393	\$5,000	\$550,000	(\$545,000)	\$9,352,393	
16	INTERSTATE BRIDGES	MIDDLESEX IM 089-2(49)	\$4,262,000	\$1,352,090	\$300,000	\$1,052,090	\$2,909,910	
17	INTERSTATE BRIDGES	MILTON IM 089-3(66)	\$25,557,800	\$9,000,000	\$10,000,000	(\$1,000,000)	\$16,557,800	
18	INTERSTATE BRIDGES	RYEGATE IM CULV(28)	\$75,000	\$60,000	\$361,000	(\$301,000)	\$15,000	
19	INTERSTATE BRIDGES	SOUTH BURLINGTON IM CULV(24)	\$9,722,681	\$149,291	\$1,054,291	(\$905,000)	\$9,573,390	
20	INTERSTATE BRIDGES	WATERBURY IM 089-2(43)	\$12,896,056	\$2,000,000	\$3,422,243	(\$1,422,243)	\$10,896,056	
21	INTERSTATE BRIDGES	WINDSOR IM 091-1(64)	\$23,958,245	\$8,891,769	\$4,625,050	\$4,266,719	\$15,066,476	
22	INTERSTATE BRIDGES	WINDSOR-HARTFORD IM BPNT(13)	\$65,000	\$30,000	\$2,750,000	(\$2,720,000)	\$35,000	
23	INTERSTATE BRIDGES TOTAL					(\$349,490)		
24	PAVING	ALBURGH-COLCHESTER STP SURF(36)	\$5,910,089	\$750,000	\$1,250,000	(\$500,000)	\$5,160,089	
25	PAVING	BERLIN-BARRE CITY NH SURF(44)	\$1,643,893	\$578,102	\$824,000	(\$245,898)	\$1,065,791	
26	PAVING	BERLIN-MONTPELIER IM SURF(45)	\$1,368,491	\$1,297,000	\$680,000	\$617,000	\$71,491	
27	PAVING	BETHEL-RANDOLPH STP 2921(1)	\$8,218,512	\$100,000	\$3,012,852	(\$2,912,852)	\$8,118,512	
28	PAVING	BRADFORD-RYEGATE STP 2929(1)	\$7,679,000	\$200,000	\$50,000	\$150,000	\$7,479,000	
29	PAVING	BRANDON-MIDDLEBURY NH SURF(43)	\$3,640,465	\$3,500,000	\$4,000,000	(\$500,000)	\$140,465	
30	PAVING	BROOKFIELD-MONTPELIER IM 089-1(61)	\$6,216,690	\$4,155,427	\$3,864,430	\$290,997	\$2,061,263	
31	PAVING	CAMBRIDGE-BAKERSFIELD STP 2926(1)	\$8,628,964	\$900,000	\$0	\$900,000	\$7,728,964	
32	PAVING	CAVENDISH-WEATHERSFIELD ER STP 0146(14)	\$9,740,000	\$375,000	\$1,025,000	(\$650,000)	\$9,365,000	
33	PAVING	ELMORE-MORRISTOWN STP 2937(1)	\$7,106,888	\$4,400,000	\$5,100,000	(\$700,000)	\$2,706,888	
34	PAVING	ENOSBURG-RICHFORD STP 2939(1)	\$4,057,621	\$3,709,121	\$2,770,538	\$938,583	\$348,500	
35	PAVING	ESSEX-RICHMOND STP 2931(1)	\$7,184,000	\$350,000	\$650,000	(\$300,000)	\$6,834,000	
36	PAVING	FAIRLEE-NEWBURY IM SURF(40)	\$2,781,495	\$1,860,000	\$2,660,000	(\$800,000)	\$921,495	
37	PAVING	HANCOCK STP 2923(1)	\$8,932,961	\$1,190,000	\$880,000	\$310,000	\$7,742,961	
38	PAVING	HARTFORD-SHARON IM SURF(46)	\$2,911,368	\$800,000	\$1,608,000	(\$808,000)	\$2,111,368	
39	PAVING	JAMAICA-WINHALL STP 2904(1)	\$11,996,484	\$300,000	\$760,000	(\$460,000)	\$11,696,484	
40	PAVING	JAY-TROY STP 2915(1)	\$10,191,303	\$5,165,000	\$7,205,000	(\$2,040,000)	\$5,026,303	
41	PAVING	LEMINGTON-CANAAN STP 2723(1)	\$5,145,279	\$1,285,000	\$1,900,000	(\$615,000)	\$3,860,279	

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42	PAVING	MANCHESTER STP 2708()	\$1,150,000	\$25,000	\$150,000	(\$125,000)	\$1,125,000	
43	PAVING	MONTPELIER STP 2950(1)	\$811,754	\$125,000	\$400,000	(\$275,000)	\$686,754	
44	PAVING	MORGAN-BRIGHTON STP SURF(41)	\$2,622,009	\$2,515,000	\$1,880,000	\$635,000	\$107,009	
45	PAVING	POWNA-BENNINGTON NH SURF(42)	\$2,381,352	\$2,298,000	\$2,000,000	\$298,000	\$83,352	
46	PAVING	PUTNEY-WESTMINSTER STP 2946(1)	\$5,301,507	\$5,235,000	\$3,928,000	\$1,307,000	\$66,507	
47	PAVING	RUTLAND CITY NH 2716(1)	\$3,096,615	\$2,260,000	\$1,921,266	\$338,734	\$836,615	
48	PAVING	ST. JOHNSBURY-LYNDON STP 2928(1)	\$5,415,485	\$3,750,000	\$4,000,000	(\$250,000)	\$1,665,485	
49	PAVING	ST. JOHNSBURY-LYNDON IM 091-3(50)	\$11,846,951	\$6,850,000	\$8,928,317	(\$2,078,317)	\$4,996,951	
50	PAVING	ST. JOHNSBURY-LYNDON STP 2936(1)	\$9,603,731	\$4,595,000	\$5,593,612	(\$998,612)	\$5,008,731	
51	PAVING	STOCKBRIDGE-BETHEL STP 2910(1)	\$13,001,000	\$13,001,000	\$8,759,478	\$4,241,522	\$0	
52	PAVING	SWANTON-SHELDON STP 2715(1)	\$4,263,355	\$3,000,000	\$4,100,000	(\$1,100,000)	\$1,263,355	
53	PAVING	THETFORD STP 2221(1)S	\$9,480,847	\$1,110,000	\$1,000,000	\$110,000	\$8,370,847	
54	PAVING	VERSHIRE-THETFORD STP 2911(1)	\$6,079,558	\$110,000	\$0	\$110,000	\$5,969,558	
55	PAVING	WAITSFIELD-MORETOWN STP SURF(39)	\$3,970,302	\$3,952,000	\$1,500,000	\$2,452,000	\$18,302	
56	PAVING	WATERFORD IM SURF(47)	\$2,950,872	\$1,027,500	\$0	\$1,027,500	\$1,923,372	
57	PAVING	WEATHERSFIELD STP 2913(1)	\$5,658,166	\$125,000	\$0	\$125,000	\$5,533,166	
58	PAVING	WESTFIELD-TROY STP 2903(1)	\$6,731,802	\$60,000	\$1,712,834	(\$1,652,834)	\$6,671,802	
59	PAVING	WILLISTON NH 2949(1)	\$1,520,000	\$460,000	\$320,000	\$140,000	\$1,060,000	
60	Paving	WORCESTER-ELMORE STP 2954(1)	\$2,710,000	\$140,000	\$0	\$140,000	\$2,570,000	
61	PAVING TOTAL					(\$2,880,177)		
62	ROADWAY PROJECTS	BARRE TOWN STP SCRP(10)	\$1,015,866	\$640,000	\$750,000	(\$110,000)	\$375,866	
63	ROADWAY PROJECTS	BLOOMFIELD STP 0271(21)	\$625,300	\$35,000	\$201,474	(\$166,474)	\$590,300	
64	ROADWAY PROJECTS	BRANDON NH 019-3(496)	\$20,510,000	\$374,175	\$686,175	(\$312,000)	\$20,135,825	
65	ROADWAY PROJECTS	BRANDON NH 019-3(496)C/1	\$1,700,000	\$1,697,000	\$200,000	\$1,497,000	\$3,000	
66	ROADWAY PROJECTS	BRANDON-GOSHEN ER STP 0162(22)	\$9,400,000	\$250,000	\$0	\$250,000	\$9,150,000	
67	ROADWAY PROJECTS	BURLINGTON BREP()	\$50,000	\$50,000	\$600,000	(\$550,000)	\$0	
68	ROADWAY PROJECTS	BURLINGTON MEGC M 5000(1)	\$2,100,000	\$1,100,000	\$400,000	\$700,000	\$1,000,000	
69	ROADWAY PROJECTS	CAVENDISH-WEATHERSFIELD ER STP 0146(14)	\$9,740,000	\$375,000	\$0	\$375,000	\$9,365,000	
70	ROADWAY PROJECTS	CHARLOTTE FEGC 019-4(20)	\$18,819,000	\$950,000	\$353,437	\$596,563	\$17,869,000	
71	ROADWAY PROJECTS	CHESTER ER CULV(38)	\$620,000	\$575,000	\$0	\$575,000	\$45,000	
72	ROADWAY PROJECTS	COLCHESTER STP 5600(9)S	\$5,233,600	\$1,290,000	\$440,000	\$850,000	\$3,943,600	
73	ROADWAY PROJECTS	ESSEX JCT. STP 5300(14)	\$2,120,000	\$145,000	\$0	\$145,000	\$1,975,000	
74	ROADWAY PROJECTS	GRANVILLE ER 0187(15)	\$950,000	\$250,000	\$400,000	(\$150,000)	\$700,000	

