



GENERAL ASSEMBLY
STATE OF VERMONT
LEGISLATIVE JOINT FISCAL COMMITTEE

Agenda

Monday, November 4, 2019
133 State Street, Montpelier, Room 410

- 9:30 a.m. A. Call to order and approve minutes of September 16, 2019 [APPROVED]
- 9:35 a.m. B. Administration's Fiscal Updates
*Adam Greshin, Commissioner, and
Matt Riven, Deputy Commissioner, Department of Finance & Management*
1. FY2020 Budget Adjustment Pressures
 2. FY2021 Budget Development Process, and Projected Revenue & Expenditures
 3. Caseload Reserve
 4. Tax Computer System Modernization Fund [Report](#) [...further amended by [Sec. E.111.1 of Act 11 \(H.16\) of SS2018](#)]
- 9:50 a.m. C. [JFO #2979 Grant](#)—\$440,955 from the U.S. Centers for Disease Control and Prevention to the VT Dept. of Health to fund a three-year study of emergency department visits related to self-inflicted injuries in order to analyze data and target suicide prevention efforts. One (1) limited-service position is associated with this request. [JFO received 10/23/2019] [APPROVED]
- 10:00 a.m. D. Environmental Contingency [Fund Expenditure](#) for Elmwood Ave. [APPROVED]
*Patricia Coppolino, Environmental Program Manager, Department of
Environmental Conservation*
- 10:20 a.m. E. Human Services – *Michael K. Smith, Secretary, and
Sarah Clark, Chief Financial Officer, Agency of Human Services
Sarah Squirrel, Commissioner, Department of Mental Health, and*
1. Agency of Human Services [Strategic Plan](#) [Sec. E.300.8 of Act 72 (H.542) of 2019]
 2. Report on [Fiscal Pressures](#) – Human Services
[Sec. E.300.9 of Act 72 (H.542) of 2019] [memo on VT-211]
 3. Update on [Global Commitment Waiver](#)

4. Integrated Eligibility and Enrollment System **[APPROVED]**
[\[Sec. 3 of Act 42 \(H.543\) of 2019\]](#) [\[Daniel Smith Memo\]](#) [\[Progress Report\]](#)
John Quinn, III, Secretary, Agency of Digital Service
Daniel Smith, Consultant, Joint Fiscal Office (speakerphone)

- 11:15 a.m. F. Update on Four Southern Vermont Bridges [\[Memo\]](#) [\[Four Bridges\]](#)
Joseph Flynn, Secretary, and
Wayne Symonds, Chief Engineer, Agency of Transportation

- 11:35 a.m. G. Fiscal Officers [Report](#) - *Stephen Klein, Chief Fiscal Officer, Joint Fiscal Office*
1. Joint Fiscal Committee Policy Changes to Grants based on Statutory Revisions
[\[32 V.S.A. § 5 Sec. E.127.2 of Act 72 of 2019\]](#) [\[Wasserman Memo\]](#) [\[Policy Update\]](#)
[APPROVED]
Rebecca Wasserman, Legislative Counsel, Office of the Legislative Council
Dan Dickerson, Fiscal Analyst, Joint Fiscal Office

12:08 p.m. Adjourn *updated 11/04/2019 - Final*

Notable Dates:

December 4 at 10:00 a.m.- All Legislative Briefing in the Well of the House

December 16 – 19 - House Appropriations Committee FY20 Budget Adjustment meetings

Statutory References to Agenda Items

B.4. Act 65, Sec. 282 of 2007 as amended by Act 63, Sec. C.103 of 2011 as amended by Sec. 65 of Act 1 of 2013, Sec. 62 of Act 95 of 2014, and Sec. 47 of Act 87 of 2018 and further amended by Sec. E.111.1 of Act 11 (H.16) of SS2018

Tax Computer System Modernization Fund Report

(a) Creation of fund.

(1) There is established the tax computer system modernization special fund to consist of:

..*

(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.

C. 10 V.S.A. Sec. 1283(b) as amended by Sec. E.711.2 of H.542 of 2019

Contingency Fund

(a) An Environmental Contingency Fund is established within the control of the Secretary. Subject to the limitations contained in subsection (b) of this section, disbursements from the Fund may be made by the Secretary to undertake actions that the Secretary considers necessary to investigate or mitigate, or both, the effects of hazardous material releases to the environment.

(b) Disbursements under this subsection may be made for emergency purposes or to respond to other than emergency situations; provided, however, that disbursements in response to an individual situation which is not an emergency situation shall not exceed \$100,000.00 for costs attributable to each of the subdivisions of this subsection, unless the Secretary has received the approval of the General Assembly, or the Joint Fiscal Committee, in case the General Assembly is not in session. Furthermore, the balance in the Fund shall not be drawn below the amount of \$100,000.00, except in emergency situations. If the balance of the Fund becomes insufficient to allow a proper response to one or more emergencies that have occurred, the Secretary shall appear before the Emergency Board, as soon as possible, and shall request that necessary funds be provided. Within these limitations, disbursements from the Fund may be made:

(6) to pay administrative and field supervision costs incurred by the Secretary or by a municipality at the direction of the Secretary in carrying out the provisions of this subchapter. Annual disbursements, for these costs, to the Department of Environmental Conservation under this subdivision shall not exceed 2.0 2.5 percent of annual revenues;

* * *

D.1. Sec. 3 of Act 42 (H.543) of 2019

Human Services [Integrated Eligibility and Enrollment System]

(a) The following sums are appropriated in FY 2020 to the Department of Buildings and General Services for the Agency of Human Services for the following projects described in this subsection:

..*

(b) The sum of \$4,750,000.00 is appropriated in FY 2020 to the Agency of Human Services for the Department of Vermont Health Access, Integrated Eligibility and Enrollment system.

..*

(e) For the project described in subsection (b) of this section:

(1) Installments. The funds shall be appropriated in three installments, as follows:

(A) \$3,250,000.00 upon passage of the act, which shall include \$250,000 to be used as described in Sec. 32 of this act (First Installment);

(B) \$750,000.00 following Joint Fiscal Committee approval to release the funds at its September meeting (Second Installment); and

(C) \$750,000.00 following Joint Fiscal Committee approval to release the funds at its November meeting (Third Installment).

(2) Reports. On or before September 1 and November 1, the Secretary of Human Services and the Secretary of Digital Services shall submit a report on the status of the project. The September and November reports shall include status updates on the projects scheduled for completion in calendar year 2019, as described in the memo from the IT Consultant for the Joint Fiscal Office to the Legislative Joint Fiscal Office, dated April 5, 2019. The September and November reports shall be submitted to the Chair and Vice Chair of the Joint Information Technology Oversight Committee and the Chairs of the House Committees on Corrections and Institutions and on Health Care and the Senate Committees on Health and Welfare and on Institutions. A copy of each report shall also be submitted to the Joint Fiscal Committee.

(3) Recommendations and approvals.

- (A) Prior to the September meeting of the Joint Fiscal Committee, the Chair and Vice Chairs of the Joint Information Technology Oversight Committee and the Chairs of the House Committees on Corrections and Institutions and on Health Care and the Senate Committees on Health and Welfare and on Institutions shall provide recommendations to the Joint Fiscal Committee on whether to approve the Second Installment. The Joint Fiscal Committee at its September meeting shall review the report described in subdivision (2) of this subsection (f), consider the recommendations described in this subdivision (3)(A), and vote on whether to approve the Second Installment.
- (B) Prior to the November meeting of the Joint Fiscal Committee, the Chair and Vice Chairs of the Joint Information Technology Oversight Committee, the Chairs of the House Committees on Corrections and Institutions and on Health Care, and the Senate Committees on Health and Welfare and on Institutions, shall provide recommendations to the Joint Fiscal Committee on whether to approve the Third Installment. The Joint Fiscal Committee shall review at its November meeting the report described in subdivision (2) of this subsection (f), consider the recommendations described in this subdivision (3)(B), and vote on whether to approve the Third Installment.

* * *

D.2 Sec. E.300.8 of Act 72 (H.542) of 2019

Agency of Human Services; Strategic Plan; Report

(a) The Agency of Human Services, in order to respond effectively to dynamic and changing societal needs, shall identify emerging trends and develop a strategic plan for addressing the most challenging issues the Agency anticipates Vermont will face within the next five to 10 years.

* * *

(d)(1) On or before November 1, 2019, the Agency of Human Services shall provide a progress update on its strategic plan, analyses, and determinations to the Joint Fiscal Committee, the Health Reform Oversight Committee, the Joint Legislative Justice Oversight Committee, and the Government Accountability Committee.

(2) On or before January 15, 2020, the Agency of Human Services shall provide its final strategic plan, analyses, and determinations, including any recommendations for legislative action, to the House Committees on Appropriations, on Corrections and Institutions, on Government Operations, on Health Care, on Human Services, and on Judiciary and the Senate Committees on Appropriations, on Government Operations, on Health and Welfare, on Institutions, and on Judiciary.

D.3 Sec. E.300.9 of Act 72 (H.542) of 2019

Report on Fiscal Pressures – Human Services

(a) The Secretary of Human Services shall report to the Joint Fiscal Committee at its November 2019 meeting on the following fiscal issues:

- (1) the most current estimate of timing related to the 12 beds being developed for State priority use at the Brattleboro Retreat and the fiscal year 2020 and 2021 funding implications. The Secretary shall estimate the additional needs for State funds and sources to provide funding the Administration is considering in the fiscal year 2021 budget presentation to the Legislature;
- (2) the impact of the change in of Federal Children's Health Insurance match (CHIP) match on the fiscal year 2021 budget and what steps may be recommended to offset the loss of funds; and

- (3) any other fiscal pressures due to changes in federal funds or other program-related changes in costs or caseloads.

F. 32 V.S.A. § 5

§ 5. Acceptance of grants

(a) Definitions. As used in this section:

- (1) "Loan" means a loan that is interest free or below market value.
(2) "State agency" means an Executive Branch agency, department, commission, or board.

(b) Executive Branch approval.

(1) Approval required. A State agency shall not accept the original of any grant, gift, loan, or any sum of money, or thing of value except as follows:

(A) the State agency is granted approval pursuant to this subsection; or

(B) Joint Fiscal Committee policies adopted pursuant to subsection (e) of this section do not require a State agency to obtain approval.

(2) Governor review.

The Governor shall review each grant, gift, loan, or any sum of money, or thing of value and 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 these items:

- (A) the source and value;
(B) the legal and referenced titles in the case of a grant;
(C) the costs, direct and indirect, for the present and future years;
(D) the receiving department or program, or both;
(E) a brief statement of purpose; and
(F) any impact on existing programs if there is a rejection.

(3) Legislative review.

(A) The Governor's in subdivision (b)(2) of this section approval shall be final except as follows:

- (i) When the General Assembly is not in session, within 30 days of receipt of the copy of an approval and related information required under subdivision (b)(2) of this section, a member of the Committee requests such grant, gift, loan, sum of money, or thing of value be placed on the Committee's agenda; or,
(ii) when the General Assembly is in session, within 30 days of receipt of the copy of an approval and related information required under subdivision (b)(2) of this section, a member of the Committee requests that such grant, gift, loan, sum of money, or thing of value be held for legislative approval. If a copy of an approval and related information is received when the General Assembly is in session, but before the members of the Joint Fiscal Committee are appointed, one of the statutorily appointed members of the Committee may request to hold a grant for legislative approval. Legislative approval under this subdivision may be granted by legislation or resolution.

(B) In the event of a request to hold a grant made pursuant to subdivision (3) of this subsection, the grant shall not be accepted until approved by the Joint Fiscal Committee or the General Assembly.

(C) The 30-day period described in subdivision (3)(A)(i) of this subsection may be reduced where expedited consideration is warranted in accordance with Joint Fiscal Committee policies adopted pursuant to subsection (e) of this section.

(D) Upon receipt of the copy of an approval and related information required under subdivision (b)(2) of this section while the General Assembly is in session, the Joint Fiscal Committee shall promptly file a notice with the House and Senate Clerks for publication in the respective calendars.

(4) Exceptions.

(A) General. The review and approval process set forth in subsection (b) of this section shall not apply to the following items,

(i) the acceptance of grants, gifts, loans, sums of money, or other things of value with a value of \$15,000.00 or less, if the acceptance of those items will not incur additional expense to the State or create an ongoing requirement for funds, services, or facilities; or

(ii) a legal settlement.

(B)(i) Notification required. The receiving agency shall promptly notify the Secretary of Administration and Joint Fiscal Office of the source, value, and purpose of any items received under this subdivision; provided, however, that no notification is required for an item received under this subdivision with a value of less than \$1,500.00. 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.

(ii) The Joint Fiscal Office shall report all items received under this subdivision 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.

(5) Transportation. With respect to acceptance of the original of a federal transportation earmark or of a discretionary federal grant for a transportation project, the provisions of subdivision (1) of this subsection shall apply, except that in addition:

(A) notification of the Governor's approval or rejection shall also be made to the Chairs of the House and Senate Committees on Transportation; and

(B) such grant or earmark shall be placed on the agenda, and shall be subject to the approval, of a committee comprising the Joint Fiscal Committee and the Chairs of the House and Senate Committees on Transportation, if one of the Chairs or a member of the Joint Fiscal Committee so requests.

(c) Legislative and Judicial Branch approval.

(1) Approval required. The Legislative and Judicial Branches shall not accept the original of any grant, gift, loan, or any sum of money, or thing of value except as follows:

(A) approval is granted pursuant to the process set forth in subdivision (b)(3) of this section if the item received has a value of \$15,000 or more; and

(B) notification is sent to the Joint Fiscal Committee and the Secretary of Administration of the source, value, and purpose of the item received if the item has a value of \$1,500.00 or more.

(2) Exceptions. The review process set forth in subdivision (b)(2) of this section shall not apply to the approval of any grant, gift, loan, or any sum of money, or thing of value received by the Legislative or Judicial Branches.

(d) Limited service position. The Joint Fiscal Committee is authorized to approve a limited service position request, in conjunction with a grant, if the position is explicitly stated for a specific purpose in the grant, and the position request is approved pursuant to the process set forth in subsection (b) of this section. The position shall terminate with the expiration of the grant funding unless otherwise funded by an act of the General Assembly. A limited service position request shall include a certification from the appointing authority to the Joint Fiscal Committee that there exists equipment and housing for the position or that funds are available to purchase equipment and housing for the position.

(e) Policies. The Joint Fiscal Committee is authorized to adopt policies to implement this section, including a policy on expedited review by the Joint Fiscal Committee when the General Assembly is not in session. (Added 1971, No. 260 (Adj. Sess.), § 29(a); amended 1977, No. 247 (Adj. Sess.), § 186, eff. April 17, 1978; 1983, No. 253 (Adj. Sess.), § 248; 1995, No. 46, § 52; 1995, No. 63, § 277, eff. May 4, 1995; 1995, No. 178 (Adj. Sess.), § 416, eff. May 22, 1996; 1997, No. 2, § 72, eff. Feb. 12, 1997; 1997, No. 66 (Adj. Sess.), § 60, eff. Feb. 20, 1998; 2007, No. 65, § 394; 2009, No. 146 (Adj. Sess.), § B15; 2009, No. 156 (Adj. Sess.), § E.127.2, eff. June 3, 2010; 2013, No. 142 (Adj. Sess.), § 54; 2013, No. 167 (Adj. Sess.), § 17; 2013, No. 179 (Adj. Sess.), § E.342.7; 2017, No. 85, § E.700.)

Reports

Annual Report on Pay Act Allocations

Citation: [3 V.S.A. § 2281](#)

[\[Report Link\]](#)

The Department of Finance and Management is created in the Agency of Administration and is charged with all powers and duties assigned to it by law, including the following:

..*

- (4) To report on an annual basis to the Joint Fiscal Committee at its November meetings on the allocation of funds contained in the annual pay acts and the allocation of funds in the annual appropriations act which relate to those annual pay acts. The report shall include the formula for computing these funds, the basis for the formula, and the distribution of the different funding sources among state agencies. The report shall also be submitted to the members of the House and Senate Committees on Government Operations and Appropriations. 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.

..*

Quarterly report of costs and expenditures for proceedings of the Federal Energy Regulatory Commission

Citation: [30 V.S.A. § 20](#)

[\[Report Link\]](#)

§ 20. PARTICULAR PROCEEDINGS AND ACTIVITIES; PERSONNEL

- (a)(1) The Board or the Department of Public Service may authorize or retain legal counsel, official stenographers, expert witnesses, advisors, temporary employees, and other research, scientific, or engineering services:

..*

- (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;

Small Grants Quarterly Report

32 V.S.A. § 5 as amended by [Sec. E.127.2 of Act 72 of 2019](#)

[\[Report Link\]](#)

- (a) Definitions. As used in this section:

..*

- (4) Exceptions.

- (A) General. The review and approval process set forth in subsection (b) of this section shall not apply to the following items, provided that the acceptance of those items.

- (i) the acceptance of grants, gifts, loans, sums of money, or other things of value with a value of \$15,000.00 or less, if the acceptance of those items will not incur additional expense to the State or create an ongoing requirement for funds, services, or facilities; or

- (ii) a legal settlement.

- (B)(i) Notification required. The receiving agency 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; provided, however, that no notification is required for an item received under this subdivision with a value of less than \$1,500.00. 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.

- (ii) The Joint Fiscal Office shall report all items received under this subdivision 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.

Quarterly report on excess receipts

[32 V.S.A. § 511](#)

[\[Report Link\]](#)

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

- (1) Purpose and identification. Each special fund shall be established for a specific purpose, identified by a unique name, and managed on the State Central Accounting System under the control of the Commissioner with the actual monies held under the authority and responsibility of the State Treasurer.
- (2) Receipts. Each special fund shall consist of receipts specified upon its creation and of transfers from other funds as authorized by the General Assembly or by the Secretary of Administration or the Emergency Board pursuant to section 706 of this title.

* * *

- (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.

Special funds balance and list of funds created

[note: due December 1 annually]

32 V.S.A. § 588

[\[Report Link\]](#)

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

- (1) Purpose and identification. Each special fund shall be established for a specific purpose, identified by a unique name, and managed on the State Central Accounting System under the control of the Commissioner with the actual monies held under the authority and responsibility of the State Treasurer.
- (2) Receipts. Each special fund shall consist of receipts specified upon its creation and of transfers from other funds as authorized by the General Assembly or by the Secretary of Administration or the Emergency Board pursuant to section 706 of this title.

* * *

- (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.

Global Commitment Fund Estimated Fiscal Yearend Report of Managed Care Investments.

33 V.S.A. § 1901e(c)

[\[Report Link\]](#)

- (a) The Global Commitment Fund is created in the Treasury as a special fund. The Fund shall consist of the revenues received by the Treasurer as payment of the actuarially certified premium from the Agency of Human Services to the managed care organization within the Department of Vermont Health Access for the purpose of providing services under the Global Commitment for Health waiver approved by the Centers for Medicare and Medicaid Services under Section 1115 of the Social Security Act.

* * *

- (c) Annually on or before October 1, the agency shall provide a detailed report to the joint fiscal committee which describes the managed care organization's investments under Term and Condition 57 of the Global Commitment for Health Medicaid Section 1115 waiver, including the amount of the investment and the agency or departments authorized to make the investment.

