



GENERAL ASSEMBLY
STATE OF VERMONT
LEGISLATIVE JOINT FISCAL COMMITTEE

Thursday, April 7, 2016

Agenda

Room 5, State House

8:30 a.m. Convene Meeting

8:31 a.m. Below Market Rent FY2017 preliminary agreement for Chittenden Unit for Special Investigations (CUSI) **[APPROVED]**

1. The Chittenden Unit for Special Investigations (CUSI) has reached a preliminary agreement with the Department of Buildings and General Services to start the process of bringing their rent up to market rates by paying \$17,581.50 in FY 2017, from \$1,000 in FY 2016. For context, the market rate in FY 2015 was determined to be \$50,673.79.
2. Extension on the time frame for submitting a plan to the Joint Fiscal Committee regarding bringing the rent up to full market rates to November 1, 2016.

Robert Palmer, Property Management Specialist, Department of Buildings and General

9:00 a.m. Adjourn

[Next page for report]

Reports

General Government

- I. Vermont Health Connect monthly reports. [Sec. C.106 of Act 58 of 2015] [Chief of Health Care Reform] [received: Feb. 10, 17 and 24, and March 9, 16 and 30, and April 2016]
- II. Position Pilot Program – Vermont Transportation [Sec. E.100(d)(4) of Act 179 of 2015] [Department of Human Resources] [received]
- III. Report on Integration of Substance Abuse Payment and Care Coordination with Physical and Mental Health. [Sec. E.306.2(b)(1) of Act 179 of 2014] [Administration and Chief of HCR] [received]
- IV. Quarterly Excess Receipts Report [FY16 – Quarter 2] [32 V.S.A. § 511] [received]

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MONTPELIER, VT 05633-5701

SEN. M. JANE KITCHEL, CHAIR
REP. JANET ANCEL, VICE-CHAIR
VACANT, CLERK
SEN. TIMOTHY ASHE
SEN. CLAIRE AYER



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REP. CAROLYN BRANAGAN
REP. MITZI JOHNSON
REP. BILL LIPPERT
SEN. RICHARD SEARS
REP. DAVID SHARPE

STATE OF VERMONT
LEGISLATIVE JOINT FISCAL COMMITTEE

Thursday, April 7, 2016

Minutes

Members present: Representatives Ancel, Branagan, Johnson, Lippert, and Sharpe, and Senators Ashe, Ayer, and Kitchel.

Other Attendees: Administration, Joint Fiscal Office, and various, lobbyists, advocacy groups, media.

The Chair, Senator Kitchel, called the meeting to order at 8:35 a.m.

Below Market Rent FY2017 preliminary agreement for Chittenden Unit for Special Investigations (CUSI)

Senator Ashe moved to approve the FY2017 rent and extension of date for submitting a plan to bring rent to market rate for Chittenden Unit for Special Investigations (CUSI) with the caveat that the Department of Buildings and General Services (BGS) would continue to work on a transition plan to move CUSI to a market rate rent, and Representative Branagan seconded the motion.

A discussion ensued of the Capital Bill mandating BGS to develop a list of all State-owned property with below market rate rents. The Chair gave examples of other entities, such as CUSI, that required State-owned space that had issues around calculating a fair and equitable market rates. Representative Branagan asked if it was a general consensus for CUSI to continue to pay below market rates. Senator Ashe commented that the Department was working toward a transition plan for bringing CUSI to market rate in the future. Representative Branagan showed concern for CUSI transitioning to a market rate rent with its fiscal constraints.

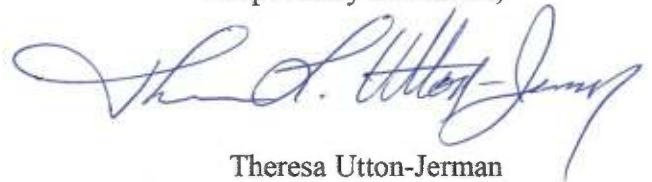
Robert Palmer, Property Management Specialist, BGS, gave the background of the CUSI rent agreements with the State, and explained that a letter was sent from CUSI (enclosed) reviewing its request for an extension to develop a long-term plan for a rent agreement with the State. Representative Lippert raised the issue of transparency and balance between certain entities receiving a special rental rate and others that did not. Senator Ashe stated he was in agreement with Representative Branagan, because there were a number of communities that were not paying its percentage to CUSI according to a statewide agreement, which caused CUSI to be strapped for operating funds.

The Chair called for the vote on Senator Ashe's motion, and the Committee approved.

Representative Ancel asked to discuss a proposal offered by her Committee to rewrite the statute of the Vermont Economic Growth Incentive (VEGI) through an amendment to H.868, the Economic Development Bill. She explained that a component of the amendment changed the approval authority of VEGI cap increases from the Emergency Board to the Joint Fiscal Committee as a more nonpartisan means of review and action. A discussion ensued of the proposed amendment. However, no action was taken.

Senator Ayer moved to adjourn the meeting, and Representative Johnson seconded the motion. The Committee adjourned at 8:50 a.m.

Respectfully Submitted,

A handwritten signature in blue ink, appearing to read "Theresa Utton-Jerman". The signature is fluid and cursive, with a large initial "T" and "U".

Theresa Utton-Jerman
Legislative Joint Fiscal Office

Theresa Utton

From: Maria Belliveau
Sent: Tuesday, April 05, 2016 1:38 PM
To: Ancel, Janet; Tim Ashe; Ayer, Claire; Branagan, Carolyn; Campbell, John; Catherine Benham; Conor T. Kennedy; David Sharpe; Dylan Giambatista; Erika Wolffing; Kitchel, Jane; Mitzi Johnson; Richard Sears (senator6@hotmail.com); Smith, Shap; Stephen Klein; Theresa Utton; William Lippert
Cc: JFO_STAFF; Michael Obuchowski (mike.obuchowski@state.vt.us); Minoli, Wanda (Wanda.Minoli@vermont.gov); mwarren@bpdvt.org
Subject: JFC Meeting called for Thursday, April 7th at 8:30 a.m. in Room 5 to take up the CUSI Below Market Rent Issue
Attachments: Special Report to the Joint Fiscal Committee re.docx

After reviewing the statute that requires JFC approval and conferring with the Chair, Senator Kitchel has decided to call a meeting of the Joint Fiscal Committee for 8:30 a.m. on Thursday the 7th. The meeting will be in Room 5, the Senate Appropriations Committee room, to take up the issue of the CUSI under market rent proposal. The meeting will be short and, unless we hear otherwise from a committee member, there will not be any testimony taken from witnesses. Please read the attached information from the Department of Buildings and General Services regarding the proposal and the statute that requires JFC approval.

The Department of Buildings and General Services is requesting approval for two things. The first item for which approval is being sought is for the below market rent that will be paid by CUSI in Fiscal year 2017. The Chittenden Unit for Special Investigations (CUSI) has reached a preliminary agreement with the Department of Buildings and General Services to start the process of bringing their rent up to market rates by paying \$17,581.50 in FY 2017, from \$1,000 in FY 2016. For context, the market rate in FY 2015 was determined to be \$50,673.79.

The second item for which approval is being sought is for an extension on the time frame for submitting a plan to the JFC regarding bringing the rent up to full market rates. The original date to submit the plan that was agreed upon by the JFC at their August 2015 meeting was on or before March 1, 2016. The request is to extend this date to on or before November 1, 2016.

Maria Belliveau
Associate Fiscal Officer
(802) 828-5971

March 8, 2016

Request to the Joint Fiscal Committee re: the request by the Chittenden Unit for Special Investigations (CUSI) to be allowed to extend their deadline for submitting a comprehensive plan to bring their State of Vermont leased space located at 50 Cherry St. up to FMV. (See Attachment A)

In accordance with the plan laid out in the lease entered into by the SOV and CUSI dated July 27, 2015, CUSI was allowed to continue paying \$1,000.00 per year in rent for FY 16. In return, CUSI was to submit a plan to the Commissioner of BGS outlining how they planned to go about bringing their rental amount into line with the FMV for the Burlington area. (Below is the report that BGS Property Management Specialist Allen Palmer submitted to the JFC on August 6, 2015 explaining this agreement see Attachment B).

In February of this year, Allen Palmer had several conversations with the CUSI representatives to discuss how they were going respond to this statutory challenge. During the course of these conversations it was learned that CUSI wished to reconfigure their space thereby giving up a small amount of space and acquiring a larger amount of adjacent space.

Currently the adjacent space is unused, and BGS has no issue with this plan. However, it should be noted that the net gain to the amount of space that CUSI rents will be substantial, 5046 SF vs the 3907 SF that they are currently occupying. Using the current FFS figures, it will increase their rental obligation by approximately \$30,000.00 over the next 4 years.

On February 26, 2016, CUSI submitted a plan that specifies that they will pay \$17,581.50 for FY 17 on July 1, 2016. (see attachment A). Additionally, they have requested that they be given until November 1, 2016 to submit a follow up plan that will address how they would like to proceed going forward.