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75	ROADWAY PROJECTS	HARTFORD ER NH 020-2(37)	\$1,703,521	\$945,000	\$675,000	\$270,000	\$758,521	
76	ROADWAY PROJECTS	HARTFORD (WHITE RIVER JCT.) STP HTFD(1)	\$3,368,409	\$644,000	\$375,000	\$269,000	\$2,724,409	
77	ROADWAY PROJECTS	HIGHGATE STP SCRP(12)	\$728,984	\$70,000	\$602,000	(\$532,000)	\$658,984	
78	ROADWAY PROJECTS	KILLINGTON-STOCKBRIDGE ER STP 022- 1(25)	\$14,064,076	\$85,000	\$1,600,000	(\$1,515,000)	\$13,979,076	
79	ROADWAY PROJECTS	LUDLOW ER 013-3(11)	\$595,833	\$110,000	\$0	\$110,000	\$485,833	
80	ROADWAY PROJECTS	LUDLOW-BRIDGewater ER STP 013-3(9)	\$17,213,579	\$75,000	\$289,739	(\$214,739)	\$17,138,579	
81	ROADWAY PROJECTS	MILTON IM 089-3(75)	\$225,000	\$115,000	\$0	\$115,000	\$110,000	
82	ROADWAY PROJECTS	MILTON IM CULV(50)	\$480,000	\$480,000	\$0	\$480,000	\$0	
83	ROADWAY PROJECTS	MORETOWN ER STP 0167(15)	\$1,313,542	\$971,251	\$720,000	\$251,251	\$342,291	
84	ROADWAY PROJECTS	MORRISTOWN STP F 029-1(2)	\$26,042,458	\$5,138,434	\$4,840,892	\$297,542	\$20,904,024	
85	ROADWAY PROJECTS	MORRISTOWN STP F 029-1(2)C/1	\$9,790,533	\$633,915	\$500,000	\$133,915	\$9,156,618	
86	ROADWAY PROJECTS	NEWPORT CITY STP 134-3(22)	\$2,400,000	\$75,000	\$750,000	(\$675,000)	\$2,325,000	
87	ROADWAY PROJECTS	PITTSFORD NH 019-3(491)	\$8,348,289	\$100,000	\$1,150,000	(\$1,050,000)	\$8,248,289	
88	ROADWAY PROJECTS	PLYMOUTH ER 0149(6)	\$1,807,388	\$175,000	\$0	\$175,000	\$1,632,388	
89	ROADWAY PROJECTS	POULTNEY STP 015-2(9)	\$1,350,000	\$10,000	\$515,000	(\$505,000)	\$1,340,000	
90	ROADWAY PROJECTS	RANDOLPH-ROXBURY ER STP 0187(11)	\$13,344,901	\$5,986,505	\$2,149,929	\$3,836,576	\$7,358,396	
91	ROADWAY PROJECTS	RIPTON ER CULV(44)	\$620,000	\$475,000	\$0	\$475,000	\$145,000	
92	ROADWAY PROJECTS	ROCHESTER ER STP 0162(21)	\$9,150,000	\$99,953	\$214,953	(\$115,000)	\$9,050,047	
93	ROADWAY PROJECTS	SHARON ER STP 0147(20)	\$1,959,846	\$40,950	\$1,000,000	(\$959,050)	\$1,918,896	
94	ROADWAY PROJECTS	SHELburne LCfD(1)	\$2,325,000	\$600,000	\$1,200,000	(\$600,000)	\$1,725,000	
95	ROADWAY PROJECTS	SOUTH BURLINGTON STP 5200(18)	\$3,490,449	\$2,632,679	\$846,699	\$1,785,980	\$857,770	
96	ROADWAY PROJECTS	ST. ALBANS HPP 8000(17)	\$2,347,380	\$430,000	\$1,280,000	(\$850,000)	\$1,917,380	
97	ROADWAY PROJECTS	ST. JOHNSBURY SB VT11(003)	\$440,000	\$129,000	\$379,000	(\$250,000)	\$311,000	
98	ROADWAY PROJECTS	STOWE STP 0235(10)	\$597,852	\$261,852	\$0	\$261,852	\$336,000	
99	ROADWAY PROJECTS	TOWNSHEND STP 015-1(22)	\$700,000	\$275,000	\$30,000	\$245,000	\$425,000	
100	ROADWAY PROJECTS	WALLINGFORD ER CULV(39)	\$620,000	\$575,000	\$0	\$575,000	\$45,000	
101	ROADWAY PROJECTS	WARDSBORO-JAMAICA ER STP 013-1(17)	\$14,734,385	\$5,000,000	\$9,858,407	(\$4,858,407)	\$9,734,385	
102	ROADWAY PROJECTS	WATERBURY FEGC F 013-4(13)	\$21,789,335	\$300,000	\$150,000	\$150,000	\$21,489,335	
103	ROADWAY PROJECTS	WEST WINDSOR ER 0148(10)	\$840,280	\$135,000	\$0	\$135,000	\$705,280	
104	ROADWAY PROJECTS	WILLISTON STP HES 5500(12)	\$2,639,189	\$170,000	\$280,000	(\$110,000)	\$2,469,189	
105	ROADWAY PROJECTS	WINDSOR TCSP TCSE(008)C/2	\$781,577	\$200,000	\$0	\$200,000	\$581,577	
106	ROADWAY PROJECTS	WOODFORD ER NH 010-1(47)	\$1,398,695	\$971,422	\$433,655	\$537,767	\$427,273	

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107	ROADWAY PROJECTS TOTAL					\$1,769,776		
108	STATE HIGHWAY BRIDGES	ADDISON-CROWN POINT, NY BHF 032-1(10)	\$37,300,000	\$738,000	\$0	\$738,000	\$36,562,000	
109	STATE HIGHWAY BRIDGES	BARNARD ER BRF 0241(39)	\$1,594,660	\$1,031,301	\$1,221,400	(\$190,099)	\$563,359	
110	STATE HIGHWAY BRIDGES	BENNINGTON BF MEMB(33)	\$205,000	\$0	\$1,055,000	(\$1,055,000)	\$205,000	
111	STATE HIGHWAY BRIDGES	BENNINGTON-MT. TABOR BF BPNT(16)	\$500,000	\$500,000	\$1,000,000	(\$500,000)	\$0	
112	State Highway Bridges	BERLIN BM15060	\$193,231	\$193,231	\$0	\$193,231	\$0	
113	STATE HIGHWAY BRIDGES	BRIDPORT STP CULV(29)	\$925,000	\$455,000	\$805,000	(\$350,000)	\$470,000	
114	STATE HIGHWAY BRIDGES	BRISTOL BRF 021-1(29)	\$1,415,000	\$227,835	\$117,552	\$110,283	\$1,187,165	
115	STATE HIGHWAY BRIDGES	BRISTOL STP F 021-1(15)	\$9,491,295	\$2,502,606	\$2,198,083	\$304,523	\$6,988,689	
116	STATE HIGHWAY BRIDGES	BROOKFIELD BRF FLBR(2)	\$3,469,488	\$2,588,288	\$2,333,721	\$254,567	\$881,200	
117	STATE HIGHWAY BRIDGES	BURKE BRF 0269(13)	\$2,237,696	\$1,350,000	\$1,105,000	\$245,000	\$887,696	
118	STATE HIGHWAY BRIDGES	CASTLETON BRF 015-2(10)	\$2,582,758	\$601,680	\$350,000	\$251,680	\$1,981,078	
119	STATE HIGHWAY BRIDGES	CASTLETON-RUTLAND BF MEMB(37)	\$1,079,566	\$931,441	\$1,110,000	(\$178,559)	\$148,125	
120	STATE HIGHWAY BRIDGES	CASTLETON-WEST RUTLAND BF BPNT(15)	\$40,000	\$20,000	\$1,000,000	(\$980,000)	\$20,000	
121	STATE HIGHWAY BRIDGES	CAVENDISH ER BRF 0146(13)	\$2,514,479	\$1,100,000	\$2,000,000	(\$900,000)	\$1,414,479	
122	STATE HIGHWAY BRIDGES	DANVILLE BF MEMB(36)	\$364,528	\$345,180	\$130,000	\$215,180	\$19,348	
123	STATE HIGHWAY BRIDGES	EAST MONTPELIER BRF 037-1(7)	\$7,184,090	\$25,000	\$2,000,000	(\$1,975,000)	\$7,159,090	
124	STATE HIGHWAY BRIDGES	FAIR HAVEN-RUTLAND BHF BPNT(10)	\$4,330,580	\$1,660,687	\$0	\$1,660,687	\$2,669,893	
125	STATE HIGHWAY BRIDGES	HARTLAND BHF BPNT(12)	\$2,437,278	\$1,585,000	\$1,300,000	\$285,000	\$852,278	
126	STATE HIGHWAY BRIDGES	HYDE PARK STP CULV(26)	\$2,097,353	\$1,373,160	\$1,500,000	(\$126,840)	\$724,193	
127	STATE HIGHWAY BRIDGES	IRASBURG STP CULV(30)	\$1,075,000	\$708,000	\$950,000	(\$242,000)	\$367,000	
128	STATE HIGHWAY BRIDGES	JAMAICA ER BRF 013-1(16)	\$3,243,294	\$270,000	\$8,000	\$262,000	\$2,973,294	
129	STATE HIGHWAY BRIDGES	LYNDON BF MEMB(39)	\$521,206	\$521,206	\$410,000	\$111,206	\$0	
130	STATE HIGHWAY BRIDGES	MARLBORO BRF 010-1(43)	\$2,347,746	\$1,669,007	\$1,337,100	\$331,907	\$678,739	
131	STATE HIGHWAY BRIDGES	MIDDLEBURY RS 0174(8)	\$4,041,851	\$342,244	\$1,000,000	(\$657,756)	\$3,699,607	
132	STATE HIGHWAY BRIDGES	MIDDLEBURY WCBS(23)	\$16,000,000	\$3,800,000	\$14,500,000	(\$10,700,000)	\$12,200,000	
133	STATE HIGHWAY BRIDGES	PITTSFIELD ER BRF 022-1(23)	\$1,900,801	\$1,159,667	\$1,405,000	(\$245,333)	\$741,134	
134	STATE HIGHWAY BRIDGES	RICHMOND STP RS 0284(11)	\$17,147,842	\$357,558	\$0	\$357,558	\$16,790,284	
135	STATE HIGHWAY BRIDGES	ROCHESTER BRF 0162(17)	\$1,658,366	\$1,270,181	\$771,304	\$498,877	\$388,185	
136	STATE HIGHWAY BRIDGES	ROCHESTER ER BRF 0162(18)	\$3,390,496	\$2,734,404	\$2,995,000	(\$260,596)	\$656,092	
137	STATE HIGHWAY BRIDGES	ROCHESTER ER STP 0162(19)	\$1,898,474	\$1,526,464	\$1,718,617	(\$192,153)	\$372,010	
138	STATE HIGHWAY BRIDGES	ROCHESTER BRF 0162(16)	\$1,838,972	\$1,405,319	\$1,057,355	\$347,964	\$433,653	
139	STATE HIGHWAY BRIDGES	ROYALTON BRS 0147(13)	\$5,658,389	\$2,586,349	\$2,750,000	(\$163,651)	\$3,072,040	