Next Steps for Implementing a Wholesale Prescription Drug Importation Program

[Sec. E.300.7 of Act 72 \(H.542\) of 2019](#)

[\[Report Link\]](#)

- (a) The Agency of Human Services shall consult with the National Academy for State Health Policy (NASHP) and with states pursuing or interested in pursuing a wholesale prescription drug importation program to identify opportunities to coordinate and work collaboratively in these efforts. On or before October 1, 2019, the Agency shall provide an update on its progress in obtaining federal approval for a wholesale prescription drug importation program pursuant to 18 V.S.A. § 4653, including the results of its consultations with NASHP and with other states, to the House Committees on Appropriations, on Health Care, and on Ways and Means; the Senate Committees on Appropriations, on Health and Welfare, and on Finance; and the Joint Fiscal Committee.
- (b) The Board of Pharmacy in the Office of Professional Regulation, in consultation with the Agency of Human Services, shall explore whether any new prescription drug wholesaler license categories would be necessary in order to operate a wholesale prescription drug importation program in this State. On or before January 15, 2020, the Board shall provide its findings and recommendations with respect to new prescription drug wholesaler license categories to the House Committees on Government Operations and on Health Care and the Senate Committees on Government Operations and on Health and Welfare.

UNIVERSITY OF VERMONT AND VERMONT STATE COLLEGES SYSTEM EFFICIENCIES AND IMPROVED RETENTION AND GRADUATION RATES

[Sec. E.300.7 of Act 72 \(H.542\) of 2019](#)

[\[Report Link\]](#)

- (a) The University of Vermont (UVM) and the Vermont State Colleges System (VSCS) shall:
- (1) collaborate to identify cost efficiencies that would benefit both institutions. Such efficiencies may include costs related to employee health care benefits, purchasing, and the processing of accounts payable, accounts receivable, and payroll; and
 - (2) collaborate to implement strategies to increase retention and graduation rates at the University of Vermont and each of the colleges in the VSCS.

(b) UVM and the VSCS shall submit an interim report to the Senate and House Committees on Appropriations and the Senate and House Committees on Education on or before October 15, 2019. This report shall include:

- (1) preliminary recommendations for efficiencies that should be pursued;
- (2) the estimated amount of annual savings;
- (3) any one-time funds needed to implement the efficiencies;
- (4) any further efficiencies that should be explored; and
- (5) preliminary recommendations regarding strategies to increase retention and graduation rates.

(c) If the interim report is not submitted or when submitted does not include any recommendations pursuant to subdivisions (b)(1) and (b)(5) of this section, a new working group shall immediately be created as defined in Sec.E.603.2 of this act.

Other Information

[Vermont State Teachers Retirement System – Letter to the Governor](#)

[16 V.S.A. § 1942\(r\)](#)

[Vermont State Employees Retirement System – Letter to the Governor](#)



State of Vermont
Department of Taxes
133 State Street
Montpelier, VT 05633-1401

Agency of Administration

TO: The Joint Fiscal Committee

FROM: Craig Bolio, Acting Commissioner, Department of Taxes

DATE: November 1, 2019

SUBJECT: Annual Report on the Tax Computer System Modernization Fund (CMF)

CC: Adam Greshin

The Tax Computer Modernization Fund (CMF) was created in 2007 to establish a funding mechanism to modernize the old IT systems (legacy systems) used by the Department of Taxes (Tax). The fund is replenished by “benefits” of the VTax system – enhanced collection and compliance activity above what the legacy systems produced.

Tax is now administering all its tax types through the VTax system. We have established a VTax support team that includes tax subject matter experts, state developers, and vendor (FAST Enterprises) developers. The support team continues to improve the system and update it, installing two main software patches per year, and making dozens of smaller ad-hoc improvements each quarter. We will begin a full version upgrade next year.

In FY19, the VTax system created \$14.95 million in measurable benefits, and \$6.59 million of those benefits were allocated to the General, Education, and various special funds. Last legislative session, Tax proposed, and the legislature passed, a reduction to the retainage percentage. Tax originally proposed a reduction from 80% of incremental receipts to 40% of incremental receipts, and the legislature ultimately passed a reduction to 30% of incremental receipts. In addition, the fund used to retain 100% of the incremental receipts and then ‘give back’ funds over the original 80% retainage figure at the end of each fiscal year. Coupled with the reduction in the retainage percentage, last year’s legislation removed the end of fiscal year give back, and the CMF now retains only the correct percentage of incremental receipts.

Tax envisioned being able to offer future reductions to the retainage percentage in subsequent legislative sessions, and therefore Tax will propose an additional decrease to the retainage this upcoming session. A final proposal will be available with the Governor’s recommended budget.





State of Vermont
Department of Taxes
 133 State Street
 Montpelier, VT 05633-1401

Agency of Administration

Tax continues to use the CMF spending authority to pay for a variety of IT-related expenses:

- A portion of the annual VTax maintenance
 - Approximately 1/3 of the \$1.85m annual VTax maintenance costs are paid from the CMF
- Upcoming implementation costs for the Integrated Property Tax Management System (IPTMS)
 - In February, Tax issued an RFP for this project, and is currently reviewing the proposals. This project will modernize the computer system that manages the statewide Grand List to facilitate the state's receipt of more than \$1 billion in education property taxes. Tax is working closely with the Agency of Digital Services and municipal stakeholders to ensure success on this project.
- Chainbridge economic microsimulation software
 - Tax and JFO incur expenses for purchasing various database updates and modeling options for economic simulation/modeling software. This year, the state purchased an additional module at the request of JFO to help forecasting efforts.
- Implementation costs of various tax changes and new collections
 - Over the past two sessions, Tax has been tasked with collection of abandoned bottle deposits and an expansion to the universal service fee. Tax has used the CMF to pay for the IT costs to program VTax.
- Implementation and maintenance costs related to the scanner upgrade project

Maintaining the CMF and allowing the Tax Department to utilize the funds responsibly will ensure that Tax continues to have a reliable and efficient revenue collection infrastructure.





STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee members
From: Daniel Dickerson, Fiscal Analyst *DD*
Date: October 29, 2019
Subject: Grant Request – JFO #2979

Enclosed please find one (1) item, which the Joint Fiscal Office has received from the Administration.

JFO #2979 – \$440,955 from the U.S. Centers for Disease Control and Prevention (CDC) to the VT Dept. of Health (VDH). The Department will utilize the funding to conduct a three-year study of emergency department visits related to nonfatal self-inflicted injuries. VDH will analyze this data and disseminate trends to key stakeholders in order to aid the development of targeted suicide prevention strategies. Successes in utilizing the data to prevent suicides and suicidal behavior will be communicated by VDH to State and Federal partners for development of best practices. ***VDH is requesting one (1) limited-service position***, titled Public Health Analyst II, to carry out the grant activities. Of the total grant funding, VDH is seeking \$146,985 in spending authority for FY20, with the remainder of grant funds to be included in future departmental budget requests.

[JFO received 10/23/19]

Please review the enclosed materials and notify the Joint Fiscal Office (Daniel Dickerson at (802) 828-2472; ddickerson@leg.state.vt.us) if you have questions or would like an item held for legislative review. Unless we hear from you to the contrary by November 12, 2019 we will assume that you agree to consider as final the Governor's acceptance of these requests.



JFO 2979

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

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

RECEIVED

Agency of Administration

OCT 23 2019

JOINT FISCAL OFFICE

STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

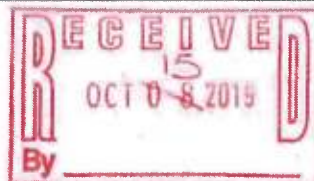
Grant Summary:		The objective of this three-year project is improved monitoring of the frequency, methods and outcomes of suicide attempts and use of the resulting data to inform suicide prevention efforts. The project abstract is attached.			
Date:		24 September 2019 October 15, 2019			
Department:		Agency of Human Services – Department of Health			
Legal Title of Grant:		Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes (ED-SNSRO)			
Federal Catalog #:		93.136			
Grant/Donor Name and Address:		Department of Health and Human Services Centers for Disease Control and Prevention Office of Financial Resources 2920 Brandywine Road, Atlanta, GA 30341			
Project Period:		From:	9/1/2019	To:	8/31/2022
Grant/Donation		\$146,985 for 3 years for a total of \$440,955			
	SFY 1	SFY 2	SFY 3	Total	Comments
Grant Amount	\$146,985	\$146,985	\$146,985	\$440,955	NOA total matches budget. Department can request changes to line items (ie. Direct costs) after approval to better align with the budget.
Position Information		# Positions	Explanations/Comments		
		1	Public Health Analyst II		

Department of Finance & Management		(Initial)
Secretary of Administration		(Initial)
Sent to Joint Fiscal Office	10/23/19	Date



STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

BASIC GRANT INFORMATION				
1. Agency:		Agency of Human Services		
2. Department:		Health		
3. Program:		Health Surveillance		
4. Legal Title of Grant:		Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes		
5. Federal Catalog #:		93.136		
6. Grant/Donor Name and Address: Department of Health & Human Services, Centers for Disease Control & Prevention				
7. Project Period:		From: 9/1/2019	To: 8/31/2022	
8. Purpose of Grant: See attached summary.				
9. Impact on existing program if grant is not Accepted: None				
10. BUDGET INFORMATION				
	SFY 1 FY 20	SFY 2 FY 21	SFY 3 FY 22	Comments
Expenditures:				
Personal Services	\$143,329	\$143,329	\$143,329	
Operating Expenses	\$3,656	\$3,656	\$3,656	
Grants	\$0	\$0	\$0	
Total	\$146,985	\$146,985	\$146,985	
Revenues:				
State Funds:	\$0	\$0	\$0	
Cash	\$0	\$0	\$0	
In-Kind	\$0	\$0	\$0	
Federal Funds:	\$146,985	\$146,985	\$146,985	
(Direct Costs)	\$102,020	\$102,020	\$102,020	
(Statewide Indirect)	\$2,698	\$2,698	\$2,698	
(Departmental Indirect)	\$42,267	\$42,267	\$42,267	
Other Funds:	\$0	\$0	\$0	
Grant (source)	\$0	\$0	\$0	
Total	\$146,985	\$146,985	\$146,985	
Appropriation No:		Amount:	\$	
	3420010000		\$21,134	
	3420021000		\$125,851	
			\$	
			\$	
			\$	
			\$	
		Total	\$146,985	



STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

PERSONAL SERVICE INFORMATION


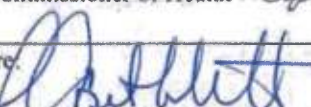
11. Will monies from this grant be used to fund one or more Personal Service Contracts? ☐ Yes ☒ No
If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

Appointing Authority Name: Mark Levine, Commissioner of Health

12. Limited Service Position Information:	# Positions	Title
	1	Public Health Analyst II
Total Positions	1	

12a. Equipment and space for these positions: ☒ Is presently available. ☐ Can be obtained with available funds.

13. AUTHORIZATION AGENCY/DEPARTMENT

I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable):	Signature: 	Date: SEP 20 2019
	Title: Commissioner of Health - Deputy	
	Signature: 	Date: 9/27/19
	Title: Intermittent Deputy Secretary - AHS	

14. SECRETARY OF ADMINISTRATION

<input type="checkbox"/> Approved:	(Secretary or designee signature)	Date:
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15. ACTION BY GOVERNOR

<input checked="" type="checkbox"/> Check One Box: Accepted	(Governor's signature)	Date: 10/22/19
<input type="checkbox"/> Rejected		

16. DOCUMENTATION REQUIRED

Required GRANT Documentation	
<input checked="" type="checkbox"/> Request Memo <input type="checkbox"/> Dept. project approval (if applicable) <input checked="" type="checkbox"/> Notice of Award <input type="checkbox"/> Grant Agreement <input checked="" type="checkbox"/> Grant Budget	<input type="checkbox"/> Notice of Donation (if any) <input type="checkbox"/> Grant (Project) Timeline (if applicable) <input type="checkbox"/> Request for Extension (if applicable) <input type="checkbox"/> Form AA-1PN attached (if applicable)

End Form AA-1

(*) The term "grant" refers to any grant, gift, loan, or any sum of money or thing of value to be accepted by any agency, department, commission, board, or other part of state government (see 32 V.S.A. §5).

10/26/19

1. DATE ISSUED MM/DD/YYYY 08/16/2019 1a. SUPERSEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

2. CFDA NO. 93.136 - Injury Prevention and Control Research and State and Community Based Programs

3. ASSISTANCE TYPE Cooperative Agreement

4. GRANT NO. 1 NU17CE010014-01-00 Formerly

5. TYPE OF AWARD Other

4a. FAIR NU17CE010014

5a. ACTION TYPE New

6. PROJECT PERIOD MM/DD/YYYY From 09/01/2019

Through 08/31/2022

7. BUDGET PERIOD MM/DD/YYYY From 09/01/2019

Through 08/31/2020

8. TITLE OF PROJECT (OR PROGRAM) Vermont Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Disease Control and Prevention
CDC Office of Financial Resources

2939 Brandywine Road
Atlanta, GA 30341

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)
Section 392(a)(1) of the Public Health Service Act, as amended [42 USC 280b-0(a)(1)]

9a. GRANTEE NAME AND ADDRESS
Human Services, Vermont Agency Of
280 State Dr
Waterbury, VT 05671-9501

9b. GRANTEE PROJECT DIRECTOR
Ms. Jennifer Hicks
280 State Dr
Health Surveillance
Waterbury, VT 05671-9501
Phone: 802-863-7264

10a. GRANTEE AUTHORIZING OFFICIAL
Mr. Bryan O'Connor
280 STATE DR
WATERBURY, VT 05671-9501
Phone: 802-863-7384

10b. FEDERAL PROJECT OFFICER
Apreal Bailey
1600 Clifton Rd
Atlanta, GA 30333
Phone: 4044986669

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)

I Financial Assistance from the Federal Awarding Agency Only

II Total project costs including grant funds and all other financial participation

a. Salaries and Wages	90,844.00
b. Fringe Benefits	27,253.00
c. Total Personnel Costs	118,097.00
d. Equipment	0.00
e. Supplies	1,500.00
f. Travel	2,456.00
g. Construction	0.00
h. Other	4,038.00
i. Contractual	0.00
j. TOTAL DIRECT COSTS	128,091.00
k. INDIRECT COSTS	20,894.00
l. TOTAL APPROVED BUDGET	146,985.00
m. Federal Share	146,985.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from Item 11m)	146,985.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	146,985.00
13. Total Federal Funds Awarded to Date for Project Period	146,985.00

14. RECOMMENDED FUTURE SUPPORT

(Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2	146,985.00	d. 5	
b. 3	146,985.00	e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

- a. DEDUCTION
b. ADDITIONAL COSTS
c. MATCHING
d. OTHER RESEARCH (Add / Deduct Option)
e. OTHER (See REMARKS)

b

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDOING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:

- a. The grant program legislation
b. The grant program regulations
c. This award notice including terms and conditions, if any, noted below under REMARKS
d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached -

☒ Yes

☐ No)

GRANTS MANAGEMENT OFFICIAL:

Barbara (Rene) Benyard, Grants Management Officer, Team Lead
2939 Flowers Road
Mailstop TV2
Atlanta, GA 30341-5509
Phone: 770.488.2757

17. OBJ CLASS 41.51	18a. VENDOR CODE 1036000284E7	18b. EIN 036000264	19. DUNS 809378155	20. CONG. DIST. 00
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. 9-9390BZQ	b. 19NU17CE010014OPCE	c. CE	d. \$146,985.00	e. 75-19-0852
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

STATE OF VERMONT REQUEST FOR GRANT (*) ACCEPTANCE (Form AA-1)

Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes CDC-RFA-CE19-1906

Project Abstract Summary

In 2018, Vermont hospitals had more than 4000 emergency department visits due to self-directed violence and in 2017 111 Vermont lives were lost due to Suicide. While the total number of emergency department visits and suicide deaths in Vermont may be small compared to more populous states, over the past decade Vermont has consistently had higher rates of suicide related morbidity and mortality compared to the US. The Vermont Department of Health (VDH) is applying to participate in the Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes (ED-SNSRO) Pilot with the goal of reducing suicide related outcomes in Vermont through the distribution of timely syndromic surveillance data.

Purpose: The purpose of the Vermont Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes (VT ED-SNSRO) would be to analyze, validate and disseminate timely and accurate self-directed violence syndromic surveillance data. Data collected from Vermont emergency departments through the Electronic Surveillance System for Early Notification of Community-based Epidemics (ESSENCE) will be analyzed by state, sub-state, and demographic levels, mapped, and distributed quarterly for the purposes of targeting self-directed and suicide prevention activities.

Outcomes: To produce timely information on trends in nonfatal suicide-related outcomes and distribute the information to key stakeholders through reports, maps and regular meetings. Stakeholders will use the provided syndromic surveillance data to target suicide prevention activities to populations and demographics in Vermont experiencing higher rates of self-directed morbidity. Finally, successful use of self-directed violence syndromic surveillance data will be captured and shared within the state and with national partners so that best practices are widely available.

Activities: VDH will engage in two primary strategies to achieve the timely analysis and dissemination of self-directed violence syndromic surveillance data. These strategies include accessing ESSENCE to improve timeliness of self-directed violence data to by tracking and producing quarterly and alert-based reporting on aggregate suicide-related outcomes; and disseminating suicide-related outcome findings to Vermont's stakeholders positioned to implement or adjust suicide prevention strategies based on the syndromic surveillance findings.

VDH foresees no barriers in successful implementation of VT ED-SNSRO. The injury epidemiology unit and ESSENCE are co-located within VDH, Health Surveillance. As a result, access to data and collaboration on quality improvement are straightforward. The readiness of suicide prevention organizations and workgroups provide an idea structure for data dissemination and data-driven prevention activities. Additionally, the proposed staff for this grant opportunity are experienced in analyzing and distributing timely ESSENCE data for injury-related surveillance.

Response to NOFO#: CDC-RFA-CE19-1906

**Vermont's Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes
(VT ED-SNSRO) REVISED Budget Narrative – as of September 2019**

The State of Vermont requests a total of \$146,985 for the budget period September 1, 2019 through August 31, 2020. This funding request includes monies to support a Public Health Analyst and the Syndromic Surveillance Coordinator. Below is more specific justification for the budget monies requested.

Year 1 Budget Period September 1, 2019 – August 31, 2020:

The State of Vermont requests a total of \$146,985 for the budget period September 1, 2019 through August 31, 2020. This funding request includes monies for a full-time Public Health Analyst II (PHA II, the Program Manager) who will also be responsible for GIS analysis of the data and 0.16 FTE funding toward the Syndromic Surveillance Coordinator who manages the ESSENCE data. The budget also includes funding for the purchase of one computer for the full-time analyst. VDH will provide the other statistical software licensing and other incidentals. Below is the specific justification for the funds requested.

- A. *Personnel (Salaries and Wages) (\$70,260):*** Money is requested to fund the VT ED-SNSRO Program Manager (1.0 FTE, PHA II) and for the Syndromic Surveillance Coordinator (0.16 FTE). The Program Manager will serve as the supervisor of day-to-day operations for the VT ED-SNSRO, tracking the main indicators, validating the definitions, collating the data for the CDC, developing the data dissemination plan, sharing data with suicide prevention stakeholders in VT, providing TA to partners on utilizing data to improve programs, produce data products and disseminate data. The Syndromic Surveillance Coordinator will manage VT's ESSENCE data and provide the Program Manager with the data necessary to complete the work of this agreement.