Because CUSI is making a “good faith” effort to comply with the language in their current lease, BGS requests that the JFC take all of the information submitted herein and decide whether to approve or deny CUSI’s request.

Thank you,

Michael J. Obuchowski
BGS Commissioner

ATTACHMENT A: Response to Statute



CUSI

Chittenden Unit for Special Investigations

50 Cherry Street, Suite 102
Burlington, VT 05401
Phone: (802) 652-6800
Fax: (802) 652-4167

MEMORANDUM

To: Michael Obuchowski, Commissioner, BGS
Wanda Minoli, Deputy Commissioner, BGS

From: Michael Warren, Director Chittenden Unit of Special Investigations
Veronica Rathgeb, Executive Director Chittenden Children's Advocacy Center

Date: February 26, 2016

Subject: Lease for CUSI & CCAC

This memo is to inform you of our plan to develop a long term lease and fee for space arrangement for the Chittenden Unit for Special Investigations (CUSI) and the Chittenden Children's Advocacy Center (CCAC). This plan will bring CUSI and the CCAC into compliance with Sec. E.112 "Use of State Space; Clarification"

First, CUSI and the CCAC agree to pay \$17,581.50 for FY17 (beginning on July 1, 2016) to BGS for **3907 square feet** of space leased at **50 Cherry Street, Suite 102, Burlington, VT**. This is the first of four steps proposed by the State of Vermont that will incrementally raise the rent over the next three fiscal years ultimately reaching the state "fee for space/fair market value" by July 1, 2019.

Second, we (CUSI and the CCAC) request that BGS grants us an extension on our current lease requiring a March 1, 2016 deadline to provide a plan on bringing CUSI and the CCAC into full compliance with section 23 of ACT 26. We currently are in the process of attempting to re-negotiate the space that we use. We have begun discussions with BGS regarding taking over new space and giving up current space to allow more suitable conditions. This will increase the amount of total square footage we occupy. There are multiple factors that need to be discussed and negotiated before we can provide a full plan and execute a five year lease.

Therefore, we are requesting the state allow us until November 1, 2016 to complete the review of the possible restructuring of space and potential financial allocations to assist with the changes.

Any questions please let us know.

Thank you.

CC: Allen Palmer, Property Management Specialist II
Janine Wright, Deputy Chief, Burlington Police Department

ATTACHMENT B: report to JFC

Allen Palmer
Property Management Specialist
Department of Buildings & General Services
Division of Property Management

August 6, 2015

Joint Fiscal Committee

RE: Request to consider approval of Less Than Fair Market Value Lease

Dear Committee members:

Commissioner Obuchowski has requested that I prepare a memo outlining the history of the LANDLORD-TENANT relationship between the State of Vermont and the Chittenden Unit for Special Investigations (CUSI). Additionally, I want to take this opportunity to let the Committee know how much the Commissioner and I support CUSI and their important mission. This exercise is an attempt to follow the law.

CUSI is under the auspices of The Chittenden Children's Advocacy Center, Inc. and has occupied 3,907 SF of State owned space at 50 Cherry Street in Burlington since 1999.

During their tenancy, the State has charged CUSI \$1,000.00 per year in rent, while the FFS rate has ranged from \$33,639.27 in in FY 04 to \$50,673.79 in FY15. Originally it was documented through an "agreement", but more recently the State and CUSI have executed a lease outlining this arrangement.

In 2014, Commissioner Obuchowski became aware that the State's actions were in violation law since it was leasing this space to a non-State entity at less than Fair Market Value (FMV).

The State is using its Fee For Space rate for the Burlington Area to establish FMV.

The Fee for Space (FFS) program creates a square footage cost that is based on the "sum of expenses" to operate the building. Thru this mechanism the tenant rent is based on actual cost of the space. An analysis of the cost difference between what CUSI paid and what should have been paid when compared to the State's Fee For Space (FFS) Program is attached here:

CUSI LEASE PAYMENT COMPARISON TO FFS RATES IN BURLINGTON

YEAR	CUSI PAYMENT	FFS RATE	SF	FFS TOTAL	PAYMENT DELTA	CUSI SUBSIDY	
FY04	\$ 1,000.00	\$ 8.61	3,907	\$ 33,639.27	\$ 32,639.27	\$ 32,639.27	
FY05	\$ 1,000.00	\$ 8.09	3,907	\$ 31,607.63	\$ 30,607.63	\$ 30,607.63	
FY06	\$ 1,000.00	\$ 9.60	3,907	\$ 37,507.20	\$ 36,507.20	\$ 36,507.20	
FY07	\$ 1,000.00	\$ 10.25	3,907	\$ 40,046.75	\$ 39,046.75	\$ 39,046.75	
FY08	\$ 1,000.00	\$ 10.14	3,907	\$ 39,616.98	\$ 38,616.98	\$ 38,616.98	
FY09	\$ 1,000.00	\$ 11.79	3,907	\$ 46,063.53	\$ 45,063.53	\$ 45,063.53	
FY10	\$ 1,000.00	\$ 13.00	3,907	\$ 50,791.00	\$ 49,791.00	\$ 49,791.00	
FY11	\$ 1,000.00	\$ 13.05	3,907	\$ 50,986.35	\$ 49,986.35	\$ 49,986.35	
FY12	\$ 1,000.00	\$ 13.24	3,907	\$ 51,728.68	\$ 50,728.68	\$ 50,728.68	
FY13	\$ 1,000.00	\$ 12.47	3,907	\$ 48,720.29	\$ 47,720.29	\$ 47,720.29	
FY14	\$ 1,000.00	\$ 13.46	3,907	\$ 52,588.22	\$ 51,588.22	\$ 51,588.22	
FY15	\$ 1,000.00	\$ 12.97	3,907	\$ 50,673.79	\$ 49,673.79	\$ 49,673.79	
TOTAL	\$ 12,000.00			\$533,969.69	\$ 521,969.69	\$ 521,969.69	TOTAL AMOUNT OF CUSI SUBSIDY

Although the CUSI lease started in 1999, THE FFS program did not develop until 2004. The Data above illustrates the amount of money that BGS has subsidised CUSI from 2004 through FY15.

As you can see, the State has subsidized CUSI's rent significantly (\$521,969.69) over the past 12 years based on a comparison of established the FFS rate and the fee CUSI paid.

In 2014, the Legislature passed the language stipulating that the State and CUSI would have a lease in place by July 1, 2015 that started CUSI on a gradual path to paying the State's FFS rate. The resulting lease called for Fair Market Value to be accomplished in incremental steps by July 1, 2018, see APPENDIX A.

Because CUSI was unable to budget for a rental increase in FY16, they returned to the Legislature and requested a stay on the language shown in APPENDIX A. In response to their plea, the Legislature passed language in ACT 26 CAPITAL APPROPRIATIONS BILL of 2015, see APPENDIX B.

In response, the SOV and CUSI have agreed that due to CUSI's inability to budget for the agreed upon rent increase in the lease executed in FY 2015, the lease rate for FY2016 would remain at \$1,000.00 per year with the proviso that CUSI present the Commissioner of BGS by March 1, 2016 with an incremental plan to bring their rent up to the State's FFS rate by July 1, 2019.

The attached lease #376 memorializes that agreement. I request that you approve the enclosed lease as is required in **29 V.S.A. § 165(h) SEE APPENDIX C.**

Thank you,

Allen Palmer

APPENDIX A.

ACT 176 of the 2013-2014 Legislative Session

Sec. E.112 USE OF STATE SPACE; CLARIFICATION

(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 consult with the Director of States' Attorneys and Sheriffs and the Director of the Chittenden Unit for Special Investigations and develop a long-term lease or fee-for-space arrangement. In the event such arrangements include a payment below prevailing market prices, it shall be presented to the Joint Fiscal Committee as required by 29 V.S.A. § 165(h) for approval at a regularly scheduled Joint Fiscal Committee meeting after September 1, 2014.

APPENDIX B.

ACT 26 CAPITAL APPROPRIATIONS BILL

No. 26 Page 24 of 45 2015

VT LEG #309636 v.1

*** Policy ***

*** Buildings and General Services ***

Sec.23. LEASING PROPERTY; FAIR MARKET VALUE

(a) It is the intent of the General Assembly that any leases for State-owned space in any State-owned building, structure, or other real property under the jurisdiction of the Commissioner of Buildings and General Services that are in existence prior to the effective date of this act shall be renewed at fair market value by July 1, 2019.

(b) The Commissioner of Buildings and General Services shall evaluate whether to sell any State-owned building, structure, or other real property that is being leased under fair market

APPENDIX C

29 V.S.A. § 165(h)

- (h) No State-owned space in any State-owned building, structure, or other real property under the jurisdiction of the Commissioner of Buildings and General Services may be leased, occupied, or licensed for any purpose for less than its fair market value as determined by the prevailing area market prices for comparable space or property, except as follows:

(1) The Commissioner of Buildings and General Services may lease or license State-owned property under his or her jurisdiction for less than prevailing area market prices to municipalities, nonprofit organizations, school districts, or to persons whose proposed activities are determined by the Commissioner to serve a public purpose and when the term of the lease or license is less than three years.