	A	B	C	D	E	F	G	H
1	Vermont Agency of Transportation							
2	All Programs							
3	FY2015 Project Status Report							
4	Joint Transportation Oversight Committee							
5	Thursday, November 06, 2014							
8	Program	Project Name And Number	Project Total	Projected FY2015 Costs	FY2015 Budget	FY2015 Over/(Under)	Non-FY2015 Budget	
140	State Highway Bridges	RUTLAND CITY BM15030	\$275,000	\$275,000	\$0	\$275,000	\$0	
141	STATE HIGHWAY BRIDGES	RYEGATE STP CULV(10)	\$17,317,840	\$7,000,000	\$9,750,000	(\$2,750,000)	\$10,317,840	
142	STATE HIGHWAY BRIDGES	ST. JOHNSBURY BRF 028-4(25)S	\$2,116,594	\$105,704	\$0	\$105,704	\$2,010,890	
143	STATE HIGHWAY BRIDGES	STOWE BRF 029-1(17)	\$1,922,219	\$941,126	\$714,944	\$226,182	\$981,093	
144	STATE HIGHWAY BRIDGES	STOWE BRF 0235(15)	\$3,710,360	\$40,000	\$840,000	(\$800,000)	\$3,670,360	
145	STATE HIGHWAY BRIDGES	STOWE BM15061	\$187,000	\$187,000	\$0	\$187,000	\$0	
146	STATE HIGHWAY BRIDGES	WARDSBORO BF 013-1(21)	\$392,847	\$258,447	\$450,000	(\$191,553)	\$134,400	
147	STATE HIGHWAY BRIDGES	WARDSBORO BF 013-1(22)	\$378,471	\$257,571	\$400,000	(\$142,429)	\$120,900	
148	STATE HIGHWAY BRIDGES	WARREN BRF 013-4(32)	\$2,137,018	\$1,500,000	\$1,270,000	\$230,000	\$637,018	
149	STATE HIGHWAY BRIDGES	WILMINGTON STP 013-1(14)	\$606,000	\$552,614	\$420,000	\$132,614	\$53,386	
150	STATE HIGHWAY BRIDGES TOTAL					(\$15,276,806)		
151	TOWN HIGHWAY BRIDGES	BENNINGTON BRF 1000(16)	\$4,469,849	\$500,000	\$1,625,000	(\$1,125,000)	\$3,969,849	
152	TOWN HIGHWAY BRIDGES	BRATTLEBORO BRO 1442(35)	\$1,826,445	\$1,093,111	\$850,000	\$243,111	\$733,334	
153	TOWN HIGHWAY BRIDGES	BRISTOL BRO 1445(32)	\$1,797,347	\$800,000	\$500,000	\$300,000	\$997,347	
154	TOWN HIGHWAY BRIDGES	CORINTH BRO 1447(29)	\$1,482,768	\$827,300	\$525,550	\$301,750	\$655,468	
155	TOWN HIGHWAY BRIDGES	ENOSBURG BRO 1448(40)	\$1,371,448	\$979,748	\$727,275	\$252,473	\$391,700	
156	TOWN HIGHWAY BRIDGES	FAIRFIELD BRO 1448(38)	\$1,417,317	\$976,650	\$850,000	\$126,650	\$440,667	
157	TOWN HIGHWAY BRIDGES	GUILFORD BRO 1442(36)	\$922,328	\$813,397	\$600,000	\$213,397	\$108,931	
158	TOWN HIGHWAY BRIDGES	HARTFORD-LEBANON, NH BRF A000(627)	\$11,150,000	\$520,190	\$295,000	\$225,190	\$10,629,810	
159	TOWN HIGHWAY BRIDGES	LINCOLN BRF 0188(8)	\$2,714,500	\$293,798	\$748,824	(\$455,026)	\$2,420,702	
160	TOWN HIGHWAY BRIDGES	LUDLOW BRF 025-1(42)	\$3,422,297	\$220,000	\$461,000	(\$241,000)	\$3,202,297	
161	TOWN HIGHWAY BRIDGES	MONTGOMERY BHO 1448(27)	\$806,385	\$334,385	\$219,000	\$115,385	\$472,000	
162	TOWN HIGHWAY BRIDGES	MONTPELIER BF BPNT(17)	\$1,289,580	\$1,142,070	\$335,000	\$807,070	\$147,510	
163	TOWN HIGHWAY BRIDGES	NEW HAVEN BRF 0183(1)	\$4,820,000	\$230,935	\$65,000	\$165,935	\$4,589,065	
164	TOWN HIGHWAY BRIDGES	NORTHUMBERLAND-GUILDHALL BO A003(750)	\$125,200	\$115,200	\$0	\$115,200	\$10,000	
165	TOWN HIGHWAY BRIDGES	ROCKINGHAM BRF 0126(12)	\$2,879,745	\$690,912	\$55,000	\$635,912	\$2,188,833	
166	TOWN HIGHWAY BRIDGES	RUTLAND CITY BRF 3000(19)	\$6,313,538	\$912,000	\$1,900,000	(\$988,000)	\$5,401,538	
167	TOWN HIGHWAY BRIDGES	RUTLAND CITY BRF 3000(18)S	\$1,409,645	\$1,232,883	\$740,000	\$492,883	\$176,762	
168	TOWN HIGHWAY BRIDGES	RUTLAND CITY BRF 3000(16)	\$9,578,872	\$4,643,869	\$485,272	\$4,158,597	\$4,935,003	
169	TOWN HIGHWAY BRIDGES	SHREWSBURY STP 1443(44)	\$1,292,000	\$381,308	\$610,500	(\$229,192)	\$910,692	
170	TOWN HIGHWAY BRIDGES	STOWE BRF 0235(11)	\$3,307,518	\$2,105,277	\$1,029,596	\$1,075,681	\$1,202,241	
171	TOWN HIGHWAY BRIDGES	WOODSTOCK BHO 1444(52)	\$4,258,824	\$910,000	\$0	\$910,000	\$3,348,824	
172	TOWN HIGHWAY BRIDGES TOTAL					\$7,101,016		

	A	B	C	D	E	F	G	H
1	Vermont Agency of Transportation							
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8	Program	Project Name And Number	Project Total	Projected FY2015 Costs	FY2015 Budget	FY2015 Over/(Under)	Non-FY2015 Budget	
173	TOTAL					(\$9,635,681)		
174								
175	Key to Project Status Reports Columns:							
176	ProjectTotal = Current project total cost estimate.							
177	Projected FY2015 Costs = Revised estimated costs for current fiscal year.							
178	FY2015 Budget = Amount included in current fiscal year budget as passed.							
179	FY2015 Over(Under) = Estimated amount over or (under) budget in current fiscal year (column D - column E)							
180	Non-FY2015 Budget = Estimated costs budgeted in earlier or subsequent fiscal years (mulit year projects) (column C - column D)							
181								
182	Notes/Criteria:							
183	These reports are generated using the following criteria, and thus do not include all projects - only those that meet the reporting threshold.							
184	Criteria: Front of book projects > \$500,000 budget with expected deviation from budget of + or - 20%;							
185	and projects with no budget funds but are expected to expend > \$100,000.							
186	All amounts are total funds, state plus federal in most cases.							
187	Deviations typically result from project slippage or acceleration - which results in costs shifting to the following or preceding fiscal years.							

Theresa Utton

From: Vitzthum, Sandra <Sandra.Vitzthum@state.vt.us>
Sent: Wednesday, November 05, 2014 2:35 PM
To: Theresa Utton
Subject: RE: Joint Lab process -- Joint Fiscal Committee Sept. Meeting Minutes

Yikes! I forgot that!! Will aim for Friday.

From: Theresa Utton [<mailto:TUTTON@leg.state.vt.us>]
Sent: Wednesday, November 05, 2014 2:31 PM
To: Vitzthum, Sandra
Cc: Obuchowski, Mike; Kuhn, Mike
Subject: RE: Joint Lab process -- Joint Fiscal Committee Sept. Meeting Minutes

Yes. I think that is fine but earlier the better as the 11th is a holiday. Thank you, ~Theresa

From: Vitzthum, Sandra [<mailto:Sandra.Vitzthum@state.vt.us>]
Sent: Wednesday, November 05, 2014 2:17 PM
To: Theresa Utton
Cc: Obuchowski, Mike; Kuhn, Mike
Subject: FW: Joint Lab process -- Joint Fiscal Committee Sept. Meeting Minutes

Hi Theresa,
We will definitely have something for you to submit. Will November 10 give you sufficient time?
Thanks,
Sandy

From: Obuchowski, Mike
Sent: Wednesday, November 05, 2014 12:58 PM
To: Vitzthum, Sandra; Kuhn, Mike
Subject: FW: Joint Lab process -- Joint Fiscal Committee Sept. Meeting Minutes

From: Theresa Utton [<mailto:TUTTON@leg.state.vt.us>]
Sent: Wednesday, November 05, 2014 12:07 PM
To: Obuchowski, Mike; Ross, Chuck; Johnson, Justin
Cc: Gilhuly, Christine; Werbel, Sam; Percival, Penny; Stephen Klein; Benham, Catherine
Subject: Joint Lab process -- Joint Fiscal Committee Sept. Meeting Minutes

Secretary's Ross and Johnson, and Commissioner Obuchowski –

Below I discovered a request from Senator Snelling from the September JFC meeting while pulling together the minutes. Could you pull together the chart requested and have it in-time for the Nov. 12 JFC meeting? An electronic submission is fine. No testimony is needed at this time. Thank you, ~Theresa

9-5-2014 JFC Minutes Excerpt:

Senator Snelling asked for a decision or organizational chart outlining the next steps and timelines of the lab process and the potential decision makers for those next steps. Secretary Ross responded that the two agencies and BGS would work to develop the chart.

Theresa Utton

From: Clark, Sarah <Sarah.Clark@state.vt.us>
Sent: Tuesday, November 04, 2014 5:45 PM
To: Theresa Utton; Reardon, Jim
Cc: Stephen Klein
Subject: RE: Joint Fiscal Committee -- September Minutes -- Request

Theresa,
We will bring something to next week's meeting.

Thanks.

Sarah Clark
Deputy Commissioner
Department of Finance & Management
109 State Street
Montpelier, VT 05609

802-828-4005

From: Theresa Utton [<mailto:TUTTON@leg.state.vt.us>]
Sent: Monday, November 03, 2014 2:44 PM
To: Reardon, Jim
Cc: Clark, Sarah; Stephen Klein
Subject: Joint Fiscal Committee -- September Minutes -- Request

Jim (Sarah) –

At the September JFC meeting, Senator Kitchel asked for the following on the Veteran's Home:

Senator Kitchel requested information from the Commissioner's team of analysts on the new marketing positions' efforts to get information out to Vermont veterans, including work accomplished and additional identified strategies to increase census.

Can you bring something for the Nov. 12 meeting? Thank you, ~Theresa

Theresa Utton-Jerman, Staff Associate
Records Officer, Legislative Joint Fiscal Office
One Baldwin Street
Montpelier, VT 05633-5701
(802) 828-5767 - Phone
(802) 828-2483 – Fax
www.leg.state.vt.us/jfo



State of Vermont

Department of Mental Health
Commissioner's Office
Redstone Office Building
26 Terrace Street
Montpelier VT 05609-1101

<http://mentalhealth.vermont.gov/>

Agency of Human Services

[phone] 802-828-3824
[fax] 802-828-1717
[tty] 800-253-0191

MEMORANDUM

TO: Mental Health Oversight Committee
Health Care Oversight Committee
Joint Fiscal Committee

FROM: Paul Dupre, Commissioner of the Department of Mental Health

DATE: December 29, 2014

RE: November – December 2014 Monthly DMH Report to the Mental Health Oversight Committee

Attached please find the November 2014 report to the Committees on Mental Health and Health Care consistent with reporting provided to the general assembly in April 2014.

Utilization of Inpatient and Crisis Beds
Level 1 Inpatient Utilization: Statewide and by Hospital
Level 1 Inpatient Capacity and Utilization, Vermont Statewide
People with Involuntary Admissions, Comparison of Level 1 and Non-Level 1
Involuntary Non-Level 1 and Level 1 bed days
Average Numbers of People Waiting Inpatient Placement
Vermont State Hospital and Designated Hospitals, Emergency and Forensic Admissions
Adult Inpatient Utilization and Bed Closures
Wait Times in Hours for Involuntary Inpatient Admission

Additional Reporting Requests

Sheriff Supervisions in Emergency Departments
Average Distance to Psychiatric Inpatient Care
Hospital Admissions, Length of Stay, and Readmissions

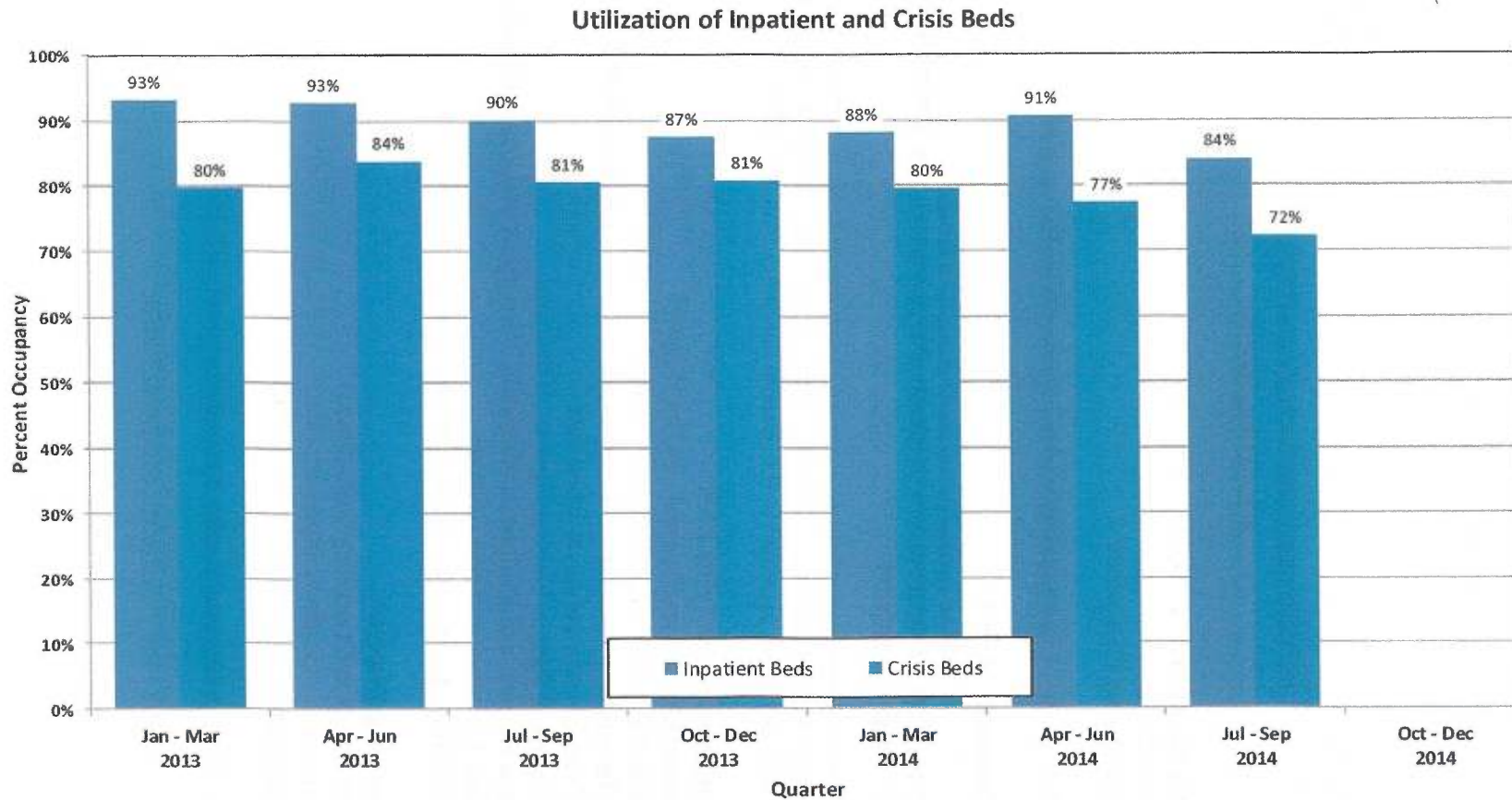
Vermont Department of Mental Health System Snapshot (2012-2014)