[NOTE: The Syndromic Surveillance Program was offered the full \$75,000 required by the NOFO and declined the full amount due to multiple current and upcoming funding sources being available to support the Syndromic Surveillance Staff.]

Position Title and Name: Public Health Analyst II, TBD (Program Manager)

Annual Salary	\$60,195
Time	1.0 FTE (100%)
Months:	12 Months
Amount Requested	\$60,195

Position Title and Name: Syndromic Surveillance Coordinator, Veronica Fialkowski

Annual Salary:	\$61,298
Time	0.16 FTE (16%)
Months:	12 Months
Amount Requested:	\$10,065

These two positions will be responsible for all work related to the VT ED-SNSRO.

B. Fringe Benefits (\$28,104): The State of Vermont uses a 40% rate to calculate fringe. This translates into \$28,104 based on the salary noted above.

C. Consultant Costs: Not applicable.

D. Equipment: Not applicable.

E. Supplies (\$1,200): Money is requested to purchase one new computer.

F: Travel (\$2,456): As per the NOFO requirements, money is requested for the Program Manager and the Syndromic Surveillance Coordinator to attend the required meeting or reverse site visit. Costs to travel for this are estimated at \$1,228 per person (Airfare (\$550), Lodging (\$450, 3 nights @ \$150/night), Per Diem (\$128, 4 days @ \$32/day), Ground Transport (\$100).

G. Other: Not Applicable.

H. Contractual Costs: Not Applicable.

Total Direct Costs (sum of A-H): \$102,020

J. Indirect Costs (\$44,965): The Vermont Department of Health uses a Cost Allocation Plan, not an indirect rate. The Vermont Department of Health is a department of the Vermont Agency of Human Services, a public assistance agency, which uses a Cost Allocation Plan in lieu of an indirect rate agreement as authorized by OMB Circular A-87, Attachment D. This Cost Allocation Plan was approved by the US Department of Health and Human Services effective October 1, 1987. A copy of the most recent approval letter is attached. The Cost Allocation Plan summarizes actual, allowable costs incurred in the operation of the program. These costs include items which are often shown as direct costs, such as telephone and general office supply expenses, as well as items which are often included in an indirect rate, such as the cost of office space and administrative salaries. These costs are allocated to the program based on the salaries and wages paid in the program. Because these are actual costs, unlike an Indirect Cost Rate, these costs will vary from quarter to quarter and cannot be fixed as a rate. Based on costs allocated to similar programs during recent quarters, we would currently estimate these allocated costs at 64% of the direct salary line item, yielding a total cost of \$44,965 for the period.

Budget Summary:	Total
A. Salaries and Wages	\$70,260
B. Fringe Benefits	\$28,104
C. Consultant Costs	
D. Equipment	
E. Supplies	\$1,200
F. Travel to Meeting/RSV	\$2,456
G. Other – SAS license, etc.	
H. Contractual Costs	
I. Total Direct Costs (sum A-H)	\$102,020
j. Indirect Costs	\$44,965
k. TOTAL (sum of i and j)	\$146,985

STATE OF VERMONT
Joint Fiscal Committee Review
Limited Service - Grant Funded
Position Request Form

This form is to be used by agencies and departments when additional grant funded positions are being requested. Review and approval by the Department of Human Resources must be obtained prior to review by the Department of Finance and Management. The Department of Finance will forward requests to the Joint Fiscal Office for JFC review. A Request for Classification Review Form (RFR) and an updated organizational chart showing to whom the new position(s) would report must be attached to this form. Please attach additional pages as necessary to provide enough detail.

Agency/Department: Agency of Human Services -- Department of Health Date: August 21, 2019

Name and Phone (of the person completing this request): Paul Daley, 802-863-7284

Request is for:

- ☒ Positions funded and attached to a new grant.
☐ Positions funded and attached to an existing grant approved by JFO # _____

1. Name of Granting Agency, Title of Grant, Grant Funding Detail (attach grant documents):

Centers for Disease Control and Prevention, National Center for Injury Prevention and Control
Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes, State of Vermont

2. List below titles, number of positions in each title, program area, and limited service end date (information should be based on grant award and should match information provided on the RFR) position(s) will be established only after JFC final approval:

Title* of Position(s) Requested # of Positions Division/Program Grant Funding Period/Anticipated End Date

Public Health Analyst II, 1, Health Surveillance/Public Health Statistics, 9/1/2019 - 8/31/2022

*Final determination of title and pay grade to be made by the Department of Human Resources Classification Division upon submission and review of Request for Classification Review.

3. Justification for this request as an essential grant program need:

This grant requires data analysis, case definition development and data dissemination on suicide-related emergency department (ED) visits in Vermont. The grant requires timely analysis and reporting at the county level each quarter. VDH does not currently have analysts available to complete the extensive level of data analysis and data product creation required for quickly sharing data with suicide prevention partners for responsive action in areas and populations experiencing high rates of suicide-related ED visits. This PHAII position will enable these statistically advanced grant activities to be completed in compliance with the grant's requirements and time-line.

I certify that this information is correct and that necessary funding, space and equipment for the above position(s) are available (required by 32 VSA Sec. 5(b)).

Signature of Agency or Department Head

Date

AUG 29 2019
8/27/19

Approved/Denied by Department of Human Resources

Date

10/10/19

Approved/Denied by Finance and Management

Date

10/14/19

Approved/Denied by Secretary of Administration

Date

10/14/19

Approved/Denied by Governor (required as amended by 2019 Leg. Session)

Date

10/22/19

Comments:



DHR - 08/12/2019

10/26/19

Request for Classification Action
New or Vacant Positions
EXISTING Job Class/Title ONLY
Position Description Form C/Notice of Action
For Department of Personnel Use Only

Notice of Action # _____		Date Received (Stamp)
Action Taken: _____		
New Job Title _____		
Current Class Code _____	New Class Code _____	
Current Pay Grade _____	New Pay Grade _____	
Current Mgt Level _____ B/U _____ OT Cat. _____ EEO Cat. _____ FLSA _____		
New Mgt Level _____ B/U _____ OT Cat. _____ EEO Cat. _____ FLSA _____		
Classification Analyst _____	Date _____	Effective Date: _____
Comments: _____		Date Processed: _____
Willis Rating/Components: _____	Knowledge & Skills: _____	Mental Demands: _____ Accountability: _____
	Working Conditions: _____	Total: _____

Position Information:

Incumbent: **Vacant or New Position**

Position Number: Current Job/Class Title: Public Health Analyst III

Agency/Department/Unit: Human Services/Health/Health Surveillance/Public Health Statistics/REE

GUC: 74306

Pay Group: W40 Work Station: Burlington Zip Code: 05401

Position Type: ☐ Permanent ☒ Limited Service (end date) 08/31/2022

Funding Source: ☐ Core ☒ Sponsored ☐ Partnership. For Partnership positions provide the funding breakdown (% General Fund, % Federal, etc.)

Supervisor's Name, Title and Phone Number: Mallory Staskus, Public Health Analyst III, 802-651-1516

Check the type of request (new or vacant position) and complete the appropriate section.

☒ **New Position(s):**

- REQUIRED: Allocation requested: Existing Class Code 027200 Existing Job/Class Title: Public Health Analyst III
- Position authorized by: _____

- ☐ Joint Fiscal Office – JFO # Approval Date:
- ☐ Legislature – Provide statutory citation (e.g. Act XX, Section XXX(x), XXXX session)
- ☐ Other (explain) -- Provide statutory citation if appropriate.

☐ **Vacant Position:**

- a. Position Number:
- b. Date position became vacant:
- c. Current Job/Class Code: Current Job/Class Title:
- d. REQUIRED: Requested (existing) Job/Class Code: Requested (existing) Job/Class Title:
- e. Are there any other changes to this position; for example: change of supervisor, GUC, work station? Yes ☐ No ☐ If Yes, please provide detailed information:

For All Requests:

1. List the anticipated job duties and expectations; include all major job duties: Assess data related to non-fatal suicide related outcomes utilizing syndromic surveillance emergency department data (ESSENCE). Provide suicide prevention partners and communities with timely, location specific non-fatal suicide related outcome data reports and maps. Develop case definitions and methodology for tracking suicide related emergency department visits and reporting quarterly to the CDC and VT suicide prevention partners per the grant required activities. Identify, create and disseminate data products to be used by statewide and local suicide prevention partners to make targeted and timely prevention actions. Utilize known data sources, statistical and epidemiological methods for validation of definitions and case identification. Share key findings through meetings, presentations, reports and data briefs to key stakeholders and organizations working to prevent suicide. Participate in monthly grant required calls, associated webinars and complete other tasks as required.

2. Provide a brief justification/explanation of this request: VDH/HS was recently awarded the CDC grant Vermont's Emergency Department Surveillance of Nonfatal Suicide-Related Outcomes to collect and disseminate nonfatal suicide related surveillance data to improve planning, implementation and evaluation of suicide prevention programs. The work necessary under this grant can not be undertaken by current staff, in addition to their regular duties. Currently, VDH does not have an analyst that can produce the data needed to accomplish the work of this grant. The work required by the new grant is statistically advanced and requires the attention of a PHA II.

3. If the position will be supervisory, please list the names and titles of all classified employees reporting to this position (this information should be identified on the organizational chart as well). N/A

Personnel Administrator's Section:

4. If the requested class title is part of a job series or career ladder, will the position be recruited at different levels? Yes ☐ No ☒

5. The name and title of the person who completed this form: Mallory Staskus, Public Health Analyst II

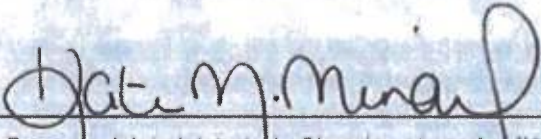
6. Who should be contacted if there are questions about this position (provide name and phone number):
Mallory Staskus, 802-651-1516

7. How many other positions are allocated to the requested class title in the department:

8. Will this change (new position added/change to vacant position) affect other positions within the organization? (For example, will this have an impact on the supervisor's management level designation; will duties be shifted within the unit requiring review of other positions; or are there other issues relevant to the classification process.) No

Attachments:

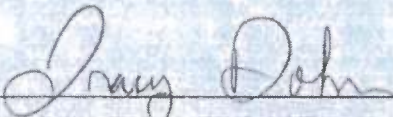
- ☒ Organizational charts are **required** and must indicate where the position reports.
- ☐ Class specification (optional).
- ☒ For new positions, include copies of the language authorizing the position, or any other information that would help us better understand the program, the need for the position, etc.
- ☐ Other supporting documentation such as memos regarding department reorganization, or further explanation regarding the need to reallocate a vacancy (if appropriate).


Personnel Administrator's Signature (required)*

8/21/19
Date


Supervisor's Signature (required)*

8/19/19
Date

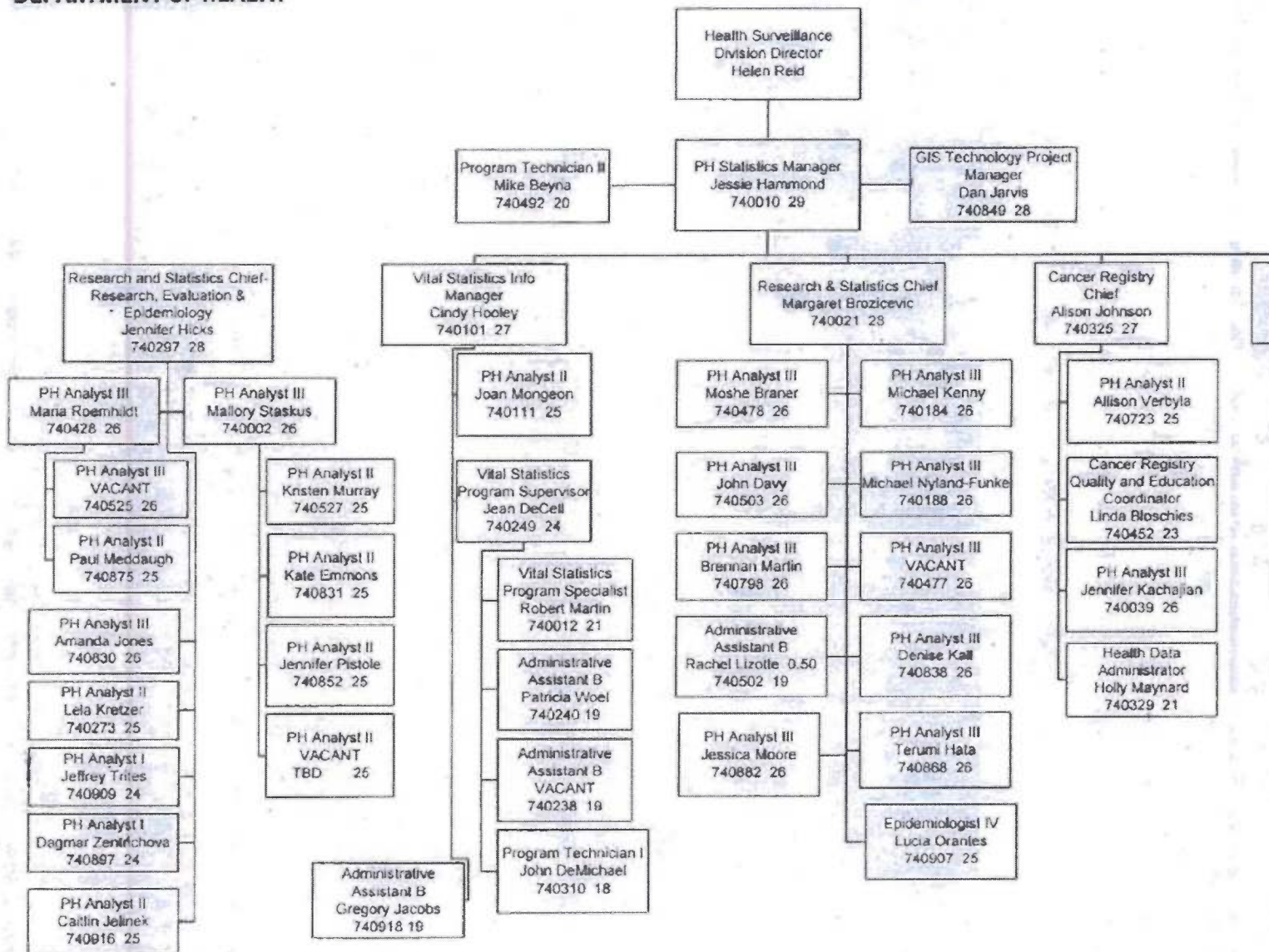


Appointing Authority or Authorized Representative Signature (required)*

AUG 29 2019

Date

* Note: Attach additional information or comments if appropriate.



APPROVED

[Signature]
Secretary of Administration

Date 10/24/19

Agency of Natural Resources
Department of Environmental Conservation

Waste Management & Prevention Division
One National Life – Davis 1
Montpelier, VT 05620-3704
(802) 828-1138

MEMORANDUM

To: Susanne Young, Secretary, Agency of Administration

Through: Julie Moore, Secretary, Agency of Natural Resources
Emily Boedecker, Commissioner, Department of Environmental Conservation *[Signature]* *ELB*

From: Chuck Schwer, Director, Waste Management & Prevention Division

Date: October 10, 2019

Subject: Expenditures from the Environmental Contingency Fund for the Elmwood Avenue site in Burlington, Vermont (Site #2017-4734)

The Agency of Natural Resources (Agency) requests to appear before the Joint Fiscal Committee of the General Assembly to discuss expenditures from the Environmental Contingency Fund (ECF) on the Elmwood Avenue site in Burlington. In this appearance the Agency requests:

Approval to spend over the \$100,000 caps for subdivision (b)(2) (investigations) and subdivision (b)(3) (removal action). The details of this request are more fully explained below.

The current balance in the ECF is \$6,792,224, however there are \$1,029,246 committed through encumbrances which leaves an available balance of \$5,762,978.

Site Background

In August 2017, soil vapor contamination was discovered at a property on Elmwood Avenue, located in the Old North End of Burlington. Subsequent soil vapor testing in the area, including a preliminary assessment/site investigation (PA/SI) by EPA in August 2018, concluded that the highest concentrations of perchloroethylene (PCE) and trichloroethylene (TCE) were present under the roadway along Elmwood Ave and most likely from an industrial discharge that was released from the City of Burlington waste water sewer line. An inspection of the sewer line by the City concluded that there was a sag and multiple breaches in the line in the area where the highest concentrations of PCE and TCE were detected, supporting the hypothesis that contamination was discharged to the sewer system and released to the environment from breaches in the line. The EPA PA/SI also concluded that 230 Elmwood Ave (a former machine shop) and/or 222 Elmwood Ave (a former drycleaner) were the most likely sources of the PCE and TCE due to the elevated levels of these contaminants detected below each of the buildings. Additionally, the sewer connections from each of these properties are located upgradient of the contamination hot spot. PCE was known to be used by the dry-cleaning operation, Gadue's Dry Cleaning (formerly Lennie's Dry Cleaning) located at 222 Elmwood for nearly 40 years. PCE and TCE are known human carcinogens and one exposure pathway to these chemicals is through the volatilization of these

chemicals from the subsurface into indoor air resulting in an inhalation risk. This risk is currently occurring at fourteen homes in this area.

Additional testing in the study area included sampling soil vapor and indoor air at nearby residential properties and a school, the Integrated Arts Academy, at the north end of Elmwood Ave. Samples identified fourteen residential buildings that had impacts to indoor air exceeding indoor air standards requiring an evaluation of mitigation strategies. Each of the impacted homes needs to have a mitigation system installed to address indoor impacts from PCE and TCE. In conjunction with this response action, the Agency plans to conduct a remedial action to determine whether excavation of PCE and TCE contamination from the street is necessary. The Agency has identified responsible parties with respect to these releases and they have declined to conduct the necessary removal and remedial activities and as a result the Agency is planning to take the lead using the Contingency Fund (10 V.S.A. § 1283) and has referred this matter to the Attorney General to initiate a cost recovery against the PRPs to recover costs expended from the Contingency Fund.

Request for Joint Fiscal Committee Approval.

The funds spent at this site have been allocated to the following categories, as indicated in 10 V.S.A. §1283, as follows:

- 10 V.S.A. § (b)(2) To investigate an actual or threatened release to the environment of any pollutant or contaminant which may present an imminent and substantial danger to the public health and welfare or to the environment. The secretary may use this fund for those investigations necessary to: (A) determine the magnitude and extent of the existing and potential public exposure and risk and environmental damage; (B) determine appropriate remedial action to prevent or minimize the impact of such release; or (C) to prescribe other environmentally sound measures to protect the long-range public health and welfare or to ensure environmental protection, or to prescribe additional investigations to determine same:

The Agency has spent \$86,645 to investigate impacts to the school and residential properties in the study area and to evaluate appropriate mitigation strategies in each of the identified impacted homes (the removal action).. Additional investigation is required to characterize the degree and extent of contamination in the environment so that we can determine whether the excavation of contaminated media (or some other removal action) is needed and develop a cost estimate to perform this work (the remedial action). The Agency requests approval to spend above the allowable \$100,000 under this subdivision to complete the necessary investigation and cost-estimation with respect to the remedial action. The Agency is requesting an increase to this cap to \$150,000.00.