(2) The Commissioner of Buildings and General Services may lease or license State-owned property under his or her jurisdiction for less than prevailing area market prices with the approval of the Joint Fiscal Committee when the term of the lease or license is three years or longer, or when the lease or license requested is a renewal of a lease or license issued pursuant to subdivision (1) of this subsection.



STATE OF VERMONT
LEGISLATIVE JOINT FISCAL OFFICE

MEMORANDUM

TO: Senator Jane Kitchel, Chair
Rep. Janet Ancel, Vice Chair
Members, Joint Fiscal Committee

FROM: Maria Belliveau, Associate Fiscal Officer

DATE: April 1, 2016

SUBJECT: Chittenden Unit for Special Investigations (CUSI): Request for Approval of FY 2017 Rent and Extension of Date for Submitting Plan to Bring Rent to Market Rates

The Chittenden Unit for Special Investigations (CUSI) has reached a preliminary agreement with the Department of Buildings and General Services to start the process of bringing their rent up to market rates by paying \$17,581.50 in FY 2017, from \$1,000 in FY 2016. For context, the market rate in FY 2015 was determined to be \$50,673.79. Additionally, CUSI would like an extension on the time frame for submitting a plan to the JFC regarding bringing the rent up to full market rates. The original date to submit the plan that was agreed upon by the JFC at their August 2015 meeting was on or before March 1, 2016. The request is to extend this date to on or before November 1, 2016.

According to 29 VSA § 165(h)(2) the Commissioner of BGS may lease a state-owned property for less than the prevailing area market prices with the approval of the Joint Fiscal Committee when the terms of the lease is three years or longer. BGS has noted the CUSI is making a "good faith effort" to comply with the language regarding paying market rents and has requested that the JFC make a determination as to whether or not to agree to this negotiation with BGS.

Please let me know if you have any concerns or questions regarding this request. After discussion with the Chair, we are requesting that you respond to this request by April 15, 2016.

C.c. Michael Obuchowski, Commissioner, BGS
Wanda Minoli, Deputy Commissioner, BGS
Allen Palmer, Property management Specialist II, BGS
Michael Warren, Director, CUSI



State of Vermont
Department of Human Resources
Office of the Commissioner
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Montpelier, VT 05620-2505
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[phone] 802-828-3491
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Agency of Administration

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

FROM: **Maribeth Spellman, Commissioner** 

DATE: **February 23, 2016**

SUBJECT: **Position Pilot Program**

In accordance with Act 179, Sec. E.100(d), Secretary of Administration Justin Johnson 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, and is consistent with the goal of maximizing resources to provide the greatest benefit to Vermont taxpayers.

VTrans is proposing one new Financial Specialist position for the Department of Motor Vehicles. Funding is available within their existing appropriations for the positions. This position will enable DMV to stabilize staffing needs in the Accounts Receivable unit of the Finance & Logistics division. The work is currently being conducted by a temporary to meet the demands of the current workload. VTrans has had several waivers in place to extend the temporary position beyond the permitted 1,2080 hours, clearly this is an ongoing need and is most appropriately staffed by a classified employee. The division is responsible for a wide variety of administrative functions, and the AR unit is specifically responsible for managing the collection of \$320 million, and categorizes revenues from a variety of sources.

In addition to cost savings, and equally important, the new positions will assist VTrans with advancing their strategic plan goals to cultivate and continually pursue innovation, excellence and quality customer service and to develop a workforce to meet the strategic needs of the Agency, while achieving efficiencies in the Agency.

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

c: Secretary Johnson
Secretary Cole
M. Paulger





State of Vermont
DEPARTMENT OF MOTOR VEHICLES
120 State Street
Montpelier, VT 05603-0001
www.dmv.vermont.gov

[phone] 802.828.2000
[fax] 802.828.2098
[ttd] 800-253-0191

Agency of Transportation

DATE: February 19, 2016
TO: Chris Cole, Secretary of Transportation
FROM: Carol Harrison, Director of Finance & Logistics
RE: Pilot Position Justification - DMV Financial Specialist I

The Department of Motor Vehicles requests a Financial Specialist I position from the VTrans Position Pilot Program. This position would serve as a member of DMV's Accounts Receivable (AR) unit in the Division of Finance & Logistics (F&L).

For the past two years, DMV has been rebranding and redefining this division to one more focused and specialized in these mission critical areas. F&L now includes administrative functions in budget development, fiscal maintenance, grant management, accounts payable, accounts receivable, personnel management, property and facility management, logistical support, projects that include information technology, and auditing.

The AR unit deals with the management of revenue for all DMV locations. Specifically, this section:

- Manages the collections of approximately \$320 million.
- Categorizes revenues from a variety of sources.

AR is responsible for the categorization of all revenues received in the Department. The unit needs proper staffing resources to meet the processing requirements for a variety of regular and unique deposit activities resulting from direct customer interactions, payments received by mail, and online transactions. All revenues (cash, check and credit card), protested checks, lockbox activity, online deposit transactions, International Fuel Tax Agreement (IFTA) deposits, International Registration Plan (IRP) deposits, and other Vermont Information Consortium (VIC) web portal deposit activities are major revenue areas routinely managed by this unit. The AR unit actively monitors month end results due to the high volume of revenues categorized within a complete fiscal year. These revenues support nearly half of the Agency of Transportation's annual fiscal year budget.

The Financial Specialist I position completes the staffing needs for the F&L Division and creates a stable pool of employee resources for the AR unit. DMV is actively pursuing a new system to categorize and report all monetary transactions within the department. This project, while limited in scope to point of sale, touches every division within the DMV. AR staff will need to be engaged in the process of implementing this new system.

VTrans' Position Pilot Goals

1. Decrease costs.

Developing and maintaining qualified staff is an investment. Working with temporary staff under a cap of limited hours creates disruptions in work flow. Operating under a constant requirement to train new hires is very costly in terms of money and time.

2. Increase efficiency.

Accomplishing the work requirements assigned to the AR unit with an adequate and consistent team of trained professionals promotes growth, improves morale, increases productivity, and enhances other related activities. A consistent team in AR will benefit the work underway toward upgrading sections of our IT infrastructure, namely Point of Sale. The expertise of AR staff will contribute toward building efficiencies in our overall business process.

3. Speed project delivery.

Replacing the temporary hire with a full time (32 hour) permanent position adds a level of responsive consistency that has not existed for the past two years. Continuity in staff development will allow for team to develop to a professional level of protective redundancy by cross training in the more critical areas of responsibility.

4. Advance VTrans' strategic goals.

DMV's request is aligned with two of the Agency's strategic goals. The justification provided above supports the following:

- Goal 4: Cultivate and continually pursue innovation, excellence and quality customer service.
 - Information given to customers is accurate and comprehensive
 - Staff are competent, fair, polite and sympathetic to customers' needs
 - Staff deliver the outcome as promised and manage any problems
- Goal 5: Develop a workforce to meet the strategic needs of the Agency.
 - Recruit excellent, qualified and diverse employees.
 - Retain and develop excellent and diverse employees
 - Implement succession planning

cc: Kelley Lawrence, Finance & Logistics Accounts Receivable Supervisor

VT Agency of Transportation - Sec. E. 100(d) of Act 179

Position Pilot Request

Date:

2/19/2016

Division:

Dept. of Motor Vehicles

Bureau:

Section:

Finance & Logistics Division

Unit:

Accounts Receivable

Appropriation where funding resides:

Transportation Fund 20105

Budget account code (check with business manager)

DMV Program Chartfield 59300

Position Title:

Financial Specialist I

Pay Grade:

17 Step 1

Estimated Annual Salary:

\$26,574

Estimated Annual Benefits:

\$16,502

Estimated Indirect Rate (if applicable):

Estimated Total Annual Costs (incl indirect):

\$43,076

State Fund % 100%

Federal Fund %

Local Fund %

Other Fund %

List any contracts that currently perform this work:

List any specific projects the position will work on:

In order to meet the Accounts Receivable unit's work demands, this position will have assigned.

Provide a brief justification for this request - attach a more detailed analysis

DMV is requesting a Financial Specialist I position to help stabilize the Accounts Receivable unit in the Division of Finance & Logistics. AR has been relying on a temporary hire to meet the demands of the current work load. This temporary hire has been in place since November 2013 with several waivers submitted to extend the calendar year limit beyond the permitted 1,280 hours. The position is needed to help maintain the ongoing and



2-19-2016

Division Director Approval

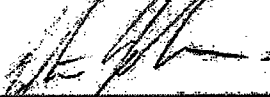
Date



2/19/16

Secretary of Transportation

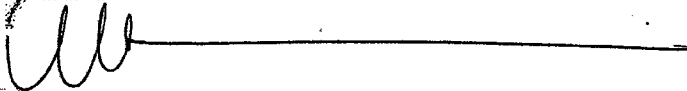
Date



2/23/2016

Secretary of Administration

Date



2/23/16

Commissioner of Human Resources

Date



State of Vermont
Agency of Administration
Department of Finance & Management
Pavilion Office Building
109 State Street
Montpelier, VT 05609-0201
www.state.vt.us/fin

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

Andrew Pallito, Commissioner

MEMORANDUM

TO: Joint Fiscal Committee
FROM: Andrew Pallito, Commissioner of Finance & Management
DATE: January 20, 2016
RE: Excess Receipts Report – 32 VSA Sec 511

A handwritten signature in blue ink, appearing to read "Pallito", is written over the "FROM" line of the memorandum.