Respectfully submitted by the Department of Mental Health.

Please direct any inquiries for additional data collection or report content development to Paul Dupre, Commissioner of the Department of Mental Health; paul.dupre@state.vt.us.

Joint Legislative Mental Health Oversight and Health Care Committees
Department of Mental Health – November - December (2014) Report

Utilization of Inpatient and Crisis Beds (Jan 2013 – Sep 2014)



Based on data reported to the Vermont Department of Mental Health (DMH) by crisis bed programs and inpatient facilities for adult care using the electronic bed boards system. Programs are expected to report to electronic bed boards a minimum of once per day to update their census. State averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.

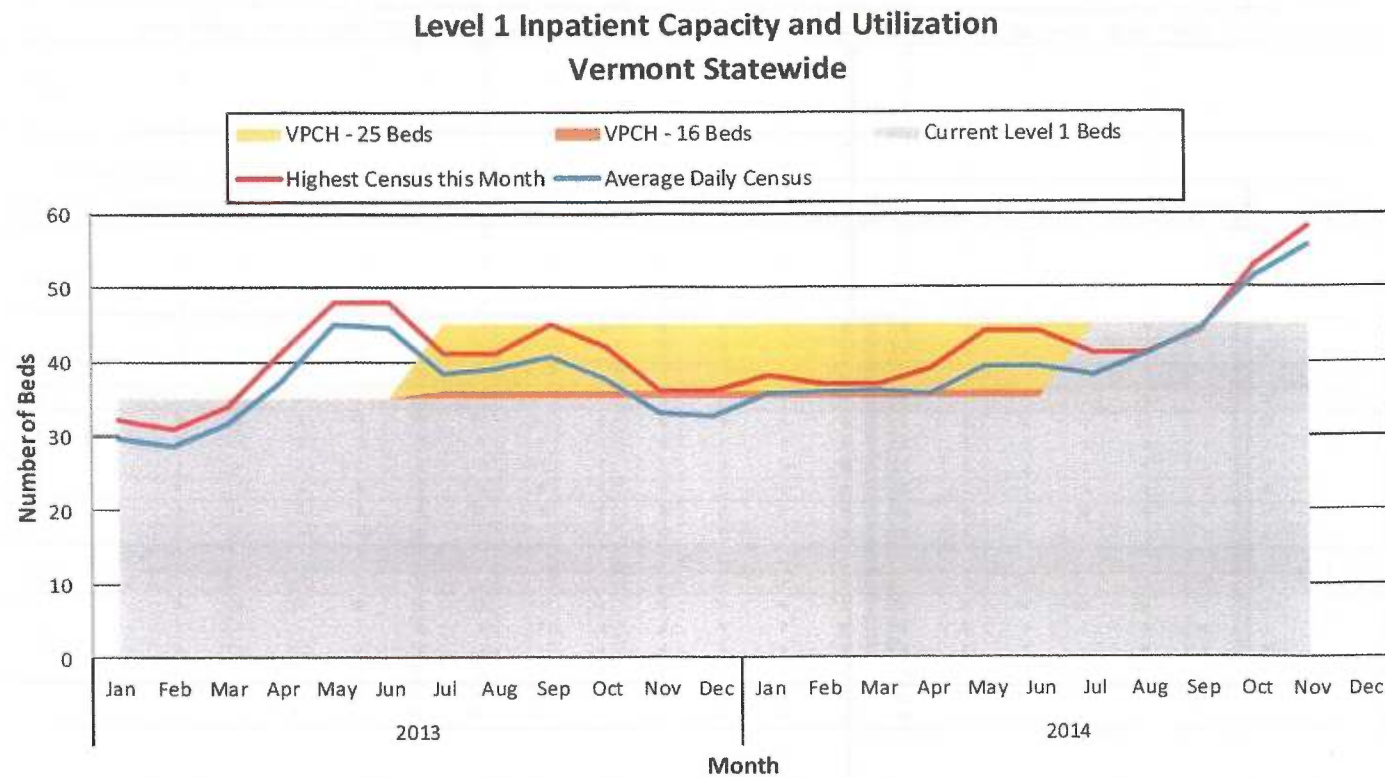
Level 1 Inpatient Utilization: Statewide and by Hospital (2013-2014)

Level 1 Inpatient Utilization: Statewide and By Hospital 2013-2014

SYSTEM TOTAL	2013												2014											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Level I Beds	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	35	45	45	45	45	45	45
Average Daily Census	29	29	32	37	45	44	38	39	41	38	33	33	36	36	36	35	39	39	38	41	44	51	56	56
Total Level I Admissions this Month	22	13	20	22	26	10	19	18	13	12	7	14	14	8	10	11	18	16	9	14	10	9	10	10
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	4	8	12	8	5	3	7	9	7	6	9	11	8	6	5	3	4	6	6
Total Level 1 Discharges this Month	17	17	13	15	19	17	19	18	15	15	11	10	14	9	8	9	13	21	8	13	3	7	6	6
Highest Census this Month	32	31	34	41	48	48	41	41	45	42	36	36	38	37	37	39	44	44	41	41	44	53	58	58
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	UNDER	UNDER	OVER	OVER	
BY HOSPITAL																								
Brattleboro Retreat																								
Total Level I Beds	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14	14
Average Daily Census	14	16	19	18	21	20	16	17	19	18	17	15	17	17	17	19	23	21	22	20	19	21	21	21
Total Admissions during Month	7	9	10	3	11	3	3	4	4	5	1	5	3	2	3	7	8	7	4	3	6	2	4	4
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	2	1	3	4	2	1	4	2	2	3	7	6	4	3	1	3	1	3	3
Total Level 1 Discharges this Month	7	7	7	5	7	8	3	3	3	6	3	3	4	2	3	1	6	11	2	4	0	4	4	4
Highest Census this Month	16	18	20	20	22	22	17	18	20	20	18	18	17	18	18	23	25	25	23	23	21	22	22	22
Over/Under for Total Planned Beds	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	
RRMC																								
Total Level I Beds	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6	6
Average Daily Census	4	1	3	9	9	10	8	8	8	7	6	6	7	9	10	10	9	8	8	10	11	13	13	13
Total Admissions during Month	2	0	5	8	8	2	4	5	5	3	4	5	10	3	1	2	4	5	3	5	1	4	3	3
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	0	1	2	2	0	0	0	7	3	0	1	1	1	3	4	0	3	3	3
Total Level 1 Discharges this Month	5	2	0	4	8	2	6	6	5	4	4	5	7	2	1	2	5	6	2	4	0	4	4	4
Highest Census this Month	6	3	6	11	11	11	10	9	8	8	7	8	9	10	10	11	10	9	10	11	12	12	14	14
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	OVER	
VPCH																								
Total Level I Beds	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	8	25	25	25	25	25	25
Average Daily Census	5	5	4	4	6	6	7	6	6	7	6	6	6	6	6	5	5	5	5	10	14	16	20	20
Total Admissions during Month	8	0	0	2	2	3	6	2	2	1	0	1	1	1	3	1	2	1	2	6	3	3	3	3
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Level 1 Discharges this Month	2	2	1	0	1	3	4	4	1	2	0	1	1	2	2	2	1	2	0	1	0	0	0	0
Highest Census this Month	7	6	4	5	6	6	8	7	7	7	6	6	6	6	7	6	7	7	7	12	10	18	21	21
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	
FAHC																								
Total Level I Beds	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	0	0	0	0	0	0
Average Daily Census	6	6	6	6	9	9	7	9	8	6	5	5	5	3	3	2	2	5	2	1	1	1	1	1
Total Admissions during Month	5	4	5	9	5	2	6	7	2	3	2	3	0	2	3	1	4	3	0	0	0	0	0	0
Level 1 Admissions to Non-L1 Units	-	-	-	-	-	2	6	7	2	3	2	3	0	2	3	1	4	3	0	0	0	0	0	0
Total Level 1 Discharges this Month	3	6	5	6	3	4	6	5	6	3	4	1	2	3	2	4	1	2	4	0	0	0	0	0
Highest Census this Month	8	8	8	8	11	10	8	10	11	7	6	6	6	4	4	4	3	4	6	3	1	1	1	1
Over/Under for Total Planned Beds	UNDER	UNDER	UNDER	UNDER	OVER	OVER	UNDER	OVER	OVER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	UNDER	OVER	OVER	OVER	OVER	OVER	OVER

Analysis is based on the Inpatient Tracing Spreadsheet maintained by the Department of Vermont Health Access (DVHA). Includes psychiatric hospitalizations with Level 1 Designations for hospitalizations occurring at adult inpatient psychiatric units. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. 'Over/Under for Total Planned Beds' is computed using the difference between total level 1 beds and average daily census for each hospital and statewide. Unit of admission is available from June 2013 onw ard.