- 10 V.S.A. § (b)(3) to take appropriate removal action to prevent or minimize the immediate impact of such releases to the public health and the environment:

The Agency expects to receive an estimate shortly with respect to the costs associated with implementation of the removal action. Installation of mitigation systems is a step that the Agency needs to take immediately and is concerned with respect to continued exposure over the winter months where there isn't the ability to adequately ventilate the house. The Agency requests approval to spend above the allowable \$100,000 under this subdivision. There are 14 residences that are potentially affected by the contamination and we estimate that the removal action will cost \$150,000.

- 10 V.S.A. § (b)(4) to take appropriate remedial action;

The Agency has not currently spent any funds under this subdivision and is not asking for funds with respect to a remedial action as a part of this request. We wanted to note this because the likely cost of a remedial system for this site will require the approval of the \$100,000 cap under this subdivision. In order for the Agency to provide the Legislature with an accurate estimate of what these costs will be, we are required to perform additional investigation activities requested above.

Cc: Richard Donahey, Director Budget & Management, Department of Finance & Management
Michael Middleman, Budget Analyst, Department of Finance & Management
Emily Byrne, ANR Director of Finance & Administration
Joanna Pallito, DEC Administration & Innovation Division
Tracy LaFrance, DEC Finance Director

VERMONT **GENERAL ASSEMBLY****The Vermont Statutes Online****Title 10 : Conservation And Development****Chapter 047 : Water Pollution Control****Subchapter 001 : Water Pollution Control**

(Cite as: 10 V.S.A. § 1283)

§ 1283. Contingency Fund

(a) The Environmental Contingency Fund is established within the control of the Secretary. Subject to the limitations contained in subsection (b) of this section, disbursements from the Fund may be made by the Secretary to undertake actions that the Secretary considers necessary to investigate or mitigate, or both, the effects of hazardous material releases to the environment.

(b) Disbursements under this subsection may be made for emergency purposes or to respond to other than emergency situations; provided, however, that disbursements in response to an individual situation that is not an emergency situation shall not exceed \$100,000.00 for costs attributable to each of the subdivisions of this subsection, unless the Secretary has received the approval of the General Assembly, or the Joint Fiscal Committee, in case the General Assembly is not in session. Furthermore, the balance in the Fund shall not be drawn below the amount of \$100,000.00, except in emergency situations. If the balance of the Fund becomes insufficient to allow a proper response to one or more emergencies that have occurred, the Secretary shall appear before the Emergency Board, as soon as possible, and shall request that necessary funds be provided. Within these limitations, disbursements from the Fund may be made:

(1) to initiate spill control procedures, removal actions, and remedial actions to clean up spills of hazardous materials where the discharging party is unknown, cannot be contacted, is unwilling to take action, or does not take timely action that the Secretary considers necessary to mitigate the effects of the spill;

(2) to investigate an actual or threatened release to the environment of any pollutant or contaminant that may present an imminent and substantial danger to the public health and welfare or to the environment. The Secretary may use this Fund for those investigations necessary to:

(A) determine the magnitude and extent of the existing and potential

public exposure and risk and environmental damage;

(B) determine appropriate remedial action to prevent or minimize the impact of such releases; or

(C) to prescribe other environmentally sound measures to protect the long-range public health and welfare or to ensure environmental protection, or to prescribe additional investigations to determine same;

(3) to take appropriate removal action to prevent or minimize the immediate impact of such releases to the public health and the environment;

(4) to take appropriate remedial action;

(5) to reimburse private persons or municipalities for expenditures made to provide alternative water supplies or to take other emergency measures deemed necessary by the Secretary, in consultation with the Commissioner of Health, to protect the public health from hazardous material. Reimbursement under this subdivision shall be pursuant to criteria adopted by rule of the Secretary and by rule of the Commissioner establishing, among other provisions, requirements that alternative sources of reimbursement are pursued in a diligent manner;

(6) to pay administrative and field supervision costs incurred by the Secretary or by a municipality at the direction of the Secretary in carrying out the provisions of this subchapter. Annual disbursements, for these costs, to the Department of Environmental Conservation under this subdivision shall not exceed 2.5 percent of annual revenues;

(7) to pay costs of management oversight provided by the State for investigation and cleanup efforts conducted by voluntary responsible parties;

(8) to pay costs of emergency response operations and equipment in the spill response program;

(9) to pay costs of required capital contributions and operation and maintenance when the remedial or response action was taken pursuant to 42 U.S.C. § 9601 et seq.;

(10) to pay the costs of oversight or conducting assessment of a natural resource damaged by the release of a hazardous material and being assessed for damages pursuant to section 6615d of this title; or

(11) to pay the costs of oversight or conducting restoration or rehabilitation to a natural resource damaged by the release of a hazardous material and being restored or rehabilitated pursuant to section 6615d of this title.

(c) The Secretary may bring an action under this section or other available State and federal laws to enforce the obligation to repay the Fund. To the extent compatible with the urgency of the situation, the Secretary shall provide an opportunity for the responsible party or parties to undertake the investigations, removal, and remedial actions under the direction of the Secretary.

(d), (e) [Repealed.]

(f) Except as provided in subsection 6618(a) of this title, revenues under the hazardous waste tax established under 32 V.S.A. chapter 237 shall be deposited in the Environmental Contingency Fund. The Secretary may reimburse the Fund with funds received from the U.S. Pollution Prevention Revolving Fund authorized by subsection (k) of section 311 of Public Law 92-500, as amended, codified in 1979 as 33 U.S.C. § 1321(k). Monies may be accepted by the Secretary under written agreements with responsible parties for release site cleanup to provide administrative, technical, and management oversight.

(g) For purposes of this section:

(1) "Emergency" means any release or threatened release of hazardous materials that causes or may cause an immediate and significant risk of harm to human life, health, or to the environment.

(2)(A) "Hazardous material" means all petroleum and toxic, corrosive, or other chemicals and related sludge included in any of the following:

(i) any substance defined in section 101(14) of the federal Comprehensive Environmental Response, Compensation and Liability Act of 1980;

(ii) petroleum, including crude oil or any fraction thereof; or

(iii) hazardous waste, as determined under subdivision 6602(4) of this title.

(B) "Hazardous material" does not include herbicides and pesticides when applied in a manner consistent with good practice conducted in conformity with federal, State, and local laws and regulations and according to manufacturers' instructions. Nothing in this subdivision shall affect the authority granted and the limitations imposed by section 6608a of this title.

(3) "Release" means any intentional or unintentional action or omission resulting in the spilling, leaking, pumping, pouring, emitting, emptying, dumping, or disposing of hazardous materials into the surface or groundwaters, or onto the

lands in the State, or into waters outside the jurisdiction of the State when damage may result to the public health, lands, waters, or natural resources within the jurisdiction of the State.

(4) "Remedial action" means those actions consistent with a permanent remedy taken instead of or in addition to removal actions in the event of the improper release or threat of release of a hazardous material into the environment, to prevent or minimize the release of hazardous materials so that they do not migrate or cause substantial danger to present or future public health or welfare or the environment.

(5) "Removal action" means the cleanup or removal of released hazardous materials from the environment and such other actions as may be necessary to prevent, minimize, or mitigate damage to the public health or welfare or to the environment which may result from the improper release or threat of release of hazardous materials.

(h) Receipts from the Redevelopment of Contaminated Properties Program, established under section 6615a of this title, shall be deposited into a separate account of the Fund, named the redevelopment of contaminated properties account. (Added 1979, No. 195 (Adj. Sess.), § 5, eff. May 6, 1980; amended 1981, No. 222 (Adj. Sess.), § 25; 1983, No. 205 (Adj. Sess.); 1985, No. 70, §§ 1, 2, eff. May 20, 1985; 1987, No. 282 (Adj. Sess.), § 17, eff. Oct. 1, 1988; 1991, No. 78, § 3; 1991, No. 225 (Adj. Sess.), § 1; 1995, No. 44, § 4, eff. April 20, 1995; 1997, No. 155 (Adj. Sess.), § 35; 2005, No. 135 (Adj. Sess.), §§ 1, 4; 2013, No. 142 (Adj. Sess.), § 88; 2015, No. 154 (Adj. Sess.), § 5, eff. June 1, 2016; 2019, No. 72, § E.711.2.)

Agency of Human Services – Progress Update: Strategic Planning Process

Joint Fiscal Committee

November 4, 2019

Our Objective

Develop an agency-wide strategic plan that proactively addresses changes in demographics, social, health, and economic trends facing Vermont in the next 5-10 years by January 2020.

Sec. E.300.8 AGENCY OF HUMAN SERVICES; STRATEGIC PLAN; REPORT

The Agency of Human Services, in order to respond effectively to dynamic and changing societal needs, shall identify emerging trends and develop a strategic plan for addressing the most challenging issues the Agency anticipates Vermont will face within the next five to 10 years

Progress to Date

- Developed an agency-wide project team and development plan
- Onboarded a consultant to support data analysis
- Compiled evidence in trends analyses from state, national, and international sources and submitted legislative reports
- Conducted cross-agency focus groups in each district office
- Facilitated dialogues with department management teams (first of two rounds)
- Organized and integrated district and department feedback
- Identified and prioritized several challenging trends and themes facing Vermont

On Schedule

Emerging Challenges in Health, Social, and Economic Well-Being

- Aging Population
- Population Concentration
- Social Isolation
- Lasting Impacts of the Opioid Epidemic
- Child and Youth Mental Health
- Affordability

Aging Population

The Aging of Vermont's population is a shift of such magnitude that it may be the most important theme for the Agency of Human Services to consider as we plan for the next 5-10 years.

- There will be more than twice as many people age 76-83 in 2030 vs. 2015.
- There will be 57,000 more individuals 70 and older in 2030 vs. 2015. There will be 9,548 more people 85+.
- Vermont's older counties are getting older and its younger counties are getting younger

Next Steps

- Present findings to department management teams and conduct 2nd round of dialogues
- Integrate second round of department feedback
- Produce & review a final synthesis of trends analysis and information gathered from districts and departments
 - Vision, guiding principles, promising practices & challenges, recommendations for critical shifts, and practical guidance for policymakers
- Outline components of a governance, engagement, and accountability process for further developing, utilizing, and accounting for the plan into the future
- Finalize draft of AHS Strategic Plan for review

Agency of Human Services – Fiscal Pressures

Joint Fiscal Committee

November 4, 2019

Act 72 of 2019 Session, Sec. E.300.9

Sec. E.300.9 REPORT TO THE JOINT FISCAL COMMITTEE ON FISCAL PRESSURES

(a) The Secretary of Human Services shall report to the Joint Fiscal Committee at its November 2019 meeting on the following fiscal issues:

(1) the most current estimate of timing related to the 12 beds being developed for State priority use at the Brattleboro Retreat and the fiscal year 2020 and 2021 funding implications. The Secretary shall estimate the additional needs for State funds and sources to provide funding the Administration is considering in the fiscal year 2021 budget presentation to the Legislature;

(2) the impact of the change in of Federal Children's Health Insurance match (CHIP) match on the fiscal year 2021 budget and what steps may be recommended to offset the loss of funds; and

(3) any other fiscal pressures due to changes in federal funds or other program-related changes in costs or caseloads in fiscal year 2021 budget presentation to the Legislature;

Status of the 12 Level-1 Beds at the Brattleboro Retreat

- Construction is on-time and scheduled to be completed in the Spring of 2020 (May)
- Operating Funds
 - FY20 Operating funds are covered within existing FY20 appropriation of \$1.1M gross
 - Annualized costs of an additional \$4.4M gross will be included in FY21 budget
 - Total annualized operating costs of \$5.5M gross/\$2.5M GF
- Capital Funds
 - Estimated cost of construction has increased by \$1.7M

Federal Children's Health Insurance Match – “CHIP DIP”

- CHIP funding has a special provision called the qualifying state option. This allows Vermont to draw the CHIP enhanced funding (~90% FMAP) for children between 133% and 237% FPL with regular Medicaid (GC) claims.
- The current amount in the FY20 base in the Global Commitment appropriation is \$15,367,779.
- Congress reauthorized CHIP funding in FFY18 but included a phasedown to the FFP % of enhanced funding beginning in FFY20.
- In SFY21, the CHIP FMAP will be 70.95%. This represents a loss of approximately \$4.8M in enhanced federal funding, therefore, creating GF pressure.
- This phasedown will continue into SFY22 with an additional amount of \$5M GF pressure.
- The phasedown of the enhanced FFP will also affect the AHS Departments that have regular CHIP claims.

Other Fiscal Pressures

- FY19 closeout issues:
 - DCF – FSD Caseload
 - DCF – General Assistance – Emergency Housing
- 211 Contract
- Delivery System Reform Investments
- LIHEAP Block Grant

Rep. Mitzi Johnson, House Speaker
 Sen. Tim Ashe, Senate President Pro-Tem
 Vermont State House
 115 State Street
 Montpelier, VT 05633-5301

RE: Reduction in VT-211 after-hours call-in & referral services

Dear Speaker Johnson and President Pro-Tem Ashe:

It has been brought to our attention that Vermont 211 has cut back its hours of service to 8am to 8pm, with no service after that time and no service at all on weekends or holidays. The reason for such is financial. Vermont 211 had been subcontracting out its post-8pm, weekends and holiday service to an out-of-state entity, which has decided no longer to provide this service. In searching for another provider, or for Vermont 211 to provide the service directly, the cost of such is coming in at or near \$300,000 above the current state appropriation for Vermont 211.

It is absolutely crucial that 211's service to Vermonters who are homeless and/or fleeing sexual and domestic violence be restored to 24 hours per day, every day of the week. In calendar year 2018 there were 3,514 after-hours calls to 211 between 8pm and 8am, weekends and on State holidays from people requesting emergency housing, with 75% of those calls coming during the coldest months of the year (November through April). 40% of all after-hours calls were related to emergency housing. The individuals and families calling 211 are truly among the most vulnerable in our state, and with winter only weeks away, it is more important than ever that the Legislature act swiftly and use the budget adjustment process to provide the funding necessary.

The consequences of doing nothing could be dire: Vermonters experiencing homelessness freezing to death without shelter and people fleeing domestic or sexual violence suffering serious harm without access to emergency housing.

Any of us are more than willing to come to Montpelier during a future hearing to testify about the importance of restoring Vermont 211 to its full capabilities.

Sincerely:

Addison County Community Trust
 American Red Cross - Vermont
 Another Way
 At Wits End Family Support Group
 Bennington County Coalition for the Homeless
 Brattleboro Area Affordable Housing Corp.
 Brattleboro Area Prevention Coalition
 Brattleboro Community Justice Center
 Burlington Police Department
 Buster Caswell
 Cathedral Square Corporation
 Champlain Housing Trust
 Champlain Valley Office of Economic Opportunity

Committee on Temporary Shelter
 Community of Vermont Elders
 Disability Rights Vermont
 Downstreet Housing & Community Development
 Elizabeth Gilman
 Essex CHIPS
 First Baptist Church, Rutland
 Franklin/Grand Isle Community Action
 Good Samaritan Haven
 Green Mountain United Way
 Groundworks Collaborative
 Help Me Grow
 HOPE

HOPE Works
Housing Vermont
Hunger Free Vermont
Institute for Community Alliances
Jennifer Montagne
John Graham Housing & Services
Katie Ballard
KIN-KAN Vermont
Lamoille Family Center
Lamoille Housing Partnership
Linda C. Vincent
Mayumi Cornell
Montpelier Housing Authority
Morgan W. Brown
NAMI Vermont
NeighborWorks of Western Vermont
Northeast Kingdom Community Action
Pathways Vermont
Peterson Consulting, Inc.
Project Against Violent Encounters
Randolph Area Community Development Corp.
Ren Vanwagner
Rights & Democracy
Robert McDonald
RuralEdge
Rutland County Parent Child Center
Rutland Housing Authority
Safeline, Inc.
Samaritan House, Inc
Sara Kobylenski
Southwestern Vermont Council on Aging
Spectrum Youth & Family Services
Springfield Area Parent Child Center
Springfield Supported Housing Program
State Independent Living Council
Supportive Services for Veteran Families at UVM
Terry Holden
The Housing Foundation, Inc.
The Mentor Connector
Three Generations Collaboration

Town of Brattleboro
Turning Point Center of Rutland
Twin Pines Housing
Two Rivers-Ottawaquechee Regional Commission
United Way of Addison County
United Way of Lamoille County
United Way of Rutland County
United Way of Windham County
United Ways of Vermont/Vermont 211
Upper Valley Haven
Vermont Affordable Housing Coalition
Vermont Alliance for Recovery Residences
Vermont Center for Independent Living
Vermont Coalition of Runaway & Homeless Youth
Programs
Vermont Early Childhood Advocacy Alliance
Vermont Family Network
Vermont Federation of Families for Children's
Mental Health
Vermont Foodbank
Vermont Housing & Conservation Board
Vermont Housing Finance Agency
Vermont Interfaith Action
Vermont Legal Aid, Inc.
Vermont Low Income Advocacy Council
Vermont Network Against Domestic & Sexual
Violence
Vermont People With AIDS Coalition
Vermont State Housing Authority
Veterans, Inc.
Vital Communities
Voices for Vermont's Children
Washington County Young Adult Committee, Inc.
West River Valley Thrives
Windham & Windsor Housing Trust
Windham Regional Commission
Windsor County Youth Services
Women's Freedom Center
Wonderfeet Kids' Museum
Youth Services, Inc.

Agency of Human Services – Vermont's Global Commitment Waiver

Joint Fiscal Committee

November 4, 2019

Serious Mental Illness (SMI) Institution for Mental Disease (IMD) 1115 Waiver Amendment

What

SMI IMD waiver amendment request to CMS, submitted 9/9/19. This is similar to the SUD IMD waiver amendment VT received in 2018.

Objective

- FFP for services in psychiatric IMDs when statewide average length of stay is ≤ 30 days and maximum < 60 days.
- No FFP is available for forensic mental health patients under this waiver*, including individuals who:
 - are awaiting a psychiatric evaluation as part of a trial.
 - have been found incompetent to stand trial.
 - have been found to be insane at the time of the crime were tried and found not guilty by reason of insanity.
 - are pre-adjudication or have been convicted and are in DOC custody who develop the need for acute psychiatric care on either a voluntary or involuntary basis.

Fiscal Impact

- Current projections value this waiver amendment at **\$12M/CY**, based on FFP that will be available under this opportunity (moved over from investment). THIS DOES NOT REPRESENT NEW FEDERAL FUNDING.
- AHS is actively engaged in negotiations with CMS and anticipates having an approved SMI IMD waiver amendment by January 2020.

*Following phasedown of investment authority, any individual who has a forensic status must be paid for exclusively with state dollars.