In accordance with 32 VSA Sec 511, please find attached the report on Excess Receipts approved for expenditure during the second quarter of FY 2016 (7/1/2015 through 12/31/15). 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.

FY 2016 Excess Receipts Report - Q2 Cumulative - Run 1-20-2016							
VT_EXCESS_RECEIPT_RPT	104						
Agency/Dept Name	Appropriation Name	Appropriation Deptid	Date	Fund	Fund Name	Amount	Comments
Federal Funds (including "Regular" ARRA) Excess Receipts:							
Agriculture, Food&Mrkts Agency	Food Safety/Consumer Assurance	2200020000	8/10/2015	22005	Federal Revenue Fund	80,683	Remaining grant funding from the FDA approved in JFO #2710 dated 11/13/14
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/29/2015	22005	Federal Revenue Fund	96,940	Funds to be used to increase awards supporting the certification of organic operations as well as collecting agricultural market information.
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/29/2015	22005	Federal Revenue Fund	73,788	Funds to be used to increase awards supporting the certification of organic operations as well as collecting agricultural market information.
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/29/2015	22005	Federal Revenue Fund	135,000	Funds to be used to increase awards supporting the certification of organic operations as well as collecting agricultural market information.
Public Service Department	Regulation & Energy Efficiency	2240000000	8/26/2015	22005	Federal Revenue Fund	1,023,000	Will be used to support prior Federal Grants awarded to VTA which no longer exists; all assets revenues and obligations are assume by the Public Service Dept
Children and Families	DCFS - OEO Ofc of Economic Opp	3440100000	11/23/2015	22005	Federal Revenue Fund	422,000	FY16 Federal earnings will exceed VISION spending authority
Children and Families	DCFS - OEO Weatherization	3440110000	10/27/2015	22005	Federal Revenue Fund	248,760	Funds to be used in the Weatherization program to pay grantees for the weatherization of homes.
Disabilities Aging Ind. Living	Vocational Rehab Grants	3460040000	12/23/2015	22005	Federal Revenue Fund	3,800,000	VR received Section 110 federal reallocation funds
Forests, Parks & Recreation	Lands Administration	6130040000	7/31/2015	22005	Federal Revenue Fund	1,900,000	from Forest Legacy Program for acquisition of Molly's Falls Pond, 5 Peaks, and Dowsville
Commerce & Community Dev Agency	Administration Division	7100000000	8/31/2015	22005	Federal Revenue Fund	108,933	Carryforward from FY15 for unspent Northern Borders Regional Commission Grant
Transportation Agency	Rail	8100002300	9/21/2015	20183	ARRA FRA Fund	250,000	Funds are available for project - Amtrak Vermonter - RR-FY11-AR02
Public Service Department	Regulation & Energy Efficiency	2240000000	7/28/2015	22040	ARRA Federal Fund	455,167	ARRA dollars contracted to VEIC were returned to the department.
Public Service Department	Regulation & Energy Efficiency	2240000000	7/28/2015	22041	ARRA-SEP-Revolving Loan	1,100,000	ARRA revolving loan program, started in 2011
Subtotal Federal Funds (Including "Regular" ARRA) Excess Receipts						9,894,272	
Interdepartmental Transfer Excess Receipts							
Buildings & Gen Serv-Prop	BGS-Fee For Space	1160550000	12/24/2015	21500	Inter-Unit Transfers Fund	6,753,102	Funds from FEMA transfers
Buildings & Gen Serv-Capital	BGS - Various Proj 51/2(b)	1305100022	7/21/2015	21500	Inter-Unit Transfers Fund	5,433,185	Replenish spending authority as of 6/30/15
Buildings & Gen Serv-Capital	BGS - Various Proj 14	1405100023	9/3/2015	21500	Inter-Unit Transfers Fund	186,262	Replenish spending authority as of 6/30/15
Buildings & Gen Serv-Capital	Judiciary ADA Compliance 15	1502600051	7/21/2015	21500	Inter-Unit Transfers Fund	4,974,831	Acts of 2015 Capital Bill Sec. 5(b)(3) Money for Lamolille County Courthouse building renovations appropriate to Judiciary. BGS is managing the construction of this project.
Attorney General's Office	Attorney General's Office	2100001000	7/14/2015	21500	Inter-Unit Transfers Fund	100,000	Funds are available per H.490 (Act 58), Sec. E.139(a)

FY 2016 Excess Receipts Report - Q2 Cumulative - Run 1-20-2016							
State's Attorneys and Sheriffs	Sheriffs	2130200000	9/14/2015	21500	Inter-Unit Transfers Fund	90,236	Funds shall be used to fund the second year of the Windham County Sheriffs Electronic Monitoring Pilot Program
Public Safety	DPS-State Police	2140010000	12/16/2015	21500	Inter-Unit Transfers Fund	300,000	Legislature took 300K GF from DPS and replaced it with 300K from E911. Legislature mistakenly added this to special fund 21135, should have been IDT in the DPS Budget (Act 41)
Crime Victims' Services Center	Victims Compensation	2160010000	9/29/2015	21500	Inter-Unit Transfers Fund	5,000	Inter-Dept transfers that were not included in FY16 Budget
Crime Victims' Services Center	Victims Compensation	2160010000	9/29/2015	21500	Inter-Unit Transfers Fund	63,951	Inter-Dept transfers that were not included in FY16 Budget
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	8/10/2015	21500	Inter-Unit Transfers Fund	7,000	MOU with the Agency of Commerce & Community Development
Agriculture, Food&Mrkts Agency	VT Ag & Environmental Lab	2200150000	12/16/2015	21500	Inter-Unit Transfers Fund	46,000	Funds from MOU with DEC to provide 50% of funding for Lab Director position.
Agriculture, Food&Mrkts Agency	VT Ag & Environmental Lab	2200150000	10/29/2015	21500	Inter-Unit Transfers Fund	15,860	Lab equipment expense partially covered under a federal grant to the Dept of Environmental Conservation who will be transferring the money to Agriculture.
Agriculture, Food&Mrkts Agency	VT Ag & Environmental Lab	2200150000	10/27/2015	21500	Inter-Unit Transfers Fund	3,000	This expense (travel) is covered under a federal grant to the Dept of Environmental Conservation
Children and Families	DCFS Admin & Support Services	3440010000	8/31/2015	21500	Inter-Unit Transfers Fund	1,160,000	One-Time appropriated GF Waterfall funds set aside for LIHEAP benefits and administration; 03440891501. [Act 58 Sec. C.108(1)]
Children and Families	DCFS - LIHEAP	3440090000	8/31/2015	21500	Inter-Unit Transfers Fund	3,840,000	One-Time appropriated GF Waterfall funds set aside for LIHEAP benefits and administration; 03440891501. [Act 58 Sec. C.108(1)]
Forests, Parks & Recreation	Administration	6130010000	7/31/2015	21500	Inter-Unit Transfers Fund	300,000	Fema disaster funds received from VTRANS - spring 2012, Irene, summer 2013
Forests, Parks & Recreation	Forestry	6130020000	7/31/2015	21500	Inter-Unit Transfers Fund	100,000	funds available from F&W through NRCS grant funding
Forests, Parks & Recreation	Lands Administration	6130040000	8/10/2015	21500	Inter-Unit Transfers Fund	50,000	VHCS provides funding for long-range management projects, in addition completion of past year projects is anticipated to occur in FY16.
Environmental Conservation	Management & Support Services	6140020000	11/3/2015	21500	Inter-Unit Transfers Fund	1,081,024	Internal reallocation of central services (Reorganization of Legal Services)
Commerce & Community Dev Agency	Administration Division	7100000000	10/13/2015	21500	Inter-Unit Transfers Fund	125,000	FY16 Capital Bill for Orthophoto program appropriated to Tax Dept.
Commerce & Community Dev Agency	Administration Division	7100000000	8/31/2015	21500	Inter-Unit Transfers Fund	100,000	Act 51, 2015 session Sec.G.10(a)(2) Quebec Initiative
Tourism & Marketing	Dept. of Tourism & Marketing	7130000000	8/31/2015	21500	Inter-Unit Transfers Fund	200,000	Act 51, 2015 session Sec.G.10(a)(3) economic development marketing
Transportation Agency	Maintenance & Ops Bureau	8100002000	8/26/2015	21500	Inter-Unit Transfers Fund	100,904	Funds are available from Disaster - FEMA - 4207-VR-VT
Transportation Agency	Maintenance & Ops Bureau	8100002000	8/10/2015	21500	Inter-Unit Transfers Fund	103,859	Funds are available from an MOU between AOT and DPS.
Transportation Agency	Maintenance & Ops Bureau	8100002000	7/31/2015	21500	Inter-Unit Transfers Fund	250,958	available from Disaster FEMA-4163-DR-VT received via MOU/grant agreement from Division of Emergency management and Homeland security