Level 1 Inpatient Capacity and Utilization, Vermont Statewide (2013-2014)

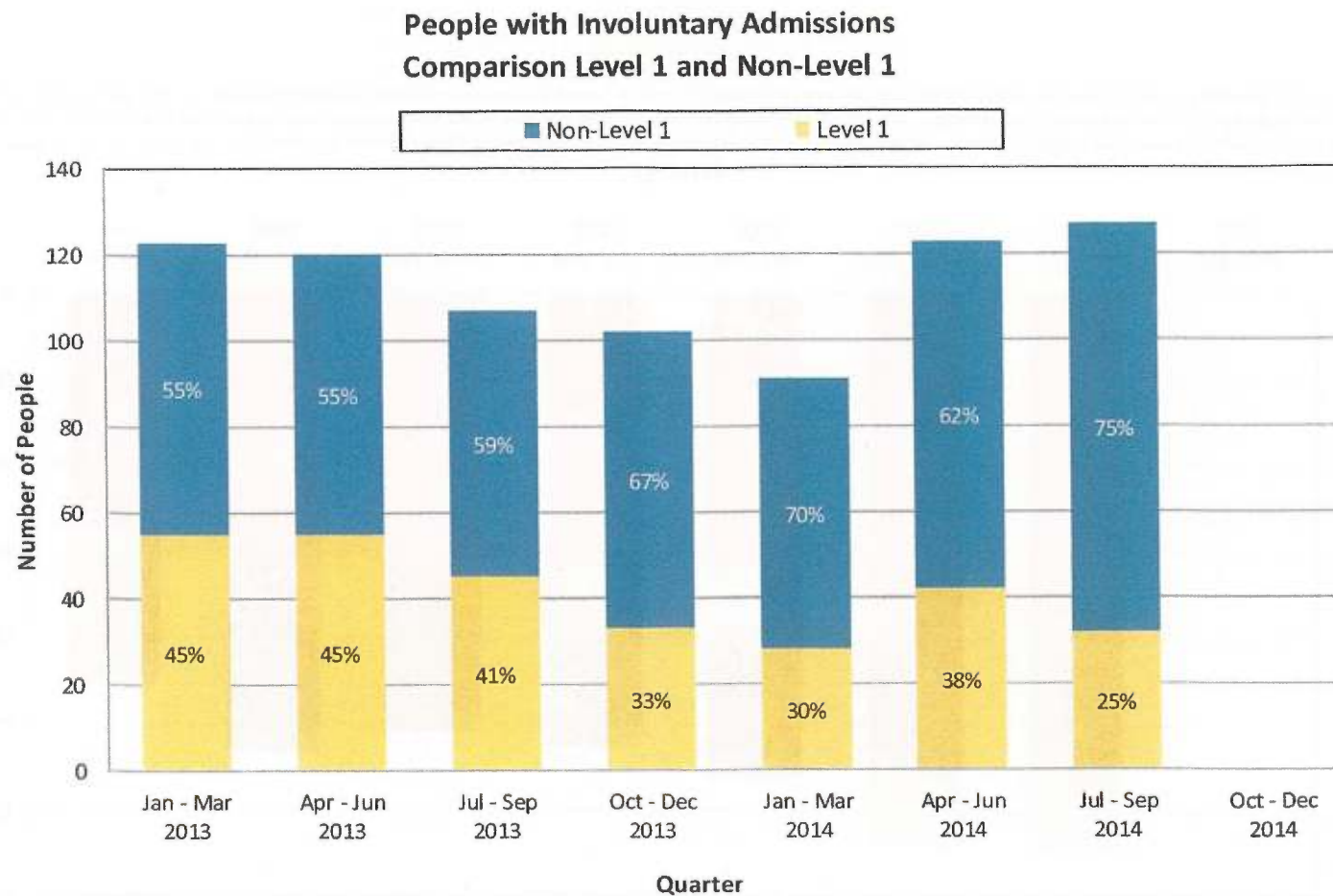


GMPCC opened 8 Level 1 beds in January 2013

RRMC opened 6 Level 1 beds in April 2013

Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA). Includes psychiatric hospitalizations with Level 1 Designations for hospitalizations occurring at adult inpatient psychiatric units. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

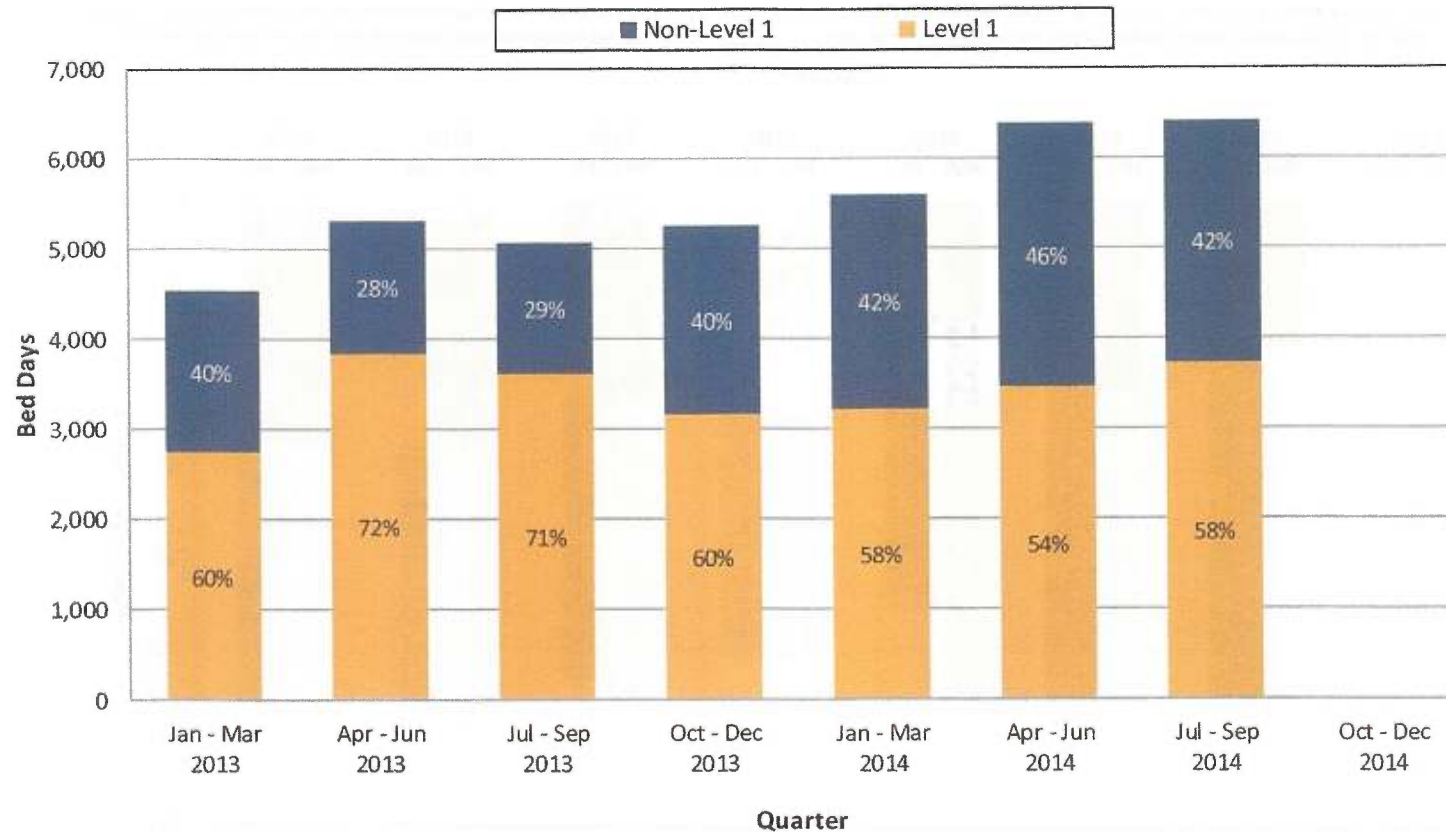
People with Involuntary Admissions, Comparison of Level 1 and Non-Level 1 (Jan 2013- Sep 2014)



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources.

Involuntary Non-Level 1 and Level 1 bed days (Jan 2013 – Sep 2014)

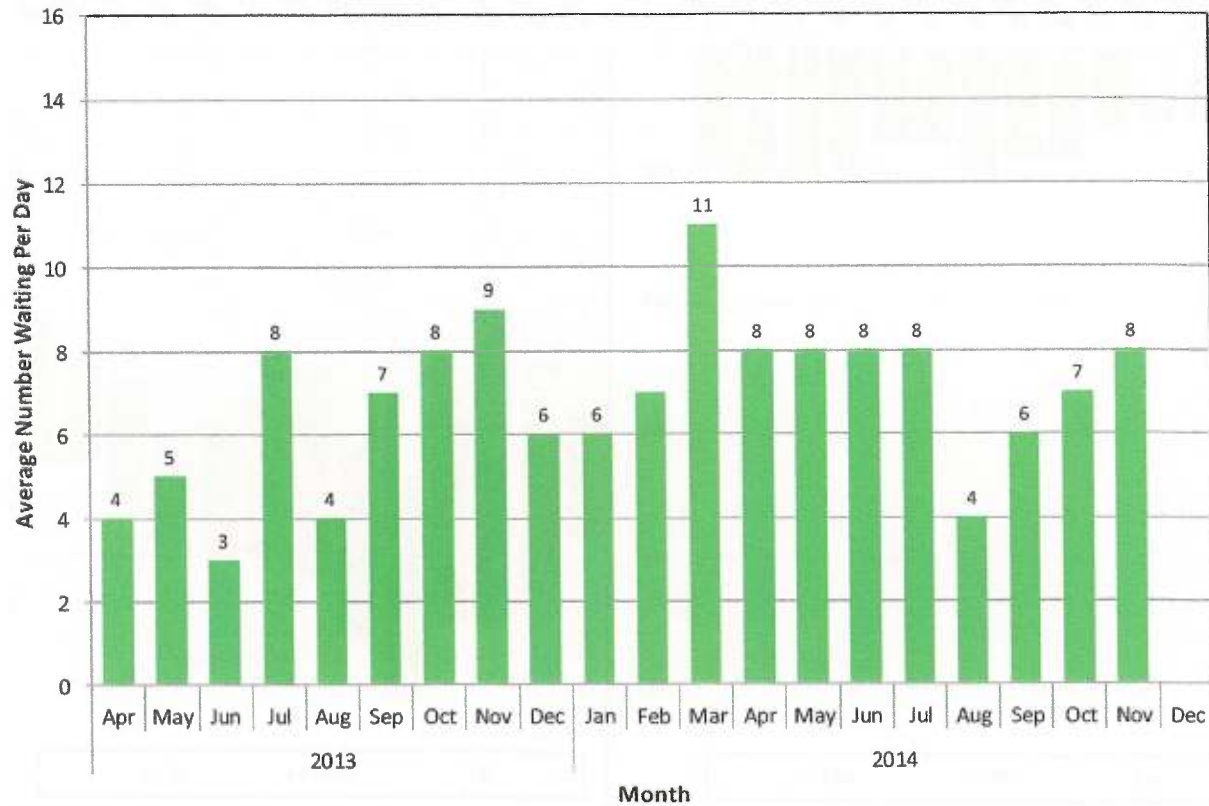
People with Involuntary Admissions: Bed Days Comparison Level 1 and Non-Level 1



Analysis is based on the Inpatient Tracking Spreadsheet maintained by the Department of Vermont Health Access (DVHA) for psychiatric hospitalizations with Level 1 Designations, and adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit. Level 1 designation is reserved for patients with risk of imminent harm to self or others and requiring significant resources. Bed days for Level 1 stays can include inpatient days before the Level 1 determination was made due to the payment structure of Level 1 inpatient stays.