Timeline for 1115 Waiver Renewal

- Current Waiver expires on 12/31/2021
- AHS is currently in the planning phases and will be requesting legislative authority in FY21 Big Bill
- Negotiations with CMS will begin in January 2021
- New waiver should be in effect on 1/1/2022

Considerations for 2022

- Budget Neutrality Cap
 - Longstanding CMS policy requires that Medicaid Section 1115(a) demonstrations be budget neutral to the federal government; meaning that federal Medicaid expenditures for a state cannot be allowed to exceed what would have occurred without the waiver.
 - For a waiver to be budget neutral, actual Medicaid service expenditures – plus the cost of any expenditure authorities authorized under the demonstration – cannot be greater than the projected “without waiver” expenditures.
- Rebasing
 - CMS plans to rebase Vermont’s budget neutrality in 2020. This will result in a lower overall budget neutrality limit.
 - In order to continue to receive FFP on with waiver programs in 2022, Vermont will need to find additional savings in without waiver costs.
- Federal Administration

Budget Neutrality

\$1,405,628,349 (Actual BN Limit WOW)



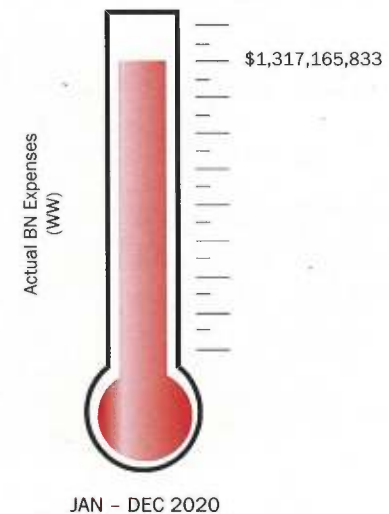
(Difference) Savings:
\$121,211,330 or 9%

\$1,424,229,672 (Projected BN Limit WOW)



(Difference) Savings:
\$114,880,411 or 8%

\$1,486,493,929 (Projected BN Limit WOW)



(Difference) Savings:
\$169,328,096 or 11%

Investments Summary

- Within the Budget Neutrality limit is a sub-limit for Investment spending
- Amounts cannot be rolled over from DY to DY
- Accounts for the following known changes:
 - Brattleboro Retreat rate increase
 - Brattleboro additional bed capacity
 - Delivery System Reform Investments
 - SUD IMD expenses to be claimed as GC Program
- Still negotiating % of Mental Health IMD phasedown in CY2021 (assumes 5% beginning in CY2021)

	CY2017	CY2018	CY2019	CY2020	CY2021
Annual Investment Limit	\$ 142,500,000	\$ 148,500,000	\$ 138,500,000	\$ 136,500,000	\$ 136,500,000
Projected Spending	\$ 142,332,671	\$ 148,500,000	\$ 138,195,371	\$ 131,177,478	\$ 115,144,971
Balance	\$ 167,329	\$ 0	\$ 304,269	\$ 5,322,522	\$ 21,355,029

**Report to
The Vermont Legislature**

Progress Report on the Integrated Eligibility and Enrollment System.

**In Accordance with Sec. 3(b) and 3(e)(2) of Act 42 (2019): An act relating to
capital construction and State bonding.**

**Submitted to: Joint Information Technology Oversight Committee, Chair & Vice
Chair**

House Committee on Corrections and Institutions, Chair

House Committee on Health Care, Chair

Senate Committee on Health and Welfare, Chair

Senate Committee on Institutions, Chair

Joint Fiscal Committee

**Submitted by: Martha Maksym, Acting Secretary
Agency of Human Services**

**John Quinn, Secretary and State CIO
Agency of Digital Services**

**Prepared by: Cassandra Madison, Deputy Commissioner
Department of Vermont Health Access**

Report Date: November 1st, 2019

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EXECUTIVE SUMMARY

Act 42 of 2019, An act relating to capital construction and State bonding, adopts a reporting requirement to ensure House and Senate committee review of project progress on the Integrated Eligibility and Enrollment (IE&E) system with further project funding released following approval from the Joint Fiscal Committee at its September and November 2019 meetings. Act 42 was signed by Governor Scott on May 30th, 2019. The Act includes a requirement for the submission of two progress reports that are the responsibility of the Secretary of Human Services and Secretary of Digital Services. Reports are required to be submitted to the Chairs of the following committees: Joint Information Technology Oversight, House Corrections and Institutions, House Health Care, Senate Health and Welfare, Senate Institutions, and the Joint Fiscal Committee.

IE&E North Star Vision

Eligible Vermonters have a simple and easy way to apply for, access, and maintain health care and financial benefits without coverage gaps. The State of Vermont delivers these services efficiently and sustainably, using innovative ways of working and modern technology.

IE&E Project Updates

Enterprise Content Management (ECM): The ECM project is consolidating the scanning, indexing, and viewing of Vermonters' documents into one system that is already owned and maintained by the Agency of Digital Services. This will produce a more efficient workflow for staff and reduce the operating costs associated with Vermont Health Connect. The State received approval to launch from the CMS security team in August and officially went live on September 13th, having resolved the network connectivity issues that were affecting software performance. The team is focused on completing remaining security related tasks, with the goal of closing the project November 30th, 2019.

Business Intelligence (BI): BI is the data reporting and analytics project that will allow the State to transition from the expensive, standalone Oracle data warehouse leveraged by Vermont Health Connect, to a Microsoft SQL data warehouse solution already owned and maintained by the Agency of Digital Services. This reporting component is crucial for functions such as the renewing of Vermonters' health coverage, sending of notices, production of required 1095 tax forms and sending required enrollment reports to CMS. The new warehouse was scheduled to go live in July but persistent state network connectivity issues and challenges in building the warehouse itself have delayed implementation. The State triggered a contingency in July to continue current Oracle data warehouse through open enrollment (November 1st – December 15th, 2019) for health care and to contract out for 1095/CMS enrollment reporting. The new target date for delivery is February of 2020. DVHA and ADS are closely monitoring project progress

and considering whether additional contingencies need be triggered in October of 2019 due to ongoing concerns regarding whether the February 2020 deadline is achievable.

Document Uploader: The Document Uploader is the first phase of the new Customer Portal project that will allow Vermonters to use mobile devices to submit verification documentation. It will also increase efficiency for staff as features are added, including the ability to scan documents directly into the Enterprise Content Management system. This project is now in a phased rollout, with the launch for the statewide Medicaid Aged, Blind and Disabled population completed in September 2019. The Document Uploader is also being used by the Barre and Burlington district offices. The remaining Long-Term Care (LTC) and district offices are expected to be completed mid-November 2019. The solution will be fully implemented for Vermont Health Connect customers in January 2020 after the close of open enrollment.

CMS Mitigation Plan Items: Vermont has worked with CMS to identify several mitigation strategies designed to help the State achieve iterative progress in key areas of noncompliance for the Medicaid Aged, Blind, and Disabled (MABD) population. These include several milestones that the State must meet over the next 24 months. Vermont met its first milestone with the launch of an online fillable PDF for change of circumstance reporting on August 10th, 2019. The State expects to deliver a fillable PDF for the Medicaid Aged, Blind, and Disabled initial application in November of 2019 and to launch phone processing in January 2020, after the close of open enrollment. The remaining outstanding CMS mitigation plan items will continue to be addressed in an incremental fashion throughout 2020 and 2021.

Online Application: The Online Application project is phase 2 of the IE&E Customer Portal project which will allow Vermonters to sign onto a single portal to apply for health coverage and financial benefits programs. The goal is to launch the online application for health coverage programs in June of 2020 and for economic services programs in October of 2020. The State has selected a vendor and they began their work on-site with State teams during the week of October 14th.

Premium Processing: The goal of the Premium Processing project is to streamline the financial transactions and processes associated with the administration of health coverage programs as a part of the overall IE&E roadmap. Phase 1 will transition responsibility for Qualified Health Plan premium processing to insurance carriers for coverage starting 1/1/2021. This will allow the State to implement the manual processes and technology to accurately notice and terminate Medicaid enrollees for nonpayment of premium. The State has selected a vendor and they began their work on-site with State teams during the week of October 14th.

Master Data Management: The goal of this project is to develop and implement data quality tools and management tools necessary to ensure that system records are accurate, usable, and organized. It will also ensure there is a single version of each person in the State's eligibility and enrollment systems. This project was originally slated to begin in October, but the IE&E

Steering Committee has voted to postpone this work until a later date due to the number of projects in-progress at this time.

IE&E Progress Report Summary

The Integrated Eligibility and Enrollment (IE&E) program is on track to deliver its 2019 and 2020 commitments. While the cost of some of the individual projects were higher than initially estimated, overall spending remains within budget. IE&E has made the following progress since September 1st, 2019:

- The State successfully implemented a new document imaging and scanning system for Vermont Health Connect on September 13th and network performance issues were successfully resolved;
- The Centers for Medicare and Medicaid Services (CMS) officially approved the new health care paper application;
- The state fiscal year 2019 budget for IE&E closed having underspent available capital funds by approximately \$100,000. The State will continue to closely manage the IE&E program budget to ensure that expenditures do not exceed available funds;
- Phased rollout of the document uploader began on September 17th. It has launched statewide for the Medicaid Aged, Blind and Disabled population and is being utilized by the Barre and Burlington district offices;
- CMS approved the State's funding request and proposed cost allocation for Federal Fiscal Years 2020 and 2021. This will allow the State to continue its current path for IE&E without any significant adverse financial consequences, even without financial support from Food and Nutrition Service (FNS) to support the build of SNAP functionality;
- The State selected vendors for the premium processing and online application projects and the core project work officially kicked off during the week of October 14th.

More information on the projects under the Integrated Eligibility and Enrollment program may be found in the summary table on the next page, including project performance, current projected spend and any critical issues or updates.

Project	Target Delivery Date	Project Performance	Original Estimated Project Spend	Current Projected Project Spend	Critical Issues/Updates
Health Care Paper Application	4/30/2019		\$300,000.00	\$377,199.71	Project has closed. Phased rollout in progress.
Enterprise Content Management	9/30/2019		\$855,278.00	\$1,924,589.70	New system went live successfully in September. The State is working to complete remaining security items with the goal of closing the project November 30 th , 2019.
Business Intelligence	2/1/2020		\$2,889,605.00	\$3,093,262.95	The State is making progress on the data warehouse build; the initial contingency was triggered in September & project delivery pushed out to February of 2020. Discussion is ongoing regarding feasibility of February timeline and if it will be necessary to trigger a second contingency.
Document Uploader	10/1/2019		\$1,453,254.00	\$2,973,761.03	Phased rollout in progress.
CMS Mitigation Items	Ongoing		Embedded in DVHA operating costs	Embedded in DVHA operating costs	Fillable PDF for change of circumstance delivered. Fillable PDF for initial application to be implemented in November of 2019.
Online Application	6/30/2020		\$5,277,112.00	\$4,588,199.39	Project in progress
Premium Processing	10/1/2020		\$4,128,000.00	\$4,310,264.93	Project in progress

BACKGROUND

Act 42 of 2019, An act relating to capital construction and State bonding, adopts a reporting requirement to ensure House and Senate committee review of project progress on the Integrated Eligibility and Enrollment (IE&E) system with further project funding released following approval from the Joint Fiscal Committee at its September and November 2019 meetings. Act 42 was signed by Governor Scott on May 30th, 2019. The Act includes a requirement for the submission of two progress reports that are the responsibility of the Secretary of Human Services and Secretary of Digital Services. Reports are required to be submitted to the Chairs of the following committees: Joint Information Technology Oversight, House Corrections and Institutions, House Health Care, Senate Health and Welfare, Senate Institutions, and the Joint Fiscal Committee.

The reports are required to describe the progress on IE&E projects scheduled for completion in calendar year 2019 and 2020, including “successes, setbacks, and achievement of expectations.” The November report specifically requires the Agency of Human Services (AHS) and the Agency of Digital Services (ADS) to report out on the following projects: Customer Portal Phase 2 – Online Application, Premium Processing, Master Data Management, and CMS mitigation items, along with a updates on all other in-process projects. This report includes a status update on each of these projects, as well as brief updates for on-going program level priorities and cost allocation conversations with the Centers for Medicare and Medicaid Services (CMS).

IE&E NORTH STAR VISION AND PROGRAM APPROACH

The goal of the IE&E Program is to ensure that (1) eligible Vermonters have a simple and easy way to apply for, access, and maintain health care and financial benefits, without coverage gaps and (2) the State delivers these services efficiently and sustainably, using innovative ways of working and modern technology.

More specifically, the objective of the IE&E Program is to ensure that Vermonters can:

- apply for all health care and financial benefit programs through one application, by the channel of their choosing;
- submit as little supporting documentation as possible by maximizing the use of electronic data sources;
- easily understand the information they need to provide and share that information with the State via the channel and time that is convenient for them;

- choose programs, pay their bills, and get their questions answered in as few steps as possible;
- feel confident that they are enrolled in the right programs, understand their benefits, and can use them when they need them;
- update their information through the channel that works best for them;
- be renewed automatically when it is possible and can leverage self-service when it is not.

An IE&E technology system will also improve the staff experience by:

- increasing the number of Vermonters who can use self-service, which will reduce errors and rework for staff;
- ensuring that staff can easily understand what needs to be verified by when and can interpret next steps;
- improving data integrity and automating enrollment processes. This will reduce the need for staff to focus on back end transactions. Staff will also be able to accurately report case status to customers;
- allowing staff to see all case information in one place and have confidence that the data is accurate so that they can communicate effectively to Vermonters;
- increasing the percentage of Vermonters who can be renewed automatically to reduce the number of steps needed to process renewals for those who cannot.

Vermont has built an IE&E roadmap that focuses on the delivery of capabilities that meet the State's compliance and business needs. These capabilities will be delivered through a series of incremental modules or products, which will expand functionality and sunset legacy system components incrementally over time. IE&E's goal is to deliver three products per year, with each procurement under \$2 million. This represents a shift in Vermont's implementation approach from previous "big bang" IE&E efforts, bringing the State into alignment with best practices and reflecting CMS' recommendations for modular technology projects going forward.

Vermont's approach is characterized by specific strategies and tactics that serve to improve compliance, reduce financial risk, drive timely business value, and reduce the chances of vendor lock in by:

- Employing a modular, iterative approach to software development with an appropriate project management methodology that reflects both project and programmatic needs;
- Placing user-centered design principles at the forefront of Design, Development, and Implementation (DDI) efforts;
- Reusing Vermont's existing technological assets, and those of other states, when possible;

- Reaping the benefits of Cloud provider solutions & hosting, including high availability, redundancy, and capacity of resources and a smaller, faster, and more flexible initial investment (no hardware procurement, installation, management, and upgrade);
- Leveraging open source code where feasible from a security/privacy/financial perspective and ensuring that all IE&E system code is stored in a centralized public repository;
- Procuring additional resources to provide business-focused process development and management to ensure that products are implemented successfully. This means that efficient business processes are documented, that a comprehensive operational readiness plan is developed prior to launch, and that there is “boots on the ground” support following delivery;
- Resourcing a state team to integrate modules and manage the Development, Security, Operations (DevSecOps) pipeline where appropriate;
- Ensuring that modules are developed for interoperability/extensibility and with standardized integration;
- Leveraging the State’s IT retainer pool to shorten the request for proposal (RFP)-to-contract cycle time for work products under \$500,000 and assure IT services are acquired through competitive opportunities.

PROJECT UPDATE: ENTERPRISE CONTENT MANAGEMENT

Problem Statement

Eligibility and Enrollment staff utilize 2 Enterprise Content Management (ECM) systems for scanning, indexing, workflow and viewing Vermonters’ documentation and notices. This leads to operational inefficiencies, duplicative maintenance and operations (M&O) costs, and difficulty coordinating enrollee documentation across programs (which is often scanned into both systems separately). In addition, Oracle WebCenter, the ECM system utilized by Vermont Health Connect (VHC), is expensive to maintain, not easily extensible to other programs, and is incompatible with associated system upgrades.

Vision

To utilize one system to scan, index, manage workflow, and view Vermonters’ documentation and notices. By utilizing only one system, ECM will create a streamlined experience for staff that is user-friendly and more efficient for the State to maintain. Training, documentation, and processes will be easier and faster resulting in less confusion and improved quality.

Progress to Date

Development and testing of the OnBase system, including the user interface for staff, was completed successfully on July 31st with a pass rate of 100%. The required security assessments were undertaken, and all critical items remediated, culminating in the submission of a final report to CMS the first week of June 2019 and approval to go live in August. The Agency of Digital Services successfully resolved outstanding network performance issues and launched the new document imaging and scanning system in September. This is a significant accomplishment that allowed the State to successfully sunset its first Vermont Health Connect Oracle product. The team is now focused on completing remaining security tasks, with the goal of closing the project at the end of November.

Key Performance Indicators (KPIs)

As a part of the rollout of the Enterprise Content Management system, the team has set forth the following KPIs to measure success. Each measure outlined below has an associated target, but performance data will not be populated until the OnBase system launches and the Oracle system has been sunset.

Enterprise Content Management					
Smart Goal	Metric	Unit	Measure	Baseline Measure	Expected Measure Post Implementation
By the end of the fourth quarter, the costs of OnBase M&O will be 20% less than those of Oracle WebCenter	Compare operating system costs before and after implementation of single system.	Amount	The dollar amount spent on M&O	\$1,820,000	\$724,560
By go live, one tool will be used instead of two	Compare number of tools used from start of project to end of project.	Quantity	The number of tools utilized	2	1
Maintain or increase number of documents that can be processed per hour for Vermont Health Connect	Compare volume of documents/items entered by type before and after implementation	Docs/hr.	Volume of documents entered	30-35 docs/hr.	>= 30-35 docs/hr.
Reduce the time it takes to onboard a new user in OnBase to 3 days	Compare what was spent on time to onboard for ADPC before for two systems and what will be spent for one system after go live	Days	Number of days to on-board	10 days	3 days

Reduce load time to an average of less than 45 seconds per document	Compare load time from before implementation of new system to after go live	Seconds	Load time reduced to an average of less than 45 seconds/document	<60 sec/doc	<45 sec/doc
By the second survey, demonstrate that moving from two tools to one improved staff ease of use	Survey staff at Health Access Eligibility and Enrollment Unit (HAEU) and ADPC before and after implementation about their experience and ease of use.	Experience Rating	Survey (Strongly Agree-Strongly Disagree)	*Survey results from Jan 2019	Increased experience rating

Budget Summary

Original Estimated Budget Per Charter: \$855,278.00

SFY19 Actuals: \$808,296.51

SFY19 Encumbrances: \$586,304.74

Projected Additional SFY20 Spend: \$529,988.45

Total Projected Project Spend: \$1,924,589.70

Increases in project costs are due to the volume of security findings that needed to be remediated in a very short timeframe and unanticipated software costs to support security and integration needs.

Lessons Learned

- It is critical to ensure that we understand the full scope and dependencies of the project timelines to ensure adequate staffing resources are available to support expanded use of existing technology, both during the design, development, and implementation phase and during maintenance and operations.

PROJECT UPDATE: BUSINESS INTELLIGENCE

Problem Statement

The State's current reporting solution for Vermont Health Connect is expensive, difficult to maintain, and suffering from significant performance issues. Vermont currently relies on expensive external contracts to maintain the existing warehouse and to produce critical operational reports, including those that allow us to renew Vermonters' coverage, send notices, produce 1095 tax forms, and send required enrollment reports to CMS. In addition, the

existence of data in siloed systems across programs prevents the State from performing critical data clean up and analysis across health care and financial benefit programs.

Vision

The desired outcome of this project is to migrate the data from the existing Oracle data warehouse to Microsoft SQL Server and to rely on State staff to both maintain the warehouse and to manage reporting needs. The new system will be easier for staff to use, enable self-service, and allow for real-time reporting and analytics. It will also ensure that the State has control of its own data which will reduce vendor lock-in and the costs of maintenance and operations.