FY 2016 Excess Receipts Report - Q2 Cumulative - Run 1-20-2016							
Transportation Agency	Department of Motor Vehicles	8100002100	10/8/2015	21500	Inter-Unit Transfers Fund	35,000	MOU between the VT DMV and DPS for a 2015 State Recreational Boating Safety (RBS) grant.
Transportation Agency	Department of Motor Vehicles	8100002100	9/14/2015	21500	Inter-Unit Transfers Fund	46,101	MOA between DMV and DEC for Performance Partnership Grant
Transportation Agency	Policy and Planning	8100002200	8/10/2015	21500	Inter-Unit Transfers Fund	20,000	Funds are available from an MOU between VTRANS and VDHCD acting through ACCD and represent VDHCD's commitment to the Strong Communities, Better Connections Program Grant.
Transportation Agency	Rail	8100002300	8/3/2015	21500	Inter-Unit Transfers Fund	500,000	Funds available from FEMA disasters DR 4140 & DR 4178.
Transportation Agency	Better Back Roads Program	8100005800	12/11/2015	21500	Inter-Unit Transfers Fund	30,000	Funds from DEC that represent their commitment to the Better Backroads Program, specifically for the Ecosystem Restoration Program.
Subtotal Interdepartmental Transfers						26,021,274	

FY 2016 Excess Receipts Report - Q2 Cumulative - Run 1-20-2016

Special Fund Excess Receipts:

Transportation Agency	Aviation	8100000200	11/9/2015	20140	Transportation FAA Fund	3,394,134	Funds are available for several Aviation projects
Transportation Agency	Rail	8100002300	11/3/2015	20155	Transportation-FRA Fund	3,500,000	Funds from a TIGER Grant
Transportation Agency	Department of Motor Vehicles	8100002100	9/14/2015	20165	Transportation Other Fed Funds	684,804	Funds available from grant agreement with the Dept of Homeland Security/FEMA agreement #2010-DL-T0-0006
Transportation Agency	Program Development	8100001100	11/3/2015	20193	Transp Improvement District Fd	14,001	Funds from Transportation Impact Fees paid per 10 V.S.A chapter 141, subchapter 5 - Case #5W0938-9
Transportation Agency	Program Development	8100001100	11/3/2015	20193	Transp Improvement District Fd	13,821	Funds from Transportation Impact Fees paid per 10 V.S.A. chapter 141, subchapter 5 - Case #4c1284
Transportation Agency	Program Development	8100001100	9/21/2015	20193	Transp Improvement District Fd	20,119	Funds are available from Transportation Impact Fees paid per 10 V.S.A. Chapter 141, subchapter 5 - Case #5W0584
Attorney General's Office	Attorney General's Office	2100001000	9/24/2015	21057	Genetic. Engineered Food Label	430,262	Act 120 (H.112), Sec. 4 - (9 V.S.A. chapter 82A) An act relating to the labelling of food produced with genetic engineering (GEFL)
Children and Families	DCFS - OEO Weatherization	3440110000	10/27/2015	21235	Home Weatherization Assist	353,750	Funds to be used in the Weatherization program to pay grantees for the weatherization of homes.
Commerce & Community Dev Agency	Administration Division	7100000000	7/14/2015	21328	Vt Center for Geographic Infor	66,520	Unspent FY15 funds originating from the transfer of VCGI, Inc to ACCD
Attorney General's Office	Attorney General's Office	2100001000	7/14/2015	21372	AG-Tobacco Settlement	97,000	Receipts available from attorney fees collected pursuant to the original Tobacco Settlement or other specific and approved settlements and are used for one-time infrastructure or other special needs costs of the office.
Forests, Parks & Recreation	Administration	6130010000	7/31/2015	21440	All Terrain Vehicles	155,000	funds are available from ATV fines and registrations
Finance & Management	Vt Council on the Arts	1110013000	12/7/2015	21445	Art Acquisition Fund	7,500	Funds for Vermont Arts Council to acquire art on behalf of the State.
Finance & Management	Vt Council on the Arts	1110013000	12/7/2015	21445	Art Acquisition Fund	10,000	Funds for Vermont Arts Council to acquire art on behalf of the State.
Finance & Management	Vt Council on the Arts	1110013000	9/14/2015	21445	Art Acquisition Fund	15,000	Funds are received into the Acquisition of Art in State Buildings special fund for Vt Arts Council to acquire art on behalf of the state.
Environmental Conservation	Water Programs Appropriation	6140040000	8/10/2015	21475	Natural Resources Mgmt	180,000	Received additional funds to continue on-going projects for another year.
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/13/2015	21493	VT Working Lands Enterprise	368,023	21493-Carryforward from FY15 21584-Balance from sale of mobile poultry processing unit
Forests, Parks & Recreation	Administration	6130010000	7/31/2015	21525	Conference Fees & Donations	11,391	finds available from Project Learning Tree workshop fees and grants and Urban Community Forestry workshop fees and misc grants and donations including Arbor Day donations
Forests, Parks & Recreation	Forestry	6130020000	7/31/2015	21525	Conference Fees & Donations	8,766	finds available from Project Learning Tree workshop fees and grants and Urban Community Forestry workshop fees and misc grants and donations including Arbor Day donations
Forests, Parks & Recreation	Administration	6130010000	7/31/2015	21550	Lands and Facilities Trust Fd	150,000	funds available from license, special use permit and timber sales
Public Safety	DPS-Emergency Management	2140030000	7/28/2015	21555	Emergency Relief & Assist Fd	195,000	This funding is granted to locals for completing Public Assistance projects
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/13/2015	21584	Surplus Property	11,751	21493-Carryforward from FY15 21584-Balance from sale of mobile poultry processing unit
Liquor Control	DLC - Enforcement & Licensing	2300002000	10/13/2015	21584	Surplus Property	12,978	Auction proceeds from previous periods.

FY 2016 Excess Receipts Report - Q2 Cumulative - Run 1-20-2016							
Liquor Control	Warehousing & Distribution	2300007000	10/13/2015	21584	Surplus Property	43,710	Auction proceeds from previous periods.
Children and Families	DCFS - OEO Weatherization	3440110000	10/27/2015	21584	Surplus Property	6,000	Funds to be used in the Weatherization program to pay grantees for the weatherization of homes.
Forests, Parks & Recreation	Forestry	6130020000	7/31/2015	21584	Surplus Property	2,067	available from proceeds received from the sale of assets
Housing & Comm Development	Housing & Community Affairs	7110010000	11/13/2015	21584	Surplus Property	3,250	Funds from the sale of tractor equipment used at the Mount Independence Historic Site and deposited into surplus property fund.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	8/31/2015	21603	Motorist Aid Refreshment Prog	180,000	Funds from motorists paid at Info Centers as donations for coffee. Funds to be used to offset the cost of coffee as well as the costs associated with running the Info Centers.
Buildings & Gen Serv-Gov'tal	BGS- Recycling Efforts	1150060000	8/31/2015	21604	BGS-Recycling Efforts	20,000	Funds are collected from the disposition of recycling materials. The proceeds are deposited into the fund and can be used for recycling efforts statewide.
Buildings & Gen Serv-Capital	BGS-Various Property Sales	0904300250	7/21/2015	21613	BGS-Sale of State Land	9,404	Sale of Misc properties marketing expenses. Replenish spending authority from 6/30/15
Military	MIL BLDG Maint&Armory Caretr	2150040000	9/24/2015	21660	Mil-Armory Rentals	15,612	Proceeds from the rental of Armories
Agriculture, Food&Mrkts Agency	Administration Division	2200010000	12/7/2015	21668	AF&M-Feed Seeds & Fertilizer	121,415	Remaining appropriated funds for purchase, configuration, & implementation of database IT projects to be completed in FY16.
Agriculture, Food&Mrkts Agency	Plant Industry, Labs & CA Div	2200040000	12/7/2015	21668	AF&M-Feed Seeds & Fertilizer	45,378	Remaining appropriated funds for purchase, configuration, & implementation of database IT projects to be completed in FY16.
Agriculture, Food&Mrkts Agency	Administration Division	2200010000	12/7/2015	21669	AF&M-Pesticide Monitoring	124,103	Remaining appropriated funds for purchase, configuration, & implementation of database IT projects to be completed in FY16.
Buildings & Gen Serv-Capital	VT Expo major Maint 51/14(a)	1305100141	7/21/2015	21682	AF&M-Eastern States Building	78,488	Replenish spending authority as of 6/30/15
Education Agency	Administration	5100010000	9/21/2015	21764	ED-Medicaid Reimb-Admin	90,000	Unspent funds from FY15
Education Agency	Education Services	5100070000	9/21/2015	21764	ED-Medicaid Reimb-Admin	200,000	Unspent funds from FY15
Forests, Parks & Recreation	Vt Youth Conservation Corps	6130080000	7/31/2015	21779	FPR-Youth Conservation Corps	300,000	cash assistance MOA between VYCC and FPR
Environmental Conservation	Water Programs Appropriaion	6140040000	8/10/2015	21786	Streamgauging Fees	42,235	Received additional funds to continue on-going projects for another year.
Buildings & Gen Serv-Gov'tal	BGS-Information Centers	1150400000	10/13/2015	21822	ACCD\Tourism & Marketing Broch	225,000	Vendors pay BGS to store and display their business brochures at the State Information Centers.
Libraries	Department of Libraries	1130030000	11/6/2015	21825	Memorial Gifts	5,199	Funds available from donations made by Library Special Service patrons or family/friends of Library Special Service patrons that have passed away.
Education Agency	Education Services	5100070000	12/11/2015	21848	ED-Private Sector Grants	150,000	Private grant funds form University of Kansas.
Libraries	Department of Libraries	1130030000	11/6/2015	21870	Misc Special Revenue	7,000	CatExpress fees collected
Liquor Control	DLC - Enforcement & Licensing	2300002000	10/27/2015	21870	Misc Special Revenue	4,300	A supplemental grant from NABCA was applied for and approved by JFO
Liquor Control	DLC - Administration	2300003000	10/27/2015	21870	Misc Special Revenue	14,800	A supplemental grant from NABCA was applied for and approved by JFO
Human Services Agency	Develop Disabilities Council	3400009000	7/30/2015	21870	Misc Special Revenue	2,000	This specially-funded donation will help defray expenses for the Vt Leadership Series trainings taking place during SFY15.
Treasurer's Office	Bond Refunding Cost	1260126000	10/28/2015	21886	Treas-Refunding Bond Issue	155,265	Sale of 2015 Series C Refunding Bonds