Average Numbers of People Waiting Inpatient Placement (2013-2014)

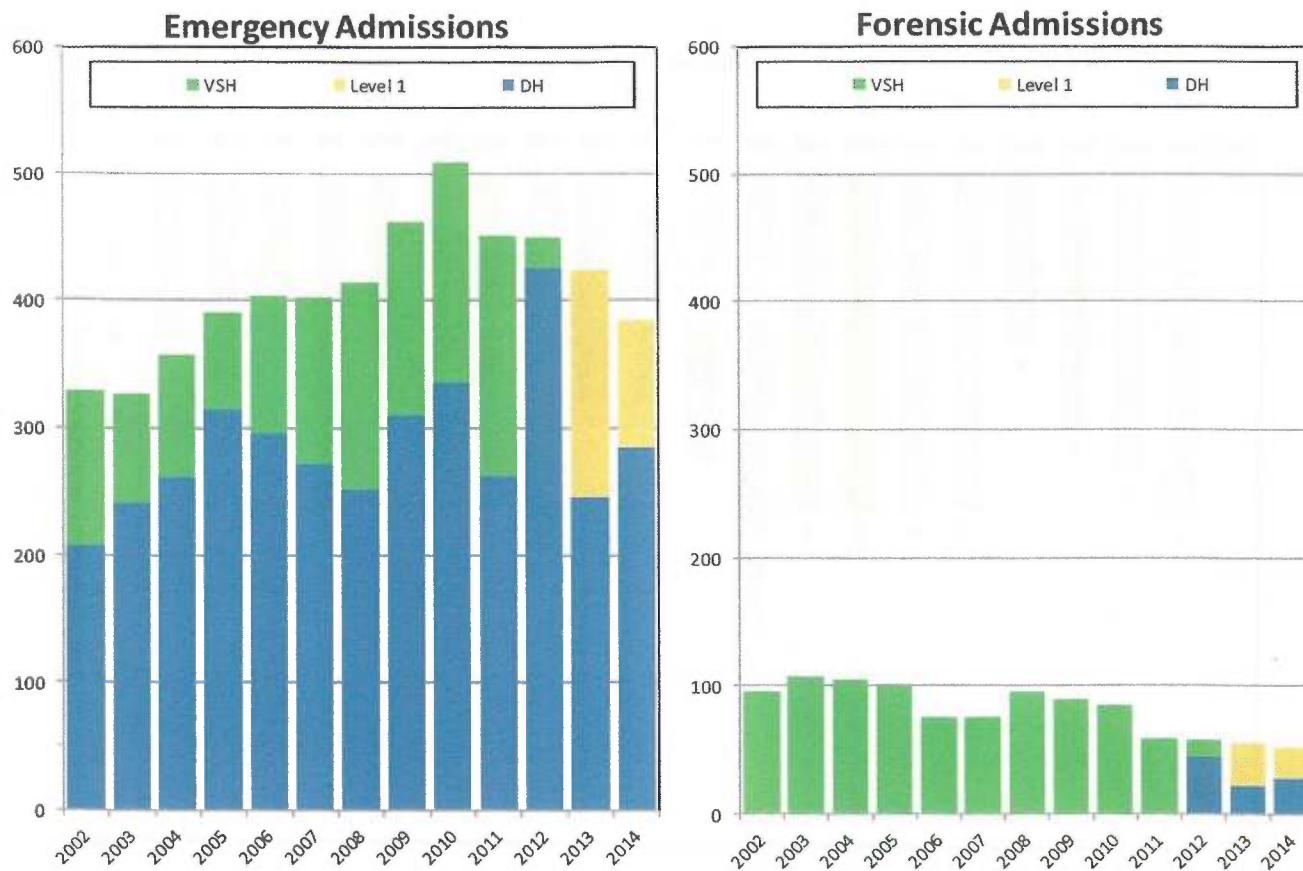
Average Numbers of People Waiting Inpatient Placement



Based on the VPCH admissions unit's morning update report and end-of-shift reports regarding persons waiting inpatient placement. Includes persons waiting in emergency departments inpatient placement or involuntary and persons waiting in department of corrections for inpatient placement on a court ordered forensic observation.

Vermont State Hospital and Designated Hospitals, Emergency and Forensic Admissions (FY2002-2014)

Vermont State Hospital and Designated Hospitals Emergency and Forensic Admissions FY2002-FY2014



Analysis based on the Vermont State Hospital (VSH) Treatment Episode Database, and a adult inpatient tracking maintained by the Department of Mental Health, Care Management Unit.
Includes all admissions during FY2002 - FY2014 with a forensic legal status or emergency legal status at admission.

Adult Inpatient Utilization and Bed Closures (2014) (page 1 of 2)

Adult Inpatient Utilization and Bed Closures: Page 1 of 2

System Total and Level 1 Units
2014

 All Units	 Level 1 Units	 Non-Level 1 Adult Units
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	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
ADULT INPATIENT UNITS												
Total Beds	169	169	169	169	169	169	188	188	188	188	188	
Average Daily Census	137	147	151	153	155	148	154	159	163	167	164	
Percent Occupancy	83%	87%	89%	91%	92%	88%	82%	85%	87%	89%	87%	
# Days at Occupancy	0	0	0	0	0	0	0	0	0	0	0	
# Days with Closed Beds	31	28	31	30	31	19	30	31	30	31	30	
Average # of Closed Beds	6	10	7	3	4	3	18	14	10	6	6	
VPCH												
Total Beds	8	8	8	8	8	8	25	25	25	25	25	
Average Daily Census	8	8	8	8	8	8	9	14	18	21	21	
Percent Occupancy	100%	100%	99%	100%	98%	100%	34%	55%	71%	83%	84%	
# Days at Occupancy	31	27	28	30	26	30	0	0	0	0	0	
# Days with Closed Beds	0	0	3	0	0	0	30	31	30	31	24	
Average # of Closed Beds	-	-	1	-	-	-	17	11	7	5	4	
BR TYLER 4												
Total Beds	14	14	14	14	14	14	14	14	14	14	14	
Average Daily Census	14	14	14	14	14	14	14	14	14	14	14	
Percent Occupancy	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	
# Days at Occupancy	29	27	31	30	30	29	31	31	30	31	29	
# Days with Closed Beds	0	0	0	0	0	0	0	0	0	0	0	
Average # of Closed Beds	-	-	-	-	-	-	-	-	-	-	-	
RRMC SOUTH WING												
Total Beds	6	6	6	6	6	6	6	6	6	6	6	
Average Daily Census	6	6	6	6	6	6	6	6	6	6	6	
Percent Occupancy	98%	100%	100%	99%	100%	99%	100%	99%	100%	99%	100%	
# Days at Occupancy	28	28	31	29	31	29	31	29	30	30	30	
# Days with Closed Beds	6	0	1	2	0	0	0	0	2	0	0	
Average # of Closed Beds	1	-	1	1	-	-	-	-	1	-	-	
Wait Times for Beds												
Average # People Waiting per Day	6	7	11	8	8	8	8	4	6	7	8	

Based on data reported to the Vermont Department of Mental Health (DMH) by designated hospitals (DH) for adult inpatient care using the electronic bed boards system. Beds at inpatient settings can be closed based on the clinical decision of the director of each inpatient unit. Average number of people waiting per day is determined using the morning inpatient update and wait times in days are based upon data maintained by the VPCH admissions department that is submitted by crisis, designated agency, and hospital screeners.

Adult Inpatient Utilization and Bed Closures (2014) (page 2 of 2)

Adult Inpatient Utilization and Bed Closures: Page 2 of 2

System Total and Non-Level 1 Units 2014

All Units
 Level 1 Units
 Non-Level 1 Adult Units

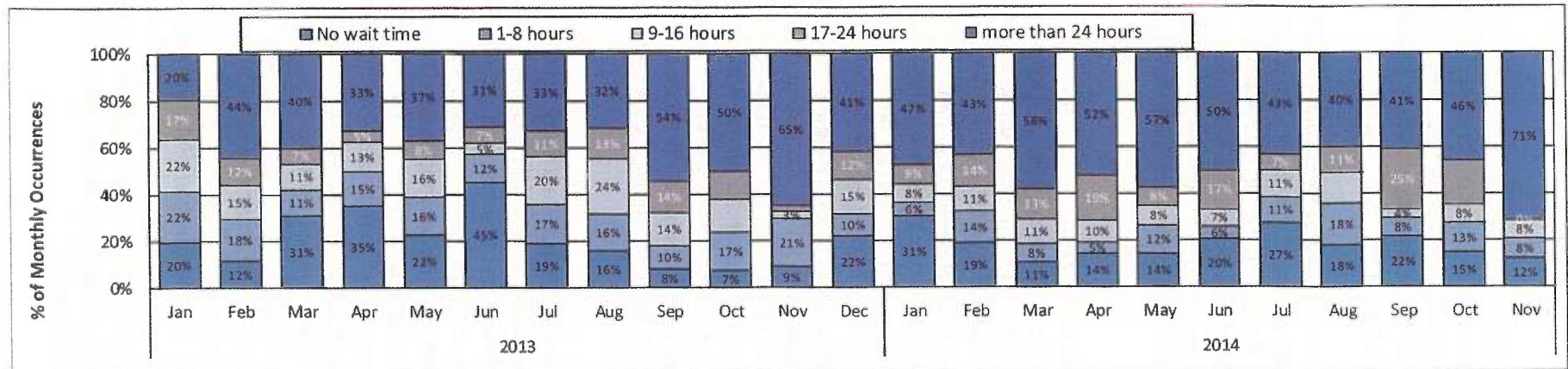
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
ADULT INPATIENT UNITS												
Total Beds	169	169	169	169	169	169	188	188	188	188	188	
Average Daily Census	137	147	151	153	155	148	154	159	163	167	164	
Percent Occupancy	83%	87%	89%	91%	92%	88%	82%	85%	87%	89%	87%	
# Days at Occupancy	0	0	0	0	0	0	0	0	0	0	0	
# Days with Closed Beds	31	28	31	30	31	19	30	31	30	31	30	
Average # of Closed Beds	6	10	7	3	4	3	18	14	10	6	6	
CVMC												
Total Beds	14	14	14	14	14	14	14	14	14	14	14	
Average Daily Census	12	11	12	11	13	12	12	12	13	12	12	
Percent Occupancy	89%	76%	86%	81%	92%	85%	85%	87%	90%	83%	84%	
# Days at Occupancy	8	1	5	1	13	3	3	6	6	4	4	
# Days with Closed Beds	0	0	0	0	0	0	15	12	0	0	1	
Average # of Closed Beds	-	-	-	-	-	-	2	1	-	-	1	
FAHC												
Total Beds	27	27	27	27	27	27	27	27	27	27	27	
Average Daily Census	25	20	20	24	24	24	23	22	21	22	22	
Percent Occupancy	91%	74%	75%	89%	88%	89%	85%	80%	78%	82%	81%	
# Days at Occupancy	0	0	0	0	0	1	0	0	0	0	0	
# Days with Closed Beds	31	27	31	30	29	19	2	15	27	8	12	
Average # of Closed Beds	2	7	5	2	2	2	1	1	2	1	1	
BR (NON LEVEL 1 UNITS)												
Total Beds	73	73	73	73	73	73	75	75	75	75	75	
Average Daily Census	57	67	66	66	68	64	69	67	68	69	67	
Percent Occupancy	78%	92%	91%	91%	93%	87%	92%	89%	90%	91%	89%	
# Days at Occupancy	0	0	0	0	0	0	3	0	0	2	0	
# Days with Closed Beds	30	28	26	14	26	10	8	31	21	16	26	
Average # of Closed Beds	3	2	2	2	2	2	1	2	2	2	1	
RRMC GEN PSYCH												
Total Beds	17	17	17	17	17	17	17	17	17	17	17	
Average Daily Census	12	15	16	16	17	15	14	16	17	17	15	
Percent Occupancy	71%	89%	95%	96%	98%	90%	84%	93%	98%	99%	90%	
# Days at Occupancy	2	4	14	18	20	7	7	9	21	28	3	
# Days with Closed Beds	23	24	5	10	12	0	7	0	0	2	15	
Average # of Closed Beds	2	1	1	1	1	-	1	-	-	1	1	
WC												
Total Beds	10	10	10	10	10	10	10	10	10	10	10	
Average Daily Census	6	8	8	7	8	6	7	9	7	8	7	
Percent Occupancy	61%	76%	77%	69%	83%	64%	68%	85%	70%	77%	66%	
# Days at Occupancy	1	4	5	3	7	2	6	7	0	2	2	
# Days with Closed Beds	3	2	0	0	0	0	1	0	0	1	1	
Average # of Closed Beds	6	2	-	-	-	-	2	-	-	3	3	
Wait Times for Beds												
Average # People Waiting per Day	6	7	11	8	8	8	8	4	6	7	8	

Based on data reported to the Vermont Department of Mental Health (DMH) by designated hospitals (DH) for adult inpatient care using the electronic bed boards system. Beds at inpatient settings can be closed based on the clinical decision of the director of each inpatient unit. Average number of people waiting per day is determined using the morning inpatient update and wait times in days are based upon data maintained by the VPCH admissions department that is submitted by crisis, designated agency, and hospital screeners.