Progress to Date

The new warehouse was scheduled to go live in July, but persistent Oracle replication software defects, connectivity issues, inconsistency in adherence to project management standards, and challenges in building the warehouse itself, have forced the State to trigger its contingency plan. This plan includes (1) the continued maintenance and operations of the existing data warehouse through the 2019 open enrollment period for health care and (2) continuing to contract out for 1095/CMS enrollment reporting through plan year 2019. The new target date for delivery of the data warehouse is February 2020. ADS and AHS are in active discussions about the feasibility of delivering on this timeline and whether additional contingencies need to be triggered if key milestones are not met.

Key Performance Indicators (KPIs)

As a part of the rollout of the new reporting and analytics system, the team has set forth the following KPIs to measure success. Each measure outlined below has an associated target, but performance data will not be populated until the new warehouse launches and the existing Oracle system has been sunset.

Business Intelligence (BI)					
SMART Goal	Metric	Unit	Measure	Baseline Measure	Expected Measure
100% reduction in contracted business reporting costs by 3/1/20	Compare ad hoc reporting costs before and after implementation	Percentage	Business reporting costs	\$1,187,550	\$0.00
Reduce ongoing operating expenses by \$1M per year starting 3/1/20	Compare operating costs before and after implementation	Dollars	Dollar amount spent on operating expenses per year	\$2,103,370	\$1,103,370
Increase SoV's reporting capabilities by reducing cycle	Compare:	Hours/Days	<ul style="list-style-type: none"> • Cycle time • Daily data load time 	Cycle time: Currently assessing baseline	Cycle time: TBD

time between data request and data delivery, reducing data load run time to less than 30 hours, and improving data availability.	<ul style="list-style-type: none"> • cycle time (lag) between data request to delivery. • daily data load time • Availability of previous day's data 		•Data availability	Data load time: 44.8 hours Data availability: 2.5 days behind on average	Data load time: <30 hours Data availability: 1 day behind
Increase staff customer satisfaction	Survey	Experience rating	VHC reporting team survey	Approximately 60% of stakeholders agree or strongly agree that requesting and retrieving reports is straightforward and manageable. However only 28% feel that reports have accurate or current data	To be populated after launch of new warehouse
By the end of the first quarter of 2020, decrease by 10% the non-delivery rate of the 1095 and enrollment data to federal partners and decrease the error rate of 10% per quarter	<ul style="list-style-type: none"> •percent of monthly IRS reports delivered on time in the past ten months (Oct 2018-July 2019) •SBMI average number of errors per month in ten months 	Percentage Count of errors	Delivery failure rate Error percentage	<ul style="list-style-type: none"> •50% of monthly IRS reports were not delivered on time in the past 10 months (Oct 2018-July 2019) •SBMI average number of errors per month in 10 months is 14.33 (Oct 2018-July 2019) 	<ul style="list-style-type: none"> •Decrease by 10% the non-delivery rate of the 1095 and enrollment data to federal partners •Decreased error rate of 10% per quarter
By the end of the first quarter of 2020, increase success rate of automatic nightly data loads to data warehouse to 99%	Compare daily load success rate before and after implementation	Percentage	Daily load success rate	86%	91%

Budget Summary

Original Estimated Budget per Approved ABC Form: \$2,889,605.00

Actuals through SFY19: \$414,069.91

SFY19 Encumbrances: \$239,420.67

Projected Additional SFY20 & SFY21 Spend: \$2,439,722.37

Total Projected Project Spend: \$3,093,262.95

Lessons Learned

- It is critical to ensure that we understand the full scope and dependencies of the project timelines to ensure adequate staffing resources are available to support the expanded use of existing technology, both during the design, development, and implementation phase and during maintenance and operations or the scope of the effort is measured to better mirror the capability of the staff we have.

PROJECT UPDATE: CUSTOMER PORTAL PHASE 2 (ONLINE APPLICATION)

Problem Statement

Vermonters trying to apply for health coverage and financial assistance programs currently find the process to be confusing and time consuming. It is difficult to know where to apply and what to apply for, and customers need to manage multiple accounts and passwords. Each program has different timelines, requirements, and processes and the same customer information is collected/stored in multiple places. Phone calls and in-person interactions become stressful when Vermonters don't understand what to do, are required to contact multiple offices, and lose benefits because they have run out of time to provide necessary information. The State is currently out of compliance with federal requirements for the Medicaid Aged, Blind and Disabled population. This includes the ability to complete end-to-end screening for all health coverage programs at once and the ability to apply online and over the phone. Delivering the health care portion of the online application by June of 2020 is component of Vermont's compliance roadmap with CMS.

Vision

The Online Application will allow Vermonters to sign onto a single, user friendly portal to apply for health coverage and financial benefits programs in one place. The goal is to launch the Online Application for health coverage programs in June of 2020 and for economic services programs in October of 2020.

Progress to Date

The procurement for this project is complete and the vendor began their work on-site with the State team the week of October 14th. The team has performed user research, defined its initial technical approach, and in the process of defining and baselining key performance indicators.

Key Performance Indicators (KPIs)

As a part of the rollout of the new online application, the team has set forth the following KPIs to measure success.

Online Application					
Smart Goal	Metric	Unit	Measure	Baseline Measure	Performance to Date
Provide Vermonters with ability to apply for health coverage or financial programs via all channels (phone, paper, online, in-person) by July 2020.	Number of application channels available for all health care programs before and after implementation	Number	Number of application channels	2	TBD
Decrease the number of questions on the application that Vermonters must answer more than once by 40% within 6-months of the online application release.	Number of duplicate application questions pre-release vs. number of duplicate application questions post-release	Number	Number of duplicated application questions	TBD	TBD
Decrease the total number of Medicaid for Aged, Blind and Disabled (MABD) applications submitted in paper by 10% within 6-months of the online application release.	Number of MABD applications received vs. online applications received pre-release compared to post-release for all total households enrolled in healthcare	Number	~ Number of paper applications received for MABD per month ~ Number of online applications received for MABD per month ~ Number of paper applications received for LTC per month ~ Number of online applications received for LTC per month	622.3 0 207.6 0	TBD

Improve staff ease of use by 10% within 6-months of online application release	Survey ranking – “The application I process most frequently is intuitive and easy to navigate” and “The current application process is structured in a way that allows me to do my job efficiently and effectively”	Likert Scale (1-5)	Average Score	Overall respondent average	TBD
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Budget Summary

Original Estimated Budget Per Charter: \$5,277,112.00

Actuals through SFY19: \$538.68

Projected SFY20 Spend: \$3,019,649.74

Project SFY21 Spend: \$1,558,010.97

Total Projected Project Spend: \$4,588,199.39

PROJECT UPDATE: PREMIUM PROCESSING

Problem Statement

Premium billing continues to be challenging for Vermont Health Connect (VHC) customers. Vermonters don't always understand what they need to pay, by when, and how it will impact their coverage. They often do not know who to call when there is a problem. Data inconsistencies, transaction errors, and premium allocation issues make it difficult for staff to understand the information they are seeing and accurately communicate case status to customers. As a result of these issues, the Vermont General Assembly has instructed the State to return Qualified Health Plan (QHP) premium processing to the insurance carriers. This change will be effective for plan year 2021. Vermont is also out of compliance with State Medicaid rules regarding noticing for late premium payment and termination for nonpayment.

Vision

The goal of the Premium Processing project is to streamline the financial transactions and processes associated with the administration of health coverage programs as a part of the overall IE&E roadmap. Phase 1 will transition responsibility for Qualified Health Plan premium processing to the insurance carriers for coverage starting 1/1/2021. This will allow the State to

implement the manual processes and technology to accurately notice and terminate Medicaid enrollees for nonpayment of premium.

Progress to Date

Vendor has been selected and the technical design approach and proof of concept work is underway. The team has identified critical key performance indicators and is in the process of baselining data and setting targets.

Key Performance Indicators (KPIs)

As a part of the rollout of the new premium processing project, the team has set forth the following KPIs to measure success.

Premium Processing					
Smart Goal	Metric	Unit	Measure	Baseline Measure	Performance to Date
Reduce escalated premium cases through tier 3 by 35% within three months of deployment	Track the amount of escalated premium cases per month through WEX Health tickets from November 1, 2020 to February 1, 2021	Premium Cases	Track the amount of escalated premium cases per month through WEX Health tickets	154 premium cases	TBD
Reduce premium call volume to less than 4,000 calls per month within six months of deployment	Track the premium call volume using a report pulled from Siebel CRM from November 1, 2020 to May 1, 2021	Call Volume	Track the premium call volume using a report pulled from Siebel CRM	5,750 premium calls per month	TBD
Increase customer satisfaction by 5% by end SFY21	Before/after customer experience survey	Likert Scale (1-5)	Before/after customer experience survey	TBD	TBD
Reduce coverage reinstatements by 30% annually by SFY22	Track QHP coverage reinstatements using a report pulled from Siebel CRM for enrollment year 2021	Reinstated Premium Cases	Track coverage reinstatements using a report pulled from Siebel CRM	499 per year	TBD

Reduce staff time spent resolving premium discrepancies by 25% within six months of deployment	Track time spent resolving premium discrepancies over a six-month period from November 1, 2020 to May 1, 2021	Premium Discrepancies	Track time spent resolving premium discrepancies over a six-month period	163.5	TBD
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Budget Summary:

Original Estimated Budget Per Charter: \$4,128,000.00

Actuals through SFY19: \$0.00

Projected SFY20 Spend: \$3,558,118.93

Projected SFY21 Spend: \$1,052,146.00

Total Projected Project Spend: \$4,310,264.93

BUDGET SUMMARY

The Agency of Human Services remained within budget for the remaining Capital Bill funds in SFY19. The Agency of Human Services anticipates needing the full \$4.5 million requested for both SFY20 and SFY21 in order to continue to meet its program obligations. The Agency of Human Services is managing the IE&E budget very closely and unanticipated cost increases in some areas necessitate difficult decisions around scope and timeline in other areas to manage to available funds. For SFY21, \$3.9 million was appropriated to the Agency of Human Services for the Integrated Eligibility and Enrollment system.¹ The Agency of Human Services expects to request the remaining \$600,000 as part of the SFY21 Capital Bill budget adjustment process.

The Agency of Human Services proposed a new cost allocation for IE&E projects that was accepted by the Centers for Medicare and Medicaid Services (CMS) in October, when CMS approved two additional years of federal funding to support the Program. To date, the State has not been able to successfully access Food and Nutrition Service (FNS) dollars to support IE&E projects.

The table below reflects both the historic and projected spend on eligibility and enrollment activities from 2012 through 2021, including the State's health insurance exchange, and is a chart that is regularly presented during legislative testimony to show budget evolution over time.

¹ See Sec. 3(d) of [Act 42 of 2019](#)
18 | IE&E Progress Report

HSE Project Cost & Estimates through 6/30/21			
		Enhanced Medicaid Sources 90% Federal/10% State ¹	Exchange 100% Fed
Description	Total Costs	CMS-E&E (IE) ²	CCIO Grants (VHC) ³
Pre-HSE IAPD costs through 6/30/12	\$ 1,132,674	\$ 132,674	\$ 1,000,000
SFYs 2013 - 2016	\$ 269,240,874	\$ 78,906,707	\$ 190,334,167
SFY 2017	\$ 19,442,285	\$ 18,225,730	\$ 1,216,555
SFY 2018	\$ 15,115,558	\$ 13,476,564	\$ 1,638,994
SFY 2019	\$ 10,606,002	\$ 10,368,434	\$ 237,568
SFY 2019 Encumbrances	\$ 1,641,796	\$ 1,641,796	
Estimates 7/1/19-6/30/2020 (Capital)	\$ 19,161,797	\$ 19,161,797	
Estimates 7/1/20-6/30/2021 (Capital)	\$ 16,844,264	\$ 16,844,264	
Total Program Projected Costs thru SFY21	\$ 353,185,250	\$ 158,757,966	\$ 194,427,284
Project Costs Projected through 6/30/21 by Federal/State			
Federal Share	\$ 329,867,555	\$ 135,440,271	\$ 194,427,284
State Share	\$ 23,317,695	\$ 23,317,695	\$ -
Total	\$ 353,185,250	\$ 158,757,966	\$ 194,427,284

HSE Project State Match with Estimates through 6/30/21			
		Enhanced Medicaid Sources 90% Federal/10% State	Exchange 100% Fed
Description	Total Costs	CMS-E&E (IE)	CCIO Grants (VHC)
State Costs Through 09/30/2018	\$ 13,267	\$ 13,267	\$ -
SFYs 2013 - 2016	\$ 8,427,478	\$ 8,427,478	\$ -
SFY 2017	\$ 1,832,133	\$ 1,832,133	\$ -
SFY 2018	\$ 1,321,686	\$ 1,321,686	\$ -
SFY 2019	\$ 1,525,327	\$ 1,525,327	\$ -
SFY 2019 Encumbrances	\$ 701,890	\$ 701,890	\$ -
Estimates 7/1/19-6/30/2020 (IAPD)	\$ 4,777,260	\$ 4,777,260	\$ -
Estimates 7/1/20-6/30/2021 (IAPD)	\$ 4,718,653	\$ 4,718,653	\$ -
Total State Share	\$ 23,317,695	\$ 23,317,695	\$ -

Break out of State Matching Funding used/Available			
		Enhanced Medicaid Sources 90% Federal/10% State	Exchange 100% Fed
Source of State Funds	Total Costs	CMS-E&E (IE)	CCIIO Grants (VHC)
Agency/DVHA GF	\$ 37,861	\$ 37,861	
HIT Special Funds	\$ -	\$ -	
Capital - Act # 43 2009-2010	\$ 1,720,000	\$ 1,720,000	
Capital - Act # 161 2009-2010	\$ 1,456,280	\$ 1,456,280	
General Fund - Act # 3 2011-2012	\$ 3,635,000	\$ 3,635,000	
AHS GF Act # 63 2011-2012	\$ 1,700,000	\$ 1,700,000	
Capital - Act #26 Sec. 3(c) 2015-2016	\$ 5,413,459	\$ 5,413,459	
Capital - Act #42 2019-2020	\$ 8,591,318	\$ 8,591,318	
Total State Share through 6/30/21	\$ 22,516,057	\$ 22,516,057	\$ -
Match Funds Over<short> 6/30/21	\$ (801,638)	\$ (801,638)	\$ -

¹ A-87 Exception expired 12/31/2018. Beginning 1/1/2019, only Medicaid portion of E&E will be 90/10 funded.

²E&E includes all platform and shared services to support MAGI Medicaid Eligibility and Enrollment.

³ Costs include all planning grants, platform and shared services, and first year VHC operating costs which were covered 100% by CCIIO grant.

Updated October 16th, 2019

IE&E PROGRAM LEVEL PRIORITIES

CMS Mitigation Plan Items: Vermont has worked with CMS to identify several mitigation strategies designed to help the State achieve iterative progress in key areas of noncompliance in the Medicaid Aged, Blind, and Disabled (MABD) population. These include several milestones that the State must meet over the next 24 months. Vermont met its first milestone with the launch of an online fillable PDF for change of circumstance reporting in August. The State plans to launch a fillable PDF for the MABD population in November and to rollout phone processing in January.

Other priorities include:

- Expand training and development opportunities for staff
- Provide additional support for operations staff who are also leading projects
- Build process improvement expertise across the organization
- Understand the places in the roadmap that will increase work for staff on an interim basis and set expectations appropriately
- Find common ground with the Centers for Medicare and Medicaid Services (CMS) and Federal Nutrition Service (FNS) on cost allocation

- Build upon statewide efforts to:
 - Improve consistency in project management processes and tools;
 - Introduce structure to software decision making;
 - Build a maintenance and operations plan early.

IE&E LESSONS LEARNED – NETWORK CONNECTIVITY

To reduce the likelihood of performance issues impacting project delivery, the teams have identified two additional components for IE&E projects. The first component is the use of a standardized cloud solution from Microsoft called Azure DevOps. This solution will be the exclusive location for key project documents including the requirements, best practices, documentation and test plans. Prior test plans have focused around the business/functional requirements. Moving forward, additional non-functional requirements for performance will be included. The 'how' of measuring performance requirements requires load testing tools which comprises the second component. The adoption of a standardized load testing tool (Apache JMeter) has been completed but no tool is successful if there is not information on how to use it optimally. The load testing tool will be accompanied by full 'how-to' documentation; this documentation has been created and provides developers with specific instructions on how to build, monitor and assess code performance.

MEMORANDUM

TO: STEPHEN KLEIN AND CATHERINE BENHAM, LEGISLATIVE JOINT FISCAL OFFICE
FROM: DANIEL SMITH, IT CONSULTANT FOR THE JOINT FISCAL OFFICE
SUBJECT: ACT 42 – FY20/21 CAPITAL BILL AND THE INTEGRATED ELIGIBILITY PROJECT – THIRD
INSTALLMENT RECOMMENDATIONS
DATE: OCTOBER 22, 2019

Background. On October 4th, 2019 you asked me for recommendations regarding the third installment of Integrated Eligibility and Enrollment (IE&E) funding as described in Sec. 3 (e) of Act 42, the FY20-21 Capital Bill. This act specified that IE&E funding would be released in three parts as follows:

- \$3,250,000.00 upon passage of the act, which shall include \$250,000 to be used as described in Sec. 32 of the act (First Installment);
- \$750,000.00 following Joint Fiscal Committee (JFC) approval to release the funds at its September meeting (Second Installment); and
- \$750,000.00 following Joint Fiscal Committee approval to release the funds at its November meeting (Third Installment).

Act 42 specifies that the second and third installment approvals will be based on the results of reports prepared as described in my memo to you of April 5, 2019. AHS and ADS jointly submitted the first required report on September 1, 2019, and the JFC subsequently approved the release of the second installment. On October 22, ADS and AHS jointly submitted the second report. As required, this report includes the status, including successes, setbacks, and achievement of expectations, of the Online Application Project (CCP2), the Premium Processing Project, the Master Data Management Project, and CMS Mitigation Items. The report also includes updates on the projects previously reported on in September: the Healthcare Application Usability (HCAU) Project, the Electronic Content Management (ECM) Project, the Business Intelligence (BI) Project, and the Customer Portal Phase One: Document Uploader (CCP1) Project. The November report is considered complete, and includes updated information on cost, schedule, and overall status for each of the required projects.

Recommendations. Based on the submitted AHS/ADS report and other supporting documentation, I have the following recommendations:

1. While one of the ongoing projects is in a high risk state (Business Intelligence Project), and one has been deferred (Master Data Management Project), overall the program is in reasonably good shape. Some schedule slippage has been experienced, but overall things are proceeding at a reasonable pace. With regards to costs, some projects have cost more than initially estimated and some less, but overall the program is roughly on budget. My

conclusion from September is unchanged, in that there is no indication that the program is in danger of failure at this point. In addition, CMS has approved the cost allocation proposed by the state, which mitigates what was a significant financial risk to the program. As a result I recommend that the Third Installment funds be released by the Joint Fiscal Committee. As before, failure to release the funds would have a significant adverse impact on the IE&E program.