FY 2016 Excess Receipts Report - Q2 Cumulative - Run 1-20-2016						
Agriculture, Food&Mrkts Agency	Ag Development Division	2200030000	10/29/2015	21889	Risk Manage Ag Producers	61,764
Public Service Department	Regulation & Energy Efficiency	2240000000	7/8/2015	21899	Connectivity Fund	4,114,730
Health	Administration	3420010000	9/10/2015	21902	Health Department-Special Fund	240,794
Attorney General's Office	Court Diversion	2100002000	7/14/2015	21908	Misc Grants Fund	65,700
Judiciary	Judiciary Appropriation	2120000000	8/31/2015	21908	Misc Grants Fund	50,000
Administration Agency	WC-Sarcoidosis Claims	1100130000	10/19/2015	21911	Sarcoidosis Benefit Trust Fund	10,000
Health	Public Health Appropriation	3420021000	8/31/2015	21912	Evidence-Based Educ & Advertis	164,550
Military	MIL Vet Affairs Office	2150050000	11/23/2015	21924	Vermont Veterans Fund	55,025
Finance & Management	VEDA - Loan Loss Reserves	1110891404	12/29/2015	21944	Vermont Enterprise Fund	500,000
Children and Families	DCFS Admin & Support Services	3440010000	8/31/2015	21965	Animal Spay/Neutering Fund	80,000
Economic Development	STEM Incentive 14	7120891402	7/14/2015	21992	Next Generation Initiative Fnd	14,100
Economic Development	STEM Incentive	7120891502	7/14/2015	21992	Next Generation Initiative Fnd	121,500
Environmental Conservation	WaterPollutionCntrl51/11(a)(1)	6140991301	11/6/2015	31500	Natural Resources Proj Fund	18,000
Transportation Agency-Prop	Central Garage	8110000200	7/31/2015	57100	Highway Garage Fund	166,021
Information & Innovation	Comm & Info Technology	1105500000	11/6/2015	58100	Information Technology	750,000
Subtotal Special Fund Excess Receipts						17,957,228
TOTAL:						53,672,774



State of Vermont
Agency of Administration
Health Care Reform
109 State Street
Montpelier, Vermont 05609

REPORT TO THE VERMONT LEGISLATURE

Report on Integration of Substance Abuse Payment and Care Coordination with Physical and Mental Health

In accordance with Act 179 of 2014, Section E.306.2(b)(1)

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

Submitted by
Justin Johnson, Secretary
Agency of Administration
and
Lawrence Miller, Chief of Health Care Reform
Governor's Office

January 15, 2016

Summary:

Section E.306.2(b)(1) requires the Secretary of Administration and the Chief of Health Care Reform to submit a report on “current and additional strategies to achieve a more comprehensive health care service and delivery system based on a greater integration of substance abuse payment and care coordination with physical and mental health.” This report fulfills this requirement and summarizes activities underway to align substance abuse services and the larger system of care.

There are four major initiatives underway that address integration of substance abuse care with physical and mental health. They are:

1. The **Care Alliance for Opiate Addictions (Hub & Spoke) Initiative**, a comprehensive, regional system of treatment for opioid addiction in Vermont built upon the foundation of the existing specialty treatment programs linked with services through the Blueprint for Health. This initiative includes payment and delivery system reforms.
2. The **Screening, Brief Intervention and Referral to Treatment (SBIRT) Initiative**, designed to prevent substance dependence through early identification and provision of services to people at risk before more severe symptoms occur. This is a primary care-based service.
3. The **Substance Abuse Treatment Coordination Workgroup/Agency of Human Services**, with representatives from each AHS Department, has developed a policy and protocols to guide an approach to screening and coordinating referral for substance abuse services for AHS clients who are in need of specialty treatment. This builds on the SBIRT Substance Abuse Treatment Initiatives and extends those principles across the Agency.
4. **Integration of Mental Health and Substance Abuse Delivery System through Vermont’s State Innovation Models (SIM) grant** from the federal Centers for Medicare & Medicaid Innovation (CMMI), the SIM Core Team has allocated funds to support payment and delivery reform design and readiness activities specifically for Designated Agencies and private providers of mental health and substance abuse services.

Care Alliance for Opiate Addictions (Hub & Spoke)

Through the development of the Care Alliance for Opiate Addiction (Hub & Spoke) Initiative, the Departments of Health and of Vermont Health Access have made considerable progress toward integrating addiction treatment with the physical health system. In the development of this network that includes specialty Opiate Treatment Centers (OTP) and Office-Based Opiate Treatment (OBOT) by primary care physicians, the departments built upon the foundation developed by the Designated Agencies/Preferred Providers who are delivering an array of mental health and substance abuse services, and Vermont's patient-centered medical home initiative (the Blueprint for Healthⁱ).

The majority of Vermont's Medicaid program operates under the Global Commitment to Health Demonstration Waiver. The Global Commitment to Health Demonstration Waiver (GC) operates under a managed care model that is designed to provide flexibility with regard to the financing and delivery of health care in order to promote access, improve quality and control program costs. The Agency of Human Services (AHS), as Vermont's Single State Medicaid Agency, is responsible for oversight of the managed care model. The Department of Vermont Health Access (DVHA) is the entity delegated to operate the managed care model and has sub-agreements with the other State entities that provide specialty care for GC enrollees (e.g., mental health services, developmental disability services).

The GC waiver provides the State with the ability to be more flexible in the way it uses its Medicaid resources, enabling Vermont to fund creative alternatives to traditional Medicaid services that improve quality of care and control costs. Examples of this flexibility include the following: new payment mechanisms (e.g., case rates, capitation, combined funding streams, capacity-based payments) rather than fee-for-service; the ability to pay for services not traditionally reimbursable through Medicaid (e.g., pediatric psychiatric consultation); and, investments in programmatic innovations for Medicaid beneficiaries (e.g., the Vermont Blueprint for Health).

The Affordable Care Act offered an opportunity to expand Vermont's Blueprint for Health to encompass substance abuse treatment services through the Health Home model. Health Homes are a Medicaid State Plan Option under Section 2703 of the Affordable Care Act which offers states enhanced federal reimbursement for qualifying "Health Home services" for a limited period of time.ⁱⁱ In 2013, Hub and Spoke was formalized as a new initiative that would take advantage of this enhanced funding while seeking to form a more integrated service network and better address substance use disorders within a comprehensive Health Home framework. Hub and Spoke is a joint initiative of the Vermont Blueprint for Health, the Clinical Operations unit of the Department of Vermont Health Access (DVHA), and the Vermont Department of Health Division of Alcohol and Drug Abuse Programs, and works in collaboration with local health, addictions, and mental health providers.

The initiative was designed to establish a comprehensive, regional system of treatment for opioid addiction in Vermont by building on the infrastructures of existing provider

configurations, namely a) the specialty OTPs established initially to provide highly regulated methadone treatment; b) the authorized physicians prescribing buprenorphine in OBOT settings; and c) Vermont's patient-centered medical homes (PCMHs) supported by Community Health Teams (CHTs) that is grounded in Vermont's Blueprint for Health framework for health care reform and the Health Home concept in the Federal Affordable Care Act. New creative payment methodologies were also built upon the existing infrastructure of their service provider configurations. At the center of the approach is the implementation of what has become known as the Hub & Spoke Health Home Model to ensure that each person's care is effective, coordinated, and supported.