Wait Times in Hours for Involuntary Inpatient Admission (2013-2014)

Emergency Exams and Warrants, Court Ordered Forensic Observations, and Youth

Wait Times in Hours for Involuntary Inpatient Admission 2013-2014



		2013												2014											
Wait time		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	
No wait time		8	4	14	14	11	19	12	6	4	3	3	9	11	7	4	6	7	11	12	8	11	7	6	
1-8 hours		9	6	5	6	8	5	11	6	5	7	7	4	2	5	3	2	6	3	5	8	4	6	4	
9-16 hours		9	5	5	5	8	2	13	9	7	6	1	6	3	4	4	4	4	4	5	6	2	4	4	
17-24 hours		7	4	3	2	4	3	7	5	7	5	1	5	3	5	5	8	4	9	3	5	13	9	0	
more than 24 hours		8	15	18	13	18	13	21	12	27	21	22	17	17	16	22	22	28	27	19	18	21	22	35	
Total		41	34	45	40	49	42	64	38	50	42	34	41	36	37	38	42	49	54	44	45	51	48	49	
Wait Time in Hours																									
Youth	Mean						27	17	23	21	48	32	8	19	17	39	30	45	49	18	28	24	23	54	
	Median						30	16	15	18	47	26	8	17	14	28	28	28	38	17	35	21	24	53	
EEs/Wrts	Mean	17	36	29	24	35	24	33	18	72	43	60	33	40	56	80	39	48	56	56	39	55	55	62	
	Median	12	16	14	6	14	3	13	11	31	19	39	14	17	17	39	21	27	20	16	16	19	21	43	
OBS	Mean	16	48	77	223	87	75	277	269	468	404	525	325	580	652	641	753	288	447	24	55	412	170	199	
	Median	0	48	0	229	69	34	278	277	489	354	495	281	580	532	641	613	311	219	0	74	412	148	187	
Total	Mean	17	39	32	49	40	28	61	46	81	86	111	67	68	132	102	106	67	84	51	40	64	60	75	
	Median	12	19	14	8	14	3	15	15	25	25	46	17	19	19	39	26	28	26	14	16	20	23	56	

Analysis conducted by the Vermont Department of Mental Health Research & Statistics Unit.

Analysis based on data maintained by the VPCCH admissions department from paperwork submitted by crisis, designated agency, and hospital screeners. Wait times are defined from determination of need to a admission to disposition, less time for medical clearance, for persons on warrant for immediate examination, applications for emergency exam, court ordered forensic observations, and youth waiting for inpatient admission. Wait times are point in time and are categorized based on month of service, not month of disposition, for clients who had a disposition to a psychiatric inpatient unit.

Examination of Wait Times

A majority of individuals who are awaiting placements to inpatient hospital beds are placed within 48 hours of entering the Emergency Departments (EDs) across the state. The total number of available beds was increased on July 1 with the opening of the Vermont Psychiatric Care Hospital. Nearly one fifth of individuals who are held on emergency exams or warrants, and 13% of people waiting in EDs, have zero wait time before inpatient bed placement.

When taking a closer look at the populations of clients who wait for bed placements, there are certain clients moving towards placement sooner than others. For example, youth generally have on average waited less than 24 hours since July 2014, compared to approximately 33 hours for the first six months of the year. During the last week of November, BR's children's unit was only operating at 57% capacity due to bed closures which partially attributed to longer wait time than normal for youth. Adults held under EEs and Warrants have a markedly higher average wait time as compared to youth.

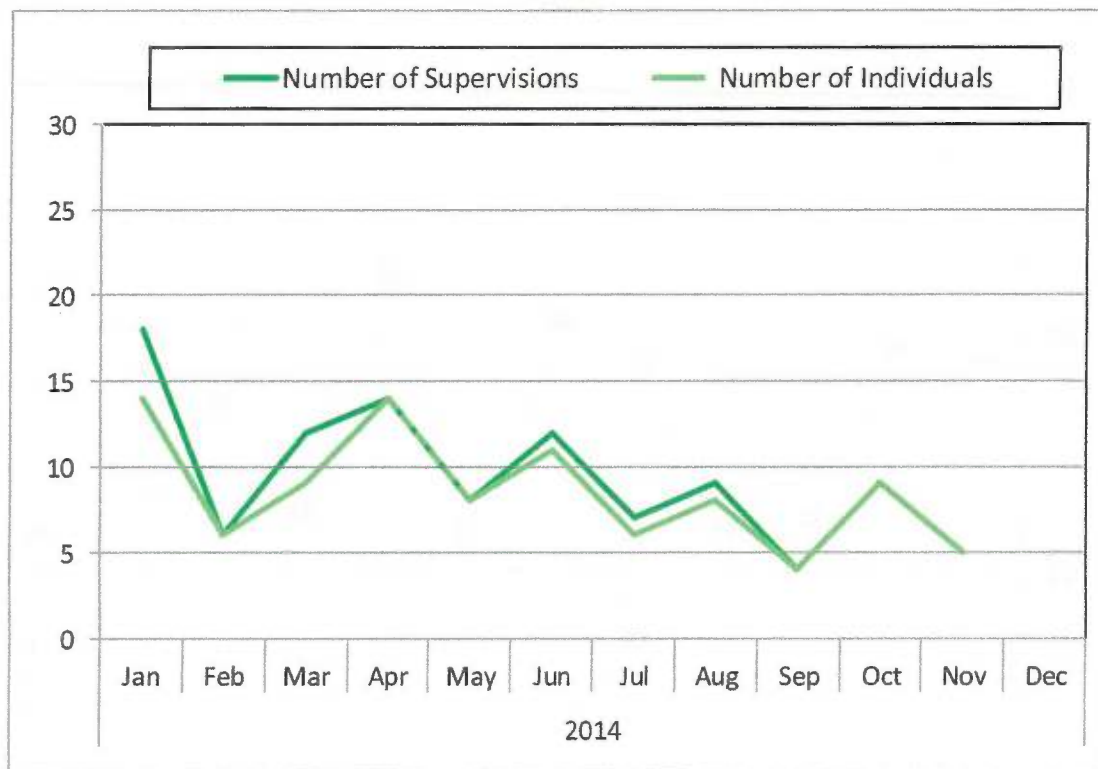
These longer wait times do not reflect a system-wide experience; it is heavily skewed by a small number of individuals who wait much longer than others in their cohort. This is due to a variety of circumstances such as bed closures due to unit acuity, no bed being readily available, or due to the acuity of the person waiting. Specifically, the month of October saw 41 clients awaiting placements under an EE/Warrant for an average wait time of 44 hours. Included in this figure are two individuals with a combined average wait time of 10 days. When we remove these two individuals, the remaining 39 individuals had an average wait time of 24 hours – approximating a 50% reduction in time. Considering data through October, 2014, approximately 75% of individuals were placed within 46 hours or less with an average wait time of 12 hours. A similar pattern is observed when looking at the entire first quarter of FY15. Excluding the highest two wait outliers in August, wait times decreased from 39 hours to 24 hours and similarly for three wait outliers in September decreased wait times from 55 hours to 36 hours. While the number of individuals waiting longer than 24 hours increased for November, removing three outliers with exceptionally long wait times reduced the mean wait time from 62 hours down to 42 hours. Our goal continues to be placing individuals in appropriate beds as soon as they are available and patient acuity is appropriate for the inpatient placement.

DMH has a cadre of experienced care managers (Care Management Team), who work with each of the Designated Hospitals, the Designated Agencies Emergency Services teams, and the hospital Emergency Departments statewide. Their function is to work with individual cases and the relevant action systems, to move people needing care through the system. The system is comprised of several points along a continuum which represent appropriate levels of care. Since our acute mental health treatment system became decentralized, placement considerations have become more complex. As referenced above, the majority of individuals waiting for a hospital admission are placed without a problem within an average of 12 hours of arriving at an ED. It is the 25%, who wait for longer periods of time, that may require treatment in the highest levels of care. The reasons for this lack of accessibility are primarily due to some number of these beds being utilized by longer term patients, who either need longer treatment stays or for whom an appropriate community based placement is not available. The Care management Team also works on longer term planning for these individuals, monitoring availability of placements in various levels of community care across the state. Under the auspices of the Quality Management Director, the Department will soon be conducting an RBA process to further understand the various factors contributing to turning this curve; planning interventions aimed at enhancing the ability of the system to accommodate the needs.

Additional Reporting Requests

Sheriff Supervisions in Emergency Departments

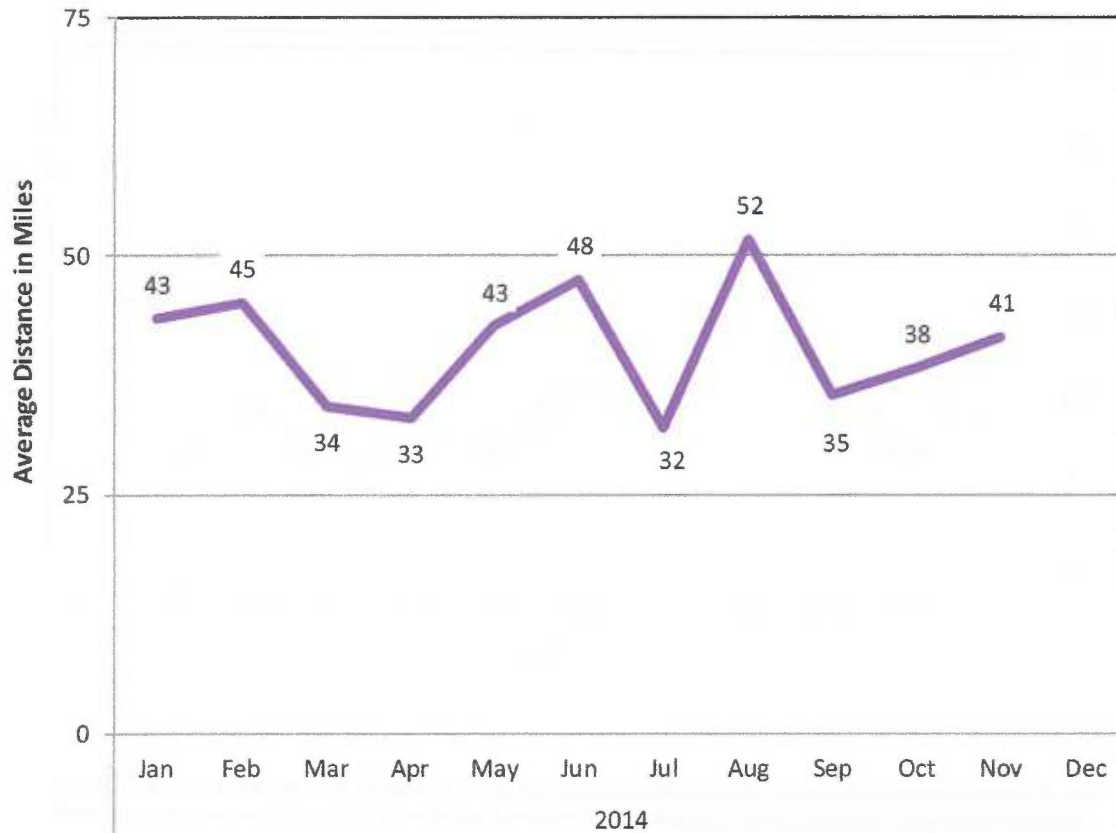
Sheriff Supervisions in Emergency Departments 2014



Based on sheriff supervision invoices received by the Department of Mental Health Business Office for supervision of individuals in emergency departments. Data are typically reported two months behind to allow receipt of all Sheriff invoices, however, preliminary counts for the previous month are presented.