2. On October 18, 2019, the previous director of the IE&E program (Cass Madison) left State service for the private sector. In order to continue satisfactory progress for the IE&E program it is critical that program leadership be clarified. As a result, my second recommendation is that at the next meeting of JITOC AHS should present the new leadership structure of the IE&E program. As I have stressed in all previous project reviews, I feel that it is critical to success that overall responsibility and accountability rests with a single person.
3. At the time of the September report several projects had experienced difficulty as a result of network issues, and my recommendation was that ADS and AHS work in concert to develop a process for testing network capacity and effective functionality prior to the November IE&E report to the JFC. This process and plan was completed, and subsequently presented to the Joint Information Technology Oversight Committee (JITOC) at the October meeting. However, the Business Intelligence project has also experienced other problems that are not network related, and I am concerned about the program's ability to successfully complete the project using in-house resources. As a result, my third recommendation is that ADS and AHS present to JITOC either a plan that will ensure the successful completion of the BI project using in-house resources, or a plan to terminate or redirect the project. This presentation should be made at either the November or December JITOC meeting.

Report Review Details. After reviewing the November report, and taking into consideration the various reports and other documents that have been made available to me over the summer of 2019, I believe that the IE&E program is continuing to progress satisfactorily overall. While it is very good news that CMS has approved the state's proposed cost allocation (this was an earlier high risk item), my biggest concern at this point involves the Business Intelligence (BI) project, and the inability of ADS/AHS to make acceptable progress. The ongoing challenges with this project is also having impacts on other projects such as Master Data Management. As described in the recommendations paragraph above, I feel that it is critical that ADS/AHS determine whether this project can be successfully completed using in-house resources alone.

In reviewing progress against expectations, the following list describes the status of those items required to be included in the November ADS/AHS report per my April 5th memo:

- The Customer Portal Phase Two – Online Application Project. This project is the online version of the application that was developed under the Healthcare Application Usability Project. By the November meeting the expectation was that AHS will have a prototype

ready or nearly so. **Actual status: a contractor has been selected and has started work, and the project appears to be on track for completion by July of 2020.**

- The Premium Processing Project. This project represents activities to support the administration of financial benefit programs and the management of premiums, including transferring Qualified Health Plan premium processing to the insurance carriers. By the November meeting the expectation was that AHS have begun the development of the back-end (i.e. not user visible) components required to accomplish this transition. **Actual status: a contractor has been selected and has started work, and the project appears to be on track for completion by October of 2020.**
- The Master Data Management Project. This project represents the development and deployment of a Master Person Index (MPI) Service and accompanying user-interface and data quality tools. By the November meeting the expectation was that AHS have completed the initial project planning documentation. **Actual status: the project has once again been deferred due to a lack of resources and competing priorities.** Despite its acknowledged importance this project has been deferred multiple times since 2012, and there is substantial doubt on my part as to whether it will ever be successfully completed. It should be noted that the Master Person Index was a prerequisite for the IE contractual effort of 2015, and the failure to complete this and other prerequisites was a significant factor in the decision to abandon that effort and execute the February 2016 “reset” of the IE&E program.
- CMS Compliance Issues. This represents a number of items that AHS is working on to mitigate known problems with CMS compliance. By the November meeting the expectation was that AHS will have been largely successfully in addressing them. **Actual status: progress has been made on several mitigation items, and the remainder will be completed incrementally throughout 2020 and 2021.**
- Projected schedules and activities for the remainder of FY20. This represents an update to the current project schedules to reflect anticipated activities during the remainder of the year. The expectation is that this presentation will set the stage for subsequent requests for FY21 Capital Bill adjustments, specifically revisions to the initial \$3.9M appropriation. **Actual status: The November IE&E status report contains the required information, including the anticipated request to increase the \$3.9M appropriation to \$4.5M.**



State of Vermont
Office of the Secretary
219 North Main Street, Suite 101
Barre, VT 05641
vtrans.vermont.gov

[phone] 802-476-2690
[fax] 802-479-2210
[ttd] 802-253-0191

Agency of Transportation

MEMORANDUM

TO: Adam Greshin, Commissioner of Finance & Management

FROM: Joe Flynn, Secretary of Transportation

DATE: October 3, 2019

RE: AOT Construction Inspection

The Construction Section of the Agency of Transportation (AOT) exists for the purpose of meeting the State of Vermont's obligation to provide direct supervision of the construction work and labor of any Federal-aid highway project and to ensure Federal funding secures the product specified in the Contract.

Federal regulations (23 CFR § 635.105) require that projects receive adequate supervision and inspection to ensure our transportation projects are completed in conformance with approved plans and specifications. The Agency appoints a staff person to be in "responsible charge;" this individual is referred to as the "Resident Engineer." The Resident Engineer assigned with responsible charge must be a "full-time employed state engineer." The guidance stipulates that this person maintain familiarity of day-to-day project operations, makes or participates in decisions about changed conditions or scope changes, and visits and reviews the project on a frequency that is commensurate with the magnitude and complexity of the project, among other administrative duties.

23 CFR § 637 requires that AOT develop, for Federal Highway Administration (FHWA) approval, a Quality Assurance Program (QAP). AOT's Quality Assurance Program is a risk-based approach to materials acceptance. It identifies the acceptance criteria for all materials used on projects. AOT evaluates where the material is used and the consequence of its failure to determine how that material is accepted. For instance, much more emphasis is placed on structural steel than silt fence. The QAP can be found here:

<https://outside.vermont.gov/agency/vtrans/external/docs/construction/04MatTestCert/VTrans%20Quality%20Assurance%20Program.pdf>

AOT utilizes an itemized bid process. The process consists of breaking each Contract down into small discreet types of work. Each portion has a specification associated with it. The specification dictates the manner in which the work shall be completed, the type of materials used, and the manner in which the work is paid.



The Resident Engineer and on-project construction inspection teams have attended specific trainings conducted by the Northeast Transportation Technician Certification Program and the American Concrete Institute. This training provides staff the fundamental technical skills to be a certified inspector. Inspectors also participate in internal trainings conducted by the Agency. The Construction Section maintains a Construction Manual that provides guidance and strives to create uniformity for all those working in the Section. The Construction Manual can be found here:

<https://outside.vermont.gov/agency/VTRANS/external/docs/construction/2018%20Construction%20Manual%20Addendum.pdf>

Section IV of the Construction Manual provides specific guidance related to each item of work. Each item has 6 sections: General, Required Submittals, Engineering, Sampling and Testing, Construction and Inspection, and Measurement and Documentation. It is this guidance that describes inspection techniques, points of emphasis, and engineering concerns related to the items of work.

AOT contracts are staffed based on the following roles: Resident Engineer, Chief Inspector, Inspector, and Office Engineer. Who is assigned each of these roles and how many people are assigned to each role is based on a risk assessment of the contract itself. It is possible that only one or two people are assigned to a contract to fill all 4 roles. On a bigger more complicated contract we may assign as many as 10 people or more. A line striping contract will have very few staff compared to a large complicated bridge contract. Part of the risk assessment and contract assignments will dictate our on-project presence. One of the factors considered is to make sure that staff are available to inspect critical work that cannot be verified later. Our specifications help in this manner because in some instances we have "hold points" that require the contractor to stop work until the inspection is complete. In most instances though we try to have staff available to inspect the work as it progresses. Our contracts require that Contractors give us advanced notification anytime they want to work on a contract. This allows us to ensure that we have staff available to inspect the work.

To date, nothing in our investigation of J.A. McDonald, Inc. projects has identified a deficiency in our Quality Assurance Program or Construction Inspection process. However, AOT has identified higher-risked items and made changes in both specifications and employee training. As soon as AOT became aware of the allegations, and conducted investigations, Engineering Guidance was issued preventing the Drilling and Grouting of Anchor Bolts on future contracts. AOT also commenced staff training on the risks associated with anchor bolt drilling and grouting and consequently the new acceptance method for anchor bolt installation. AOT's heightened awareness of the issues surrounding anchor bolt/reinforcing steel conflicts has led to a lesser chance of this situation happening again.

cc: Senator Richard Sears

F.

~~6/12/18~~ 6/12/18 Murty w/ Matthew Hake (FEMA) Ann Grand (VTrans)
Matt DiGiovanna (FEMA)

Bennington- 019-1(53) Allegations

Joe Flynn (VTrans)

Wayne Symonds (VTrans)

1 VSA 317(c)(5)(A)(iv)

Furnace Brook Bridge

- Attempted to bend connecting bolts into alignment with a template anchor plate- heads cut in a manner similar to Bristol project- directed to hammer or cut the bolt heads

East Road Bridge

- When drilling concrete for anchor bolts, workers hit rebar. [REDACTED] cut through rebar [REDACTED]

Gulford 091-1(33) Allegation

- Rebar cutting on "Bridge No. 3" similar to that of East Road

1 VSA 317(c)(5)(A)(iv)

[REDACTED]

[REDACTED] is aware of potential violations which occurred in Bennington, Vermont and which may be broken into the "Furnace Brook" violations and the "East Road" violations. The Furnace Brook violations [REDACTED] going around to various connecting bolts and attempting to bend them into alignment with a template anchor plate. [REDACTED] cut the bolt heads in a manner similar to the Bristol project [REDACTED]

[REDACTED] directed to hammer or cut the bolt heads [REDACTED]

[REDACTED]

The East Road violations were at another part of the larger Bennington project which began after the Furnace Brook portion, [REDACTED] The specification violating act was that anchor bolts had to be dropped through reinforced concrete. It is possible to either pour the concrete and attempt to drill through the concrete without hitting rebar or to use hollow sleeves at the time of pouring the concrete through which the bolts can later pass [REDACTED]

[REDACTED] workers were hitting rebar when drilling through the concrete preventing inserting the bolt through the concrete as needed due to rebar being in the way. [REDACTED] cut through the rebar [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] had been out late at night cutting rebar on the East Road project [REDACTED]

Later, in approximately March 2016, [REDACTED] well known in JA McDonald for shorting people their wages under Davis-Bacon and for cutting corners, such as cutting rebar and bolt heads. [REDACTED] stated that he did not know why [REDACTED] had the practice of cutting rebar as the use of sleeves was easy but otherwise acknowledged [REDACTED] regularly cut rebar on other projects. Another employee, [REDACTED] also stated to [REDACTED] he also knew about [REDACTED] habit of cutting rebar.

[REDACTED] another project where [REDACTED] cut rebar in a like manner. That project was part of rehabilitation on "Bridge No. 3" on I-91 and was part of a federal grant totaling \$3,008,442 in 2008, and which eventually was disbursed under Vermont AOT Project Guilford AC IM 091-1(33). The project was finally complete in November 2011.

[REDACTED]
[REDACTED] the same rebar cutting be done on the Guilford Project as on East Road [REDACTED]

[REDACTED] cutting was also done at night on the Guilford project, [REDACTED]

[REDACTED] had also taken part in the nighttime cutting.

1 VSA 317(c)(5)(A)(iv)

CONFIDENTIAL

Bennington RT 279
"Furnace Brook Bridge"

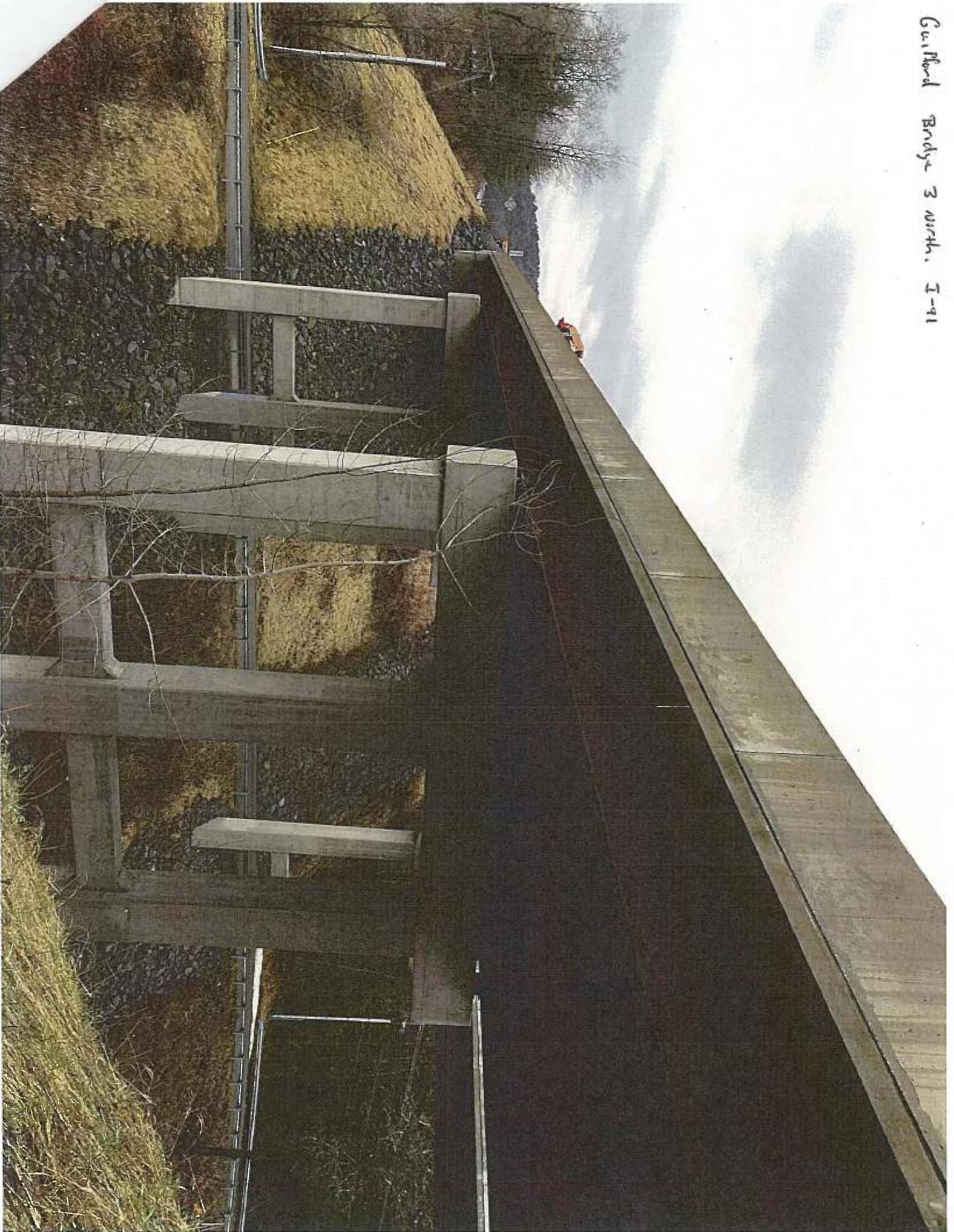


04/11/20

Bennington East Road over RT 279
"East Road Bridge"



Cairford Bridge 3 north. I-91



GUINARD BRIDGE 3 SOUTH I-91



State Route Highway Bridges Constructed (2002 - 2019)

Project Name and Number	Route	Bridge(s)	Type of Bridge	Construction Completion
Barnet IM SCRP(2)	I-91	54" and 60" pipe liner and headwalls	ultrashort structure	9/15/2008
Barton BRO 1449(29)	TH-3	bridge #61	welded plate girder	12/5/2008
Bennington AC NH 019-1 (54)	US-7	US-7 Ramp A over VT-279 (bridge #14A or VT-279, bridge #9)	two span continuous welded curved girder	11/6/2013
Bennington AC NH 019-1 (54)	US-7	US-7 over VT-279 (bridge #14S or VT-279, bridge #8)	two span continuous welded curved girder	11/6/2013
Bennington AC NH 019-1 (54)	US-7	US-7 Ramp G over VT-279 (bridge #13N or VT-279, bridge #10)	two span continuous welded curved girder	11/6/2013
Bennington AC NH 019-1(53)	FAS-1021	East Road / TH-5 over VT-279 (bridge #11D or VT-279, bridge #11)	two span continuous curved girder	6/16/2011
Bennington AC NH 019-1(53)	VT-279	bridge #12 over Furnance Brook	two span continuous curved girder	6/16/2011
Brattleboro BRF 2000 (21)S	TH-10	bridge #30	welded plate girder	8/19/2011
Brattleboro NH 010-2(2)	VT-9	RR bridge #62.56	rail bridge	7/14/2005
Brattleboro NH 010-2(2)	VT-9	RR bridge #62.51	rail bridge	7/14/2005
Brighton ER STP 034-3(25)	VT-105	bridge #84	next beam	11/21/2013
Bristol STP F 021-1(15)	VT-116	bridge #8	two span welded plate girder	12/22/2017
Cabot-Danville FEGC F 028-3(26) C/2	US-2	bridge #87	next beam	9/20/2019
Cabot-Danville FEGC F 028-3(26) C/2	US-2	bridge #88	next beam	9/20/2019
Clarendon BRO 1443(48)	TH-3	bridge #11	next beam	11/16/2016
Duxbury BF 013-4(47)	VT-100	bridge #193	precast concrete culvert	10/28/2017
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #87N	welded plate girder	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #87S	welded plate girder	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #88N	three span continuous rolled beam	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #88S	three span continuous rolled beam	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #86-5	corrugated metal plate pipe	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #87-3N	segmental reinforced concrete box	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #87-3S	segmental reinforced concrete box	10/28/2002
Fairfax-St. Albans IM 089-3(27)	I-89	bridge #88-3	reinforced concrete box	10/28/2002
Guiford AC IM 091-1(33)	I-91	bridge #3N	three span continuous plate girder	11/8/2011
Guiford AC IM 091-1(33)	I-91	bridge #3S	three span continuous plate girder	11/8/2011

State Route Highway Bridges Constructed (2002 - 2019)

Project Name and Number	Route	Bridge(s)	Type of Bridge	Construction Completion
Hubbardton ER STP 0161(26)	VT-30	bridge #96	precast concrete frame	2/12/2015
Hubbardton ER STP 0161(27)	VT-30	bridge #98	precast concrete box	2/12/2015
Irasburg STP CULV(30)	VT-58	bridge #6	segmental precast concrete box	8/30/2016
Irasburg STP CULV(30)	VT-58	bridge #7	segmental precast concrete box	8/30/2016
Lincoln BRF 0188(8)	TH-1	bridge #19	prestressed concrete box beam	6/8/2016
Lunenburg NH CULV(27)	US-2	bridge #126	precast segmental arch	9/8/2017
Putney IM 091-1 (31)	US-5	bridge #19A (I-91, bridge #17 under US-5)	five span welded plate girder	7/13/2011
Searsburg-Wilmington NH F 010-1(18)	VT-9	bridge #24	precast rigid frame	12/10/2004
Searsburg-Wilmington NH F 010-1(18)	VT-9	bridge #25	three span continuous curved girder	12/10/2004
Searsburg-Wilmington NH F 010-1(18)	VT-9	bridge #25A	two span continuous curved girder	12/10/2004
Searsburg-Wilmington NH F 010-1(18)	VT-9	bridge #25B	three span continuous curved girder	12/10/2004
Shelburne NH EGC 019-4(27)	US-7	US-7 over Munroe Brook (3 sided culvert, bridge #145, 145' long)	segmental reinforced concrete box	6/1/2008
Shelburne NH EGC 019-4(27)	Bay Road	Bay Road over Munroe Brook (3 sided culvert, town short #4, 95' long)	segmental reinforced concrete box	6/1/2008
South Burlington IM CULV(24) and Georgia IM CULV(25)	I-89	bridge #63-1N	segmental reinforced concrete box	5/24/2018
South Burlington IM CULV(24) and Georgia IM CULV(25)	I-89	bridge #63-1S	segmental reinforced concrete box	5/24/2018
South Burlington IM CULV(24) and Georgia IM CULV(25)	I-89	bridge #64-1N	segmental reinforced concrete box	5/24/2018
South Burlington IM CULV(24) and Georgia IM CULV(25)	I-89	bridge #64-1S	segmental reinforced concrete box	5/24/2018
South Burlington IM CULV(24) and Georgia IM CULV(25)	I-89	bridge #83-1	precast concrete arch	5/24/2018
South Burlington IM DECK(36)	US-2	bridge #18C (I-89, bridge #68 under US-2)	multi span rolled beam	12/4/2003
South Burlington STP BIKE(28)S	US-2	bike path on bridge #18C (bridge #68)	bike path bridge	12/4/2003
Springfield ST CULV(5)	VT-11	bridge #55	buried precast box beam	7/31/2008
Walden BRF 030-3(5)	VT-15	bridge #83	next beam	1/21/2016



FOR IMMEDIATE RELEASE

August 30, 2019

Contact: Wayne Symonds, Agency of Transportation
802-279-8745, Wayne.Symonds@vermont.gov

AGENCY OF TRANSPORTATION TAKES ACTION AGAINST J.A. MCDONALD, INC.