Key Success Factors

a. **Expanding the use of buprenorphine in the OTPs (also known as Hubs).** Previously, OTPs were exclusively specialty methadone treatment clinics. Now, OTPs as Hubs are also authorized to prescribe buprenorphine (as well as naltrexone), as are OBOTs. This has significantly expanded the availability of buprenorphine therapy (as shown in Figure 1 below).

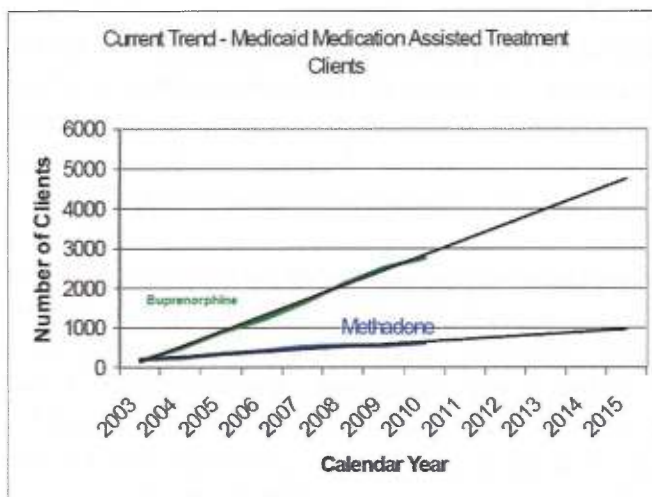


Figure 1

The number of Medication Assisted Treatment (MAT) patients receiving buprenorphine in a Hub or as prescribed by a physician in a medical office, has far exceeded the number of MAT patients receiving Methadone, the highly regulated treatment provided in specialty clinics.

By expanding the use of buprenorphine in the Hubs, Hub physicians can for the first time determine the appropriate medication instead of automatically having to place the patient on methadone.ⁱⁱⁱ Patients treated in Hubs with buprenorphine who might be sufficiently stabilized now have the opportunity to be transferred as patients to OBOTs (also known as Spokes) for continued buprenorphine treatment, as clinically indicated, by a qualified physician in their local community.

Buprenorphine is more expensive than methadone. The Hub & Spoke Initiative delivers this high cost medication within a cost structure to foster integrated care. The aim of this program is to achieve improved patient care and reduce overall costs for the state's health system. The objective is that patient outcomes will further improve as they move out to Spokes, which include office-based care. Patients will move from the Hubs, which cost more, to the Spokes, which are less expensive and more convenient for the patient encouraging compliance. This will result in a reduction of some health care costs. At present, approximately 1/3 of all patients on a statewide basis move from Hubs to Spokes once stabilized. Additional cost savings are also expected to be realized from reduction in other unnecessary and even higher cost health care expenditures (e.g. medically unnecessary emergency room visits and hospital visits) and social/legal costs associated with opioid addictions simply for having a system alternative to absorb these individuals. The Hub & Spoke Initiative focuses on breaking the cycle of addiction.

b. **Ensuring consistent protocols for the transfer of patients between Hubs and Spokes by reliable and efficient referrals.** Establishing a smooth, efficient, and reliable means of transferring patients between care modalities is a significant challenge for the Hub & Spoke Initiative. First, this involved developing a process for care management between Hubs and Spokes, supported by case rates and staff provided through the Blueprint for Health patient-centered medical home structure, to replace the fee-for-services incentive to keep clients in the clinic and maintain financial stability. Ideally, a patient who clinically qualifies for treatment in a Hub would stabilize on buprenorphine within the Hub and then, if appropriate, transfer to an office-based physician practice where medication is less controlled by the clinician. Should the patient destabilize, they may be referred back to the Hub for re-stabilization. This requires a sophisticated referral process and protocols for bi-directional movement between the Hubs and Spokes. The first regional Hub & Spoke learning collaborative, which the Department of Vermont Health Access has undertaken through a contract with the Geisel School of Medicine of Dartmouth College, seeks to operationalize the Hub to Spoke transfer process within the Blueprint's Health Service Areas (HSA).^{iv}

c. **Adopting a creative payment methodology that allowed the use of Health Home money to expand capacity within Hubs to support "service enhancements" while building staffing infrastructure within the Spokes.** The Hub "service enhancements" include federally-defined Health Home services which link primary care with community services, provide buprenorphine for clinically complex patients, and provide consultation support to primary care and specialists prescribing buprenorphine. In addition, the funding for Spoke infrastructure embeds new clinical staff (a nurse and a Master's prepared, licensed clinician) in physician practices that prescribe buprenorphine through the Blueprint CHTs to provide Health Home services, including the clinical and care coordination supports to individuals receiving buprenorphine. To date, approximately 40 FTE nurses and addictions counselors have been hired and deployed to over sixty different practices.^v

Vermont's managed care model through Global Commitment is designed to provide significant flexibility with regard to the financing and delivery of health care to promote better access, improve quality, and control program costs.

Hub Payments. The Hub payment is a monthly, bundled rate per patient. The Hub provider initiates a claim for the monthly rate, using the existing procedure code for current addictions treatment and a modifier for the federally-defined Health Home¹ services. The provider may make a monthly claim using the modifier on behalf of a patient for whom the provider can document the following two services in that month:

- One face-to-face typical treatment service encounter (e.g., nursing or physician assessment, individual or group counseling, observed dosing); and,
- One federally-defined Health Home service (comprehensive care management, care coordination, health promotion, transitions of care, individual and family support, referral to community services).

If the provider did not provide a Health Home service in the month, then they may only bill the existing procedure code without the Health Home modifier resulting in a lower reimbursement rate.

Spoke Payments. Payment for Spoke services are based on the costs to deploy one FTE RN and one FTE licensed clinician case manager for every 100 patients across multiple providers within a Health Service Area. Embedding staff directly in the prescribing practices allows for more direct access to mental health and addiction services, promotes continuity of care, and supports the provision of multi-disciplinary team care. As with the Blueprint CHTs, Spoke staff (a nurse and clinician case manager) are provided free of cost to patients receiving MAT, essentially serving as a “utility” to the practices and patients.

Spoke payments are based on the average monthly number of unique patients in each Health Service Area for whom Medicaid paid a buprenorphine pharmacy claim during the most recent three-month period, in increments of 25 patients. Building on the existing CHT infrastructure, new Spoke staff are supported through Capacity Payments. For administrative efficiency, Spoke payments are made to the lead administrative agent in each Blueprint Health Service Area as part of the existing Medicaid CHT payment.

Third Party Payers. While the majority of medication assisted treatment (MAT) is funded by the state through Medicaid payments, CHT, and financial support for uninsured patients in Hubs, some patients have third party insurance through Blue Cross Blue Shield, MVP, Cigna, and Tri-Care. Medicare does not pay for MAT provided by specialty treatment providers such as the Hubs, but it will pay for Spoke services provided in physician’s offices. Insurers have consistently paid for direct medical care through the Spokes as well as buprenorphine dispensed in pharmacies. Third party payers also contribute funds for the Blueprint CHTs, but commercial payer payment methodologies did not originally fully support the Hub component of the payment. Recently, Hub providers have made significant progress in negotiating payments for the Hub services for patients with private insurance.

¹ The federal designation of Health Home provided additional federal resources for the first eight quarters of the program.

Conclusions

By combining a new payment structure to support the delivery of medication and therapy in an integrated way, Vermont's Hub & Spoke Initiative for the provision of MAT for individuals with opioid addictions aims to achieve improved patient care at reduced costs for the state's health system. This model also builds a base upon which additional substance abuse services can be added or linked for improved care management. The connection to the Blueprint providers and CHTs began an approach which can be further developed to improve the integration of mental health and substance use disorder treatment with the Hub & Spoke network.

First, the Hub and Spoke initiative has significantly increased access to care as measured by increases in the number of Hubs, number of Spokes, number of patients in both Hubs and Spokes, and numbers of patients receiving MAT per 10,000 Vermonters.

Second, Vermont has made widespread investments to ensure improved quality of care, including focusing on expanding MAT for the treatment of opioid addictions. Other efforts to improve quality of care include adopting and/or establishing new and higher standards of care, supporting better collaboration and innovation for more effective medication delivery and better care coordination to meet the needs of this very high risk, complex, and sometimes hard to reach, population. Data shows excellent results to date, demonstrating improvements in quality of care as seen by producing very high satisfaction ratings among patients in Hubs and holding waitlists level despite growing numbers with opioid dependence.

Finally, while too early to demonstrate definitively, there is strong indication that the system design will indeed produce greater cost effectiveness. Significant cost savings are already being realized by avoiding unnecessary, higher cost health care expenditures and social/legal impacts associated with opioid misuse and dependence, and treatment strategies in absence of the Hub & Spoke model.

While growing demand resulting from the opioid crisis still outweighs system expansion efforts, early data shows positive results in increased access to care, improved quality of care, and indications of greater cost effectiveness. Additional cost efficiencies are expected to be demonstrated as the system continues to reduce other unnecessary and even higher cost health care expenditures including medically unnecessary emergency room visits and hospital visits, as well as social consequences and legal costs often associated with opioid and other addictions.