Average Distance to Psychiatric Inpatient Care (2014)

Average Distance to Adult Psychiatric Inpatient Care From Home to Designated Hospital for Involuntary Stays 2014



Month of Admission

2014

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Total Cases*	30	26	33	33	41	44	41	38	37	44	35	
Average Distance in Miles	43	45	34	33	43	48	32	52	35	38	41	

Analysis based on data maintained by the VPCH admissions department from paperwork submitted by crisis, designated agency, and hospital screeners for adults admitted to involuntary inpatient care at Designated Hospitals. Total cases includes persons admitted involuntarily to psychiatric inpatient units, but may also include patients who convert to voluntary upon arrival to the unit. Cases and averages exclude patients with no residency information and patients reported as residing out of state.

Hospital Admissions, Length of Stay, and Readmissions

Adult Involuntary Inpatient Utilization: Statewide 2014

	2014									
SYSTEM TOTAL	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Total Admissions this Month	32	28	34	36	45	48	45	44	44	50
Total Discharges this Month*	35	24	31	35	45	43	41	46	33	33
Length of Stay for Discharged Clients*	44.5	51.7	39.0	32.6	64.0	40.0	27.9	26.5	63.5	71.2
30 Day Readmission Rate*	3%	13%	0%	6%	13%	9%	10%	4%	12%	6%

Analysis is based on the adult inpatient psychiatric tracking spreadsheet maintained by the Department of Mental Health (DMH), Care Management Unit.

* Administrative staff and care managers at the Department are working to complete data records. While a majority of FY2014 records are entered, staff are still working to close out records with discharge dates. Once all records for FY2014 are resolved, the Department will be able to report length of stay and 30 day readmission rates as requested.

This request has been updated from last month's report to include the Department's progress in entering involuntary admissions events into our data collection spreadsheet. Currently, there are approximately 80 records without discharge dates, which accurately reflect the number of involuntary patients receiving inpatient care.

Data collection regarding involuntary admissions is a multi-unit manual effort at present. Data for involuntary admissions are collected by the Department's Care Management Unit with assistance from administrative staff. At the beginning of each month, the Research and Statistics Unit provides Care Management with data collected on screenings for inpatient hospitalization. Care management reviews this list and adds records that may have been missed. Care management then coordinates with Utilization Review to capture Level 1 status for each patient. Data for inpatient stays typically takes two months to capture (i.e. August data completed in October). This delay represents Department efforts to audit the data collection and spreadsheet entries for completeness and accuracy. This delay also allows the Department to collect as many discharge dates as possible, since the median length of stay for inpatient psychiatric care is 14 days.

Vermont Department of Mental Health System Snapshot (2012-2014)



Vermont Department of Mental Health System Snapshot (April 14, 2014)

*data forthcoming

2013

Reporting Category	FY13 Q3			FY13 Q4			FY14 Q1			FY14 Q2		
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	94%	91%	92%	84%	87%	93%	88%	89%	89%	89%	90%	83%
Avg. Daily Census	137	132	136	134	135	146	138	139	139	143	149	137
% Occupancy at No Refusal Units							100%	96%	99%	99%	99%	98%
Avg. Daily Census							28	27	28	28	28	27
Adult Crisis Beds												
% Occupancy	77%	79%	83%	82%	84%	85%	82%	81%	79%	81%	83%	79%
Avg. Daily Census	27	28	29	29	31	31	30	31	31	31	32	31
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	-	-	-	9	10	6	9	7	15	6	4	2
Adults	50	32	55	41	55	39	65	32	43	43	37	39
Total adults admitted with CRT	13	13	27	19	14	11	15	12	9	7	11	19
Designation (% of Total applications)	26%	41%	49%	46%	25%	28%	23%	38%	21%	16%	30%	49%
Total Level 1 Admissions	22	13	20	22	26	10	19	18	13	11	7	14
Instances when Placement Unavailable & Adult Client Held in ED	27	21	43	27	38	24	38	16	34	29	30	23
Adult Involuntary Medications												
# Applications	2	3	3	2	9	4	5	7	5	10	9	4
# Granted Orders	2	3	2	2	5	3	5	6	3	4	6	3
Mean time from filing date to decision date (days)	22	12	20	27	19	17	20	14	12	17	9	10
Court Ordered Forensic Observation Screenings												
# Requested	11	13	9	10	11	11	22	20	19	16	13	9
# Inpatient Ordered	3	7	5	5	6	6	11	8	7	5	6	5
VT Resident Suicides												
Youth (0-17)												
Total	0	0	0	0	0	2	0	0	0	1	0	1
# with DA contact within previous year	-	-	-	-	-	1	-	-	-	0	-	1
Adults (18+)												
Total	4	6	10	8	10	5	8	10	14	13	8	6
# with DA contact within previous year	0	3	2	2	1	0	2	1	4	4	1	1
Housing												
# Clients permanently housed as a result of new Act79 housing funding	18	21	14	11	14	5	0	5	0	2	0	0
Total # enrolled to date	98	119	133	144	158	169	169	176	176	168	123	123
Involuntary Transportation												
Adults (total transports)												
# of Transports	19	17	18	11	18	13	18	12	18	15	17	17
% Non-Restrained	58%	94%	61%	82%	78%	85%	72%	75%	83%	100%	94%	65%
% Restrained	42%	6%	39%	18%	22%	15%	28%	25%	17%	0%	6%	35%
% all transports using metal restraints	16%	6%	6%	9%	6%	8%	17%	25%	17%	0%	6%	18%
% all transports using soft restraints	26%	0%	33%	9%	17%	8%	11%	0%	0%	0%	0%	18%
Youth Under 10 (total transports)												
# of Transports	3	3	0	0	0	0	0	0	2	0	0	0
% Non-Restrained	100%	100%	-	-	-	-	-	-	100%	-	-	-
% Restrained	0%	0%	-	-	-	-	-	-	0%	-	-	-
% all transports using metal restraints	0%	0%	-	-	-	-	-	-	0%	-	-	-
% all transports using soft restraints	0%	0%	-	-	-	-	-	-	0%	-	-	-
CRT Employment												
% Employed		15%			16%			17%			15%	
Wages per employed client		\$2,318			\$2,457			\$2,298			\$2,456	



Vermont Department of Mental Health System Snapshot (December 18, 2014)

*data forthcoming

2014

	FY14 Q3			FY14 Q4			FY15 Q1			FY15 Q2		
Reporting Category	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Adult Inpatient Hospital												
% Occupancy	87%	88%	89%	91%	93%	89%	82%	85%	86%	89%	87%	
Avg. Daily Census	146	147	151	153	157	150	153	159	162	167	164	
% Occupancy at No Refusal Units	98%	98%	100%	100%	99%	100%	63%	75%	84%	90%	91%	
Avg. Daily Census	28	27	28	28	28	28	29	34	38	41	41	
Adult Crisis Beds * VPCH gradual opening of 25 beds												
% Occupancy	83%	79%	77%	77%	77%	76%	76%	66%	75%	80%	73%	
Avg. Daily Census	32	30	29	29	29	29	29	25	28	32	29	
Applications for Involuntary Hospitalizations (EE)												
Youth (0-17)	5	4	7	5	9	10	4	3	8	5	10	
Adults	38	32	35	46	42	46	45	52	49	55	39	
Total adults admitted with CRT	9	11	8	9	9	14	15	10	16	13	13	
Designation (% of Total applications)	24%	34%	23%	20%	21%	30%	33%	19%	33%	24%	33%	
Total Level 1 Admissions	14	8	10	11	18	16	9	14	9	7	10	
Instances when Placement Unavailable & Adult Client Held in ED												
Adult Involuntary Medications	19	19	27	27	30	33	28	29	32	27	28	
# Applications	6	8	7	4	4	5	8	6	5	12	6	
# Granted Orders	5	4	6	4	4	4	7	4	4	9	5	
Mean time from filing date to decision date (days)	14	17	16	10	14	9	13	12	10	17	7	
Court Ordered Forensic Observation Screenings												
# Requested	6	11	12	14	8	10	11	10	5	8	9	
# Inpatient Ordered	2	7	3	5	5	4	3	4	2	5	6	
VT Resident Suicides												
Youth (0-17)												
Total	2	0	0	0	0	1	0	3	1	0	*	
# with DA contact within previous year	2	0	0	0	0	1	0	1	0	0	*	
Adults (18+)												
Total	11	5	6	6	6	7	8	10	14	10	*	
# with DA contact within previous year	1	1	0	2	2	3	1	2	3	2	*	
Housing												
# Clients permanently housed as a result of new Act79 housing funding	1	2	3	3	4	1	1	1	2	1	1	
Total # enrolled to date	124	122	124	131	131	131	132	133	129	121	121	
Involuntary Transportation												
Adults (total transports)												
# of Transports	13	15	13	16	15	22	14	19	16	29	*	
% Non-Restrained	85%	87%	69%	81%	67%	59%	71%	79%	38%	79%	*	
% Restrained	15%	13%	31%	19%	33%	41%	29%	21%	63%	21%	*	
% all transports using metal restraints	8%	7%	15%	6%	7%	32%	0%	5%	44%	21%	*	
% all transports using soft restraints	8%	7%	15%	13%	27%	9%	29%	16%	19%	0%	*	
Youth Under 18 (total transports)												
# of Transports	4	5	7	4	3	5	6	7	7	3	*	
% Non-Restrained	100%	100%	100%	100%	100%	100%	83%	86%	71%	100%	*	
% Restrained	0%	0%	0%	0%	0%	0%	17%	14%	29%	0%	*	
% all transports using metal restraints	0%	0%	0%	0%	0%	0%	17%	14%	29%	0%	*	
% all transports using soft restraints	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	*	
CRT Employment												
% Employed		16%			18%							
Wages per employed client		\$2,301			\$2,375							



Vermont Department of Mental Health System Snapshot

Definitions

Inpatient Hospital	The hospitals designated by the Commissioner of Mental Health for involuntary psychiatric treatment: Brattleboro Retreat (BR), Central Vermont Medical Center (CVMC), Fletcher Allen Health Care (FAHC), Rutland Regional Medical Center (RRMC), Windham Center at Springfield Hospital (WC), and Vermont Psychiatric Care Hospital (VPCH). Adult Inpatient Units at VPCH, RRMC - South Wing, and Brattleboro Retreat - Tyler 4. The units designated as no refusal units: BR - Tyler 4, RRMC - South Wing, VPCH.
Designated Agency Crisis Bed	Emergency Services beds intended to provide crisis intervention, respite, or hospital diversion that are staffed by and under the supervision of a designated community mental health agency (DA). Statewide averages are adjusted to exclude programs on days where there were no updates submitted to the bed board.
Court-ordered Forensic Observations	Forensic patients are designated when there is criminal justice involvement and when there are questions concerning competency/sanity of an individual being arraigned. A screening is requested by a community mental health agency pursuant to §4815 13 VSA. Numbers represent a point in time count mid-month.
Emergency Examination (EE)	An application for emergency examination has been completed for involuntary admission (§7508 of 18 VSA) to a designated hospital for psychiatric treatment (danger to self or others) subsequent to an evaluation by community mental health agency screener & medical doctor.
Restrained Transport (formerly called Secure)	Transport via law enforcement utilizing either metal or soft restraints.
Non-Restrained Transport (formerly called Non-Secure)	Transport not utilizing restraints; this can include plain clothed law enforcement, Designated Agency transport teams, or other means of transport such as family members.
VT Resident Suicides	Based on <u>PRELIMINARY</u> data from the Vital Statistics System maintained by Vermont Department of Health and Monthly Service Report (MSR) data provided by the Department of Mental Health (DMH). Cross-sector data analysis was conducted using LinkPlus, a probabilistic statistical linkage software developed by the CDC for linking records across databases. MSR data includes services provided by community designated agencies for clients served by DAs within the year prior to death. Primary Program is defined as the primary program assignment on the client's last service with DMH. Monthly counts are subject to change as more information is made available.
Housing	Based on the number of applications approved, in the months the program has been operating and the total approved to date. Enrollment to date numbers do not necessarily sum to total numbers housed. Data cleaning is on-going.