Screening, Brief Intervention and Referral to Treatment (SBIRT)

The Screening, Brief Intervention and Referral to Treatment (SBIRT) Initiative is designed to prevent substance dependence through early identification and delivery of services to people at risk before more severe symptoms occur. As of 2013, the U.S. Preventive Services Task Force recommends that clinicians screen adults age 18 years or older for alcohol misuse and provide persons engaged in risky or hazardous drinking with brief behavioral counseling interventions to reduce alcohol misuse.

The Vermont Department of Health, Division of Alcohol and Drug Abuse Programs has developed relationships with fifteen providers including hospital emergency departments, federally qualified health centers, primary care practices, and a university health center to train providers to screen and intervene with patients who demonstrate a certain level of risk for substance misuse. Approximately 34,000 Vermonters have been screened since the start of the project two and a half years ago. Any patients screened who demonstrated risk factors received appropriate counseling and/or referral to specialty treatment.

The Department of Health received a grant from the federal Substance Abuse and Mental Health Services Administration (SAMHSA) in 2012 to develop and implement evidence-based screening and brief intervention services in ten primary care practices and emergency departments. These funds have enabled the Department to train 325 practitioners and support them to embed screening and brief intervention. To date, 34,000 Vermonters have been screened in medical settings. The goal is for these practices and others to continue the screening protocols that they have learned to implement after the grant has ended.

Medicaid currently reimburses for SBIRT and the Department of Health is beginning a project with Blue Cross/Blue Shield to pilot embedding the practice in five locations. Screening for alcohol and drug misuse can easily be embedded into the medical questionnaires and follow up discussions that take place in primary care. A general health visit or a specialty code can be billed for these services. They would also fit into a bundled payment model as we explore new opportunities for payment.

Conclusions

First, by embedding early screening and brief interventions into emergency department and primary health care settings, we aim to prevent the development of substance use disorders. Brief interventions delivered by health professionals have been shown to be effective in helping people to reduce risky drinking patterns. These interventions are most effective when delivered on-site during the delivery of routine or emergency health care services.

Second, training health care professionals to ask about alcohol and drug use and providing them with the tools and support to intervene supports the principle of providing preventive care. Preventive approaches can save money by avoiding more complex services necessary when a condition has progressed to a more serious phase.

Third, with the seriousness of the alcohol and drug problems in Vermont it is essential that the health care system become more knowledgeable and skilled in working with patients who are at risk of developing serious addictive disorders. Using the SBIRT approach is a way to embed important, proven protocols into strategic locations within the health care environment.

Substance Abuse Treatment Coordination Workgroup (SATC)

The Agency of Human Services' Substance Abuse Treatment Coordination Workgroup (SATC), with representatives from each AHS Department, has developed a policy to guide a coordinated approach to screening and coordinating substance abuse services for AHS clients who need them. Each department developed protocols that specify which types of clients will be screened and how that screening will be incorporated into department workflow. State staff who provide services to AHS clients are in the process of receiving training to prepare them to conduct the screenings. We will develop a region-specific process for implementing their plan for improved care coordination for clients with substance use treatment needs. We have begun to gather data that will document numbers of clients screened and referred, and eventually the number who went on to treatment and received coordinated care.

Conclusions

This initiative begins to link AHS protocols in a structured way with the health care system. AHS clients have typically arrived at the door of specialty treatment as a result of a crisis, whether it be through the Department for Children and Families, Corrections, or another Department. By training appropriate staff to understand the effects of addiction, its signs and symptoms, our aim is to intervene earlier to prevent the development of more serious substance use disorders. This initiative builds upon the evidence of the SBIRT model, described above. It creates the opportunity for a more seamless approach to identifying and helping people on the path to addiction.

Integration of Mental Health and Substance Abuse Delivery System through Vermont's State Innovation Models (SIM) Grant

Finally, as a part of Performance Periods 2 and 3 of the State Innovation Models (SIM) Testing Grant, the SIM Core Team has allocated funds to support payment and delivery reform design and readiness activities specifically for Designated Agencies and private providers of mental health and substance abuse services. This project will produce an implementation plan by the end of CY 2016 that proposes significant delivery and payment reforms for mental health and substance abuse services. The group will focus efforts so that they are aligned with All-Payer Model development and build off of work already initiated for the Integrated Family Services pilot project.

The Departments of Vermont Health Access, of Mental Health, of Health, of Disabilities, Aging and Independent Living, and the Secretary's Office of the Agency of Human Services, along with the Agency of Administration, Designated Agencies, Specialized Service Agencies and private Substance Abuse providers are partnering to determine how best to serve Vermonters through a more integrated continuum of mental health and substance abuse services. The group is focused on care delivery and payment reform, and is charged to create an implementation plan by the end of CY 2016. The work will address provider readiness, state readiness, alternative payment models, practice transformation and quality improvement, quality measurement, and evaluation.

These efforts will be focused on payment and delivery system models that are most able to align with and build on the success of current health reform efforts under way in Vermont. This includes building on the Integrated Family Services (IFS) pilot project and design work currently underway around the All-Payer Model. IFS is an AHS initiative that provides practice transformation support within communities and alternative payment models to support providers engaged in the care of Vermont's children, youth and families.

This public/private group will work to understand the intricacies of current payment models in order to support the development of value-based payments for these services. The group will also work to identify potential impacts on provider service delivery and potential unintended consequences of reforms, as well as assessing financial risks being assumed by payers and/or providers. The group will also perform detailed provider readiness assessments to determine the ability of these providers to take on increased financial risk, which will enable the State to provide specific practice transformation supports to providers participating in the alternative payment structure.

Conclusions

Vermont's payment and delivery system reform goals are to achieve the Triple Aim: Better Health, Better Quality, and Lower Cost. These reforms use a combination of practice transformation activities, provision of health information to providers, and modifications in payment methods to support different care delivery systems. By pursuing all of these areas

simultaneously, we seek to achieve better value in health care, driving improvements in quality and slowing the growth in health care spending by encouraging care delivery patterns that are not only high quality, but also cost-efficient.

The activities of this group will enable us to develop an alternative payment methodology that supports better integration, higher quality care, and aims to balance financial incentives for providers against financial risk.

ⁱ The Blueprint for Health (Blueprint) is Vermont's state-led, nationally recognized initiative transforming the way primary care and comprehensive health services are delivered and paid for. Originally established through Vermont statute in 2006, the Blueprint was codified in 2010 with Act 128 (amending 18 V.S. A. Chapter 13) defining it as a "program for integrating a system of health care for patients, improving the health of the overall population, and improving control over health care costs by promoting health maintenance, prevention, and care coordination and management." Subsequently, the Blueprint for Health set out a system under the Vermont Chronic Care Initiative (VCCI) whereby the highest risk and highest cost Medicaid beneficiaries are referred for care management. The Blueprint for Health operates under the Department of Vermont Health Access, Vermont's state publically funded health insurance programs. Substance abuse, including opioid addiction, was defined as a chronic condition, and brought under the Blueprint's Chronic Care Initiative, allowing for more creative funding to test various treatment system modalities.

ⁱⁱ For more information on the Health Home Medicaid State Plan Option, visit: <https://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Long-Term-Services-and-Supports/Integrating-Care/Health-Homes/Health-Homes.html>.

ⁱⁱⁱ Hub Buprenorphine Details:

- Buprenorphine could now be prescribed just like methadone within the HUBS
- More flexibility with take homes
- Offered every other day or every third day dosing
- Introduced the use of Med-O-Wheels for securing take homes of bup tablets
- Required all patients to FULLY DISSOLVE and ABSORB sublingually both forms of buprenorphine-films and tablets-in a 5 minute observation period
- Prior Authorization process put in place by Medicaid for mono buprenorphine and all doses over 16 mg
- Required checking of VT Prescription Monitoring System (VPMS) at intake (to eliminate the risk of OBOT treatment overlaps).
- Recommended checking VPMS every 3 months and for cause (unexpected drug screen result-presence or absence of substance prescribed or not)
- Essential Hub Services
 - Intake/ Physical exams
 - Screening for STDs, TB, HIV, Hep A,B,C and education and referral
 - Onsite urine screening and breathalyzer
 - Medical and psychological evaluation and screening
 - Pregnancy screening and birth control information
 - Vaccines for Hep A/B, TDAP, pneumovax, influenza
 - Daily medication dosing and management and tapers
 - Drug and alcohol counseling group and individual
 - Case management service
 - Orientation to treatment and recovery
 - Gender specific issues-abuse, supportive services, pregnancy, parenthood
 - Discharge planning and referral
 - Care coordination and consultation with primary and specialty and hospital services

^{iv} Other topics of focus for the learning collaboratives include:

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- Each entity had specific measures to report on at each session to measure progress toward goals such as:
 - waiting list reductions
 - retention in treatment
 - responses to drug using behaviors
 - psychological assessments
 - reducing diversion
 - assessing dose adequacy
 - care coordination

^v <http://legislature.vermont.gov/assets/Legislative-Reports/Opioid-system-effectiveness-1.14.15.pdf>, p.7.