Barre, Vt. — The Vermont Agency of Transportation (AOT) is actively investigating whistleblower allegations of willful, non-conforming construction services by contractor J.A. McDonald, Inc. pertaining to two bridges constructed by J.A. McDonald in Bennington on Route 279 and two bridges on I-91 in Guilford. The investigation has corroborated the allegations, but also confirmed there are no immediate safety concerns.

The agency has notified the company that the investigation has led AOT to conclude that J.A. McDonald is no longer eligible to work on additional AOT projects or on projects utilizing AOT grant funds. The company has also been made aware of the State's intent to pursue legal recourse under the state's laws prohibiting fraudulent activities and false claims. The State is also reviewing potential contract claims.

"Safety is the number-one concern of this agency and has been our top concern in this matter," said Transportation Secretary Joe Flynn. "While there is no immediate public safety concern, the agency will aggressively investigate any actions that allegedly violate our contracts, threaten the integrity of our infrastructure, or undermine the public trust."

Immediately following the whistleblower complaints, AOT bridge engineers evaluated the bridges and determined there were no immediate public safety concerns. Additionally, AOT hired an engineering consultant to further review the project designs and analyze the impacts. The engineers used ground-penetrating radar, ultrasonic tests, and conducted visual examinations. Based on the results of all the testing, the agency has concluded the affected bridges are safe and will remain safe for full traffic capacity. However, the construction practices, which were discoverable and confirmed only after invasive testing of the structures, will affect the longevity of the structures.

J.A. McDonald is currently contracted by the State to perform work in downtown Waterbury and Route 2 in Cabot, Vermont. AOT has assigned additional oversight to these projects to ensure the integrity of the work meets the contract requirements. Both contracts were awarded prior to confirmation of the allegations and do not include the type of construction involved in the bridge projects. The agency has determined that halting construction on these projects would cause significant and costly delays for the state, the communities and taxpayers. AOT will work to mitigate the impacts of this ongoing investigation, and ensuing legal action, on the communities.

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Joint Fiscal Office

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

MEMORANDUM

To: Senator Ann Cummings, Chair
Representative Kitty Toll, Vice Chair
Members of the Joint Fiscal Committee

From: Stephen Klein, Chief Fiscal Officer

Date: November 4, 2019

Subject: November 2019 – Fiscal Officer's Report

What follows is an update of recent developments, some of which will be on the agenda for the November 4th meeting of the Joint Fiscal Committee.

1. FY 2020 Revenue Collection Status

Although October revenues are yet to be finalized, it appears as though General Fund revenues for the first four months are strong. Education Fund revenues are slightly above target while revenues in the Transportation Fund are slightly below.

General Fund: Total General Fund revenues, including the incorporation of healthcare revenues from the former State Healthcare Resources Fund, are running \$14.4 million above the four-month target (2.93%). The vast majority of this is being driven by strong Personal Income Tax receipts, which are \$10.9 million above target (4%). Withholding has showed continued strength over the first four months, while estimated payments in September exceeded forecasts. Other updates include:

- Corporate income taxes are running \$1.9 million above target (6.06%).
- Meals and Rooms taxes are coming in on target. October was the first month 6% of GF and M&R receipts were diverted to the Clean Water Fund.
- For healthcare revenues, the Hospital Provider tax is \$1.3 million (3%) above target for the first four months. There are also indications from the Department of Taxes that e-cigarette revenues for the first three months have been coming in above estimates as well. Overall, tobacco-related revenues are running about \$700,000 above target for the first four months.
- Estate tax receipts, after a slow year in FY19, are currently \$1.2 above target.

Transportation Fund: Total Transportation Fund revenues came in \$1 million below target for the first four months (-1.1%). Strong DMV fee revenue (\$1.1 million above target) are being offset by weakness in gasoline tax (\$600,000 below target) and other revenues¹ (\$1.7 million below target). As data are finalized, these numbers may change slightly.

¹ Includes non-DMV related fees and other revenues, such as inspection fees, railroad revenue, and fines.

Education Fund: Revenues in the Education Fund are running \$500,000 (0.27%) above target. Sales tax revenues, which started the year below target, have exceeded their monthly forecasts in the last three months and are currently \$800,000 above target (0.52%). Lottery revenues are below their four-month target by \$300,000 but this could change as revenues for October are finalized.

2. The Budget Adjustment and Budget development Process

The Budget Adjustment is likely to be larger than prior years. There are budget pressures in the Departments for Children and Families, Corrections, Public Safety, and Judiciary. In addition, there may be some upward pressure related to the ACO delivery system reform. The Agency of Transportation has also been impacted by relatively level federal funds.

As partially talked about at the last meeting in our budget pressures analysis, FY 2021 will be impacted by the Pay Act, continued retirement cost pressures, several special funds' receipts not keeping pace with expenditure needs and technology pressures. The Administration will be presenting an update on Budget Adjustment and budget pressures at the November meeting.

3. State Employees' and Teachers' Retirement Funds

The actuarial reports for the State Employee's and Teacher's Retirement systems have been finalized, however, the report for the OPEB, or health care obligations, are still a few weeks away. In addition, the Actuary has been working on a risk assessment project with the Treasurer. There may be recommendations to improve funding for the system submitted to the Legislature this coming session.

a. The State Employee's Retirement System:

1. The state employee's retirement system funded ratio of total pension liability based on the market value of assets went from 69.2% at the end of FY 2018 to 68.7% at the end of FY 2019. Using the actuarial valuation, which smooths the fund values and does not count all of FY 2019's lower investment performance, the funded ratio is 70.7% for both last year and this year.
2. For FY 2021, the actuarially determined contribution is \$83.9 million, this is up \$5 million from the FY 2020 level. This contribution is paid as a charge to agencies and represents the obligation shared by a variety of funds.
3. The State employee's system returned 6.1% on the market value of invested assets, and 6.8% using the actuarial value of assets. This is below the target expectation of 7.5%.

b. Teachers Retirement System:

1. The Teacher's Retirement System funded ratio of total pension liability based on the market value of assets went from 54.2% at the end of FY 2018 to 54.3% at the end of FY 2019. Using the actuarial valuation which smooths the

fund values and does not count all of FY 2019's investment underperformance, the funded ratio is 55.7% compared to FY 2018 when it was 55.2%.

2. For FY 2021, the requested contribution is \$135.6 million, of which \$7.2 million is the employer normal cost which comes from the Education Fund and \$128.4 is the unfunded liability. An estimated \$5.7–\$6.0 million will be covered by school districts from federal grants. The remainder of the contribution will come from the General Fund if this request were to be funded and is about a \$6.1 million increase from the FY 2020 GF funded level.
3. The State Teacher's system returned 6.3% on the market value of invested assets, and 6.9% using the actuarial value of assets. This is below the target expectation of 7.5%.

4. FY 2020 Medicaid Expenditure Trend in DVHA

Medicaid expenditures are trending about 1.6% below estimates through October 25, 2019. During this same period, estimated expenditures were \$241,116,028 compared to actual expenditures that are trending lower at \$237,256,185. The key differences are as follows:

Medicaid Program Actual Revenues and Spending vs. Estimates to Date:

- Total program expenditures are \$3.860 million below estimate.
- Claims are \$1.8 million over estimate.
- Drug Rebates are \$5.8 million over estimate (this means expenditures are lower as a result of the higher rebates).
- Buy in and claw back are \$140,000 over estimates.

5. Other Medicaid Issues

The OneCare Vermont ACO had 69,512 attributed Medicaid lives as of September 30, 2019 with as many as another 40,000 Medicaid lives potentially being added in CY 2020. JFO staff continue to work with AHS and DVHA to better understand how this will be incorporated into the Medicaid budget forecast model.

Additionally, as part of their CY 2020 budget submission to the Green Mountain Care Board, OneCare has assumed \$13.1 million in gross funds (state and federal) in health care reform investment dollars from the State. None of these funds are in the current FY 2020 budget. Of this \$13.1 million, \$7.8 million requires approval from CMS. AHS is in the process of seeking approval to allocate these funds. It is not yet clear if/how much the Administration will request in funding for additional delivery system reforms as part of the FY 2020 Budget Adjustment, the FY 2021 budget proposal, or some combination of the two. The remaining \$5.3 million is likely to be budget neutral to the State as it represents existing care coordination funding and potential redirected budgeted capacity from fee-for-service expenditures.

The budget submitted by OneCare assumes \$3.5 million gross in State assistance for health information technology.

6. Tax Letter

The Administration, in consultation with the Joint Fiscal Office, is working toward developing an Education Fund tax letter for December 1. One issue is that Act 11 of 2018 created a Commission on Public School Employees which is negotiating health care coverage for all school employees. The negotiations are currently before an arbitrator who is expected to choose between two “last best offers.” The decision is expected around December 15th.

The total cost of health care coverage under negotiation is about \$261 million. Initial indications are that the potential difference in the two offers could be up to 10% of that amount meaning, depending upon what position is selected, the impact on education spending and tax rates could vary up-to 3 cents. The outcome will not be known in time for the letter so there may have to be an explanation or alternative scenarios.

7. Grant Policies Revision

During the 2019 legislative session, the General Assembly revised the grant acceptance language set forth in 32 V.S.A. § 5². As part of this revision, the General Assembly authorized the Joint Fiscal Committee (JFC) to adopt policies to implement the grant acceptance process. Prior to this change, the Joint Fiscal Committee’s authority to adopt policies on the grant acceptance process was limited to expedited review of a grant when the General Assembly is not in session. Rebecca Wasserman from the Legislative Council has prepared a memorandum with the suggested policy changes based upon the statutory revisions. She and Dan will present these suggestions at the upcoming JFC meeting.

8. Joint Fiscal Office Updates

The proposed FY 2021 JFO Budget: The Joint Fiscal Office Budget for FY 2021 is proposed at \$2,155,942, which is 6.6% above FY 2020 and 4.1% once Pay Act is counted. The growth is due to the following:

- a. Rebecca Buck’s final retirement and Neil Schickner’s retirement: This is the last session that Rebecca Buck will be working in the Senate and doing the technical creation of the budget bill. As you may know, Becky retired as a full-time staff member eleven years ago. Since then she has worked as a temporary employee, full time during the session and ten hours a week during the off session. Her replacement is likely to be a full-time employee as we have not had qualified applicants willing to work for less than full time or some close proximation. This is estimated at a \$50,000 upwards budget pressure. It is, in part, offset by Neil’s retirement. We will seek a less senior replacement for that position. Depending on benefit choices, upwards pressure could be offset by about \$20,000.

² See 2019 Acts and Resolves No. 72, Sec. E.127.2

- b. Recognition of Joyce Manchester and Chloe Wexler: The FY 2019 recognizes prior decisions to move Chloe Wexler and Joyce Manchester to full time from 80%: Chloe has added general data support to her responsibilities and is assisting Joyce, Stephanie, and Graham with several data intensive projects with the extra time. Joyce has been integrally involved in minimum wage and family leave work in the Legislature and continues to work on research projects in human services and tax. We continue to reduce time Deb Brighton works from a high in FY 2018 of \$45,000 to a projected \$15,000 in FY 2021. The net cost of the added time for Chloe and Joyce is in the range of \$25,000 to \$30,000.
- c. The Kavet Contract Renegotiation: We have negotiated a four-year contract extension for Tom Kavet. We expect this contract to annually increase by about \$10,000. While this is a budget pressure it is far below market. To quote Tom during the negotiations “No other work we do is now at less than double the highest hourly rate in the attached contract – even for other State governments (such as the recent Northern Pass Transmission line analyses for the NH AG).”
- d. We had built in funds for the increases due to the NCSL study. Other budget pressures are the annualization of Pay Act, changes in retirement costs and small increases in IT service contracts.



STATE OF VERMONT
OFFICE OF LEGISLATIVE COUNCIL

MEMORANDUM

To: Members, Joint Fiscal Committee
From: Rebecca Wasserman
Date: October 30, 2019
Subject: Revised Grant Acceptance Policy; Proposed Revision to 32 V.S.A. § 5

Revised Grant Acceptance Policy

During the 2019 legislative session, the General Assembly revised the grant acceptance language set forth in 32 V.S.A. § 5¹. As part of this revision, the General Assembly authorized the Joint Fiscal Committee (JFC) to adopt broad policies to implement the grant acceptance process. Prior to this change, the Joint Fiscal Committee's authority to adopt policies on the grant acceptance process was limited to expedited review of a grant when the General Assembly is not in session.

Accordingly, the attached policies are submitted to the JFC for review and consideration for adoption. A summary of the changes to the policies are set forth below:

- Adds definitions for "grant", "loan", "small grants", and "State agency";
- Sets forth timeline for Joint Fiscal Office (JFO) staff to submit grant materials and information to the JFC;
- Requires Legislative and Judicial branches to submit grant materials directly to the JFO;
- Clarifies that six members of the JFC can approve expedited review of a grant;
- Requires that the Executive, Legislative, and Judicial branches submit a list of grants between \$1,500.00 and \$15,000 to the JFO on a quarterly basis; and
- Clarifies that a limited-service position is approved in the same manner that the underlying grant is approved and provides a definition for limited-service position from the Department of Human Resources Policies and Procedures Manual.

Proposed Revision to 32 V.S.A. § 5

¹ See 2019 Acts and Resolves No. 72, Sec. E.127.2

1

JOINT FISCAL COMMITTEE

GRANT ACCEPTANCE POLICIES

Effective Date: November [•], 2019

Joint Fiscal Committee
Grant Acceptance Policies
("Policies")

1. Introduction; Purpose and Scope

These Policies are designed to implement the grant acceptance process set forth in 32 V.S.A. § 5. Pursuant to 32 V.S.A. § 5(g), the Joint Fiscal Committee is authorized to adopt these Policies. The goal of the Policies is to provide clarity on the required Legislative process for the State of Vermont ("State") to accept grants. These Policies also seek to increase transparency to the public, and address and reduce risks associated with the State accepting grants.

2. Definitions

Unless otherwise provided in these Policies, the terms below shall have the following meanings:

2.1. **Grant** means the original of any grant, gift, loan, or any sum of money, or thing of value.

2.2. **Loan** means a loan that is interest free or below market value.

2.3. **Small grants** means a grant with a value of at least \$1,500.00 but no more than \$15,000.00.

2.4. **State agency** means an Executive Branch agency, department, commission, or board.

3. Roles and Responsibilities

It is the role of the Joint Fiscal Office, as staff of the Joint Fiscal Committee, to receive grant acceptances, rejections, and notifications from the Governor, and to receive grant materials and notifications from the Legislative and Judicial Branches.

Any grant materials or information should be directed to designated Joint Fiscal Office staff.

As soon as practicable after receiving completed grant materials or information, Joint Fiscal Office staff shall send copies of the materials or information to the Joint Fiscal Committee.

4. Submission of Grant Materials from the Judicial and Legislative Branches

Under 32 V.S.A. § 5(d), the Joint Fiscal Committee is required to approve the original of any grant to the Legislative and Judicial Branches valued at more than \$15,000.00.

In order to receive approval for a grant, the Legislative and Judicial Branches should submit a copy of the grant materials to the Joint Fiscal Office.

5. Expedited Grant Review

Under 32 V.S.A. § 5, the Joint Fiscal Committee has 30 days to review any grant to the Executive, Judicial, or Legislative branches. Unless the Joint Fiscal Committee acts to place an item on its agenda, the grant is considered approved. When a grant is placed on the Joint Fiscal Committee agenda, approval is subject to a vote of the Joint Fiscal Committee.

The Joint Fiscal Committee is authorized under limited circumstances to expedite review of a grant to the Executive, Judicial, or Legislative branches in advance of the expiration of the 30-day period. For the Executive branch, the Joint Fiscal Committee may waive the statutory 30-day review period without a formal committee meeting if: (1) the Governor's approval is considered final, and (2) a majority of the members of the Joint Fiscal Committee agree to waive the balance of the review period. For the Judicial and Legislative branches, the Joint Fiscal Committee may waive the statutory 30-day review period without a formal committee meeting if a majority of the members of the Joint Fiscal Committee agree to waive the balance of the review period.

The process for waiving the balance of the review period is as follows:

- 5.1. An agency of department, or a member of the General Assembly, must make a request for expedited review of grant to the Chair of the Joint Fiscal Committee. If the Chair is unavailable, then the request may be made to the Vice-Chair of the Committee.
- 5.2. The Chair of the Joint Fiscal Committee (or Vice-Chair) decides whether to authorize the expedited review process. If the request for the expedited review process is granted, Joint Fiscal Office staff are authorized to conduct a canvass of the remaining members of the Committee for the purpose of waiving the balance of the review period.
- 5.3. Joint Fiscal Office staff may canvass members via email, telephone, or mail, and maintain a record of all responses.
- 5.4. At least six (6) affirmative responses to the request to waive the balance of the review period must be received. The review period shall not be waived in the event of an objection by any member of the Joint Fiscal Committee.
- 5.5. The Joint Fiscal Office shall notify the requesting agency or department of the result of this action.

5.6. A memorandum recording the waiving of a review period shall be placed on file at the Joint Fiscal Office.

6. Small Grant Notification

32 V.S.A. § 5(b)(4) provides that grants from a State agency with a value of \$15,000.000 or less are not required to go through the grant review or approval process if the acceptance of the grant will not incur additional expense to the State or create an ongoing requirement for funds or services. In addition, the review and approval process does not apply to legal settlements. For the Legislative and Judicial Branches, grants with a value of \$15,000.00 or less are also not required to obtain Joint Fiscal Committee approval.

32 V.S.A. § 5(b)(4) does require that the Joint Fiscal Committee receive notification of small grants. This notification requirement applies to small grants to a State agency and to the Legislative and Judicial Branches.

The Joint Fiscal Committee requires that small grant notifications from the Executive, Legislative, and Judicial Branches are sent to the Joint Fiscal Office. The Joint Fiscal office shall submit a list of notifications received to the Joint Fiscal Office on a quarterly basis.

7. Approval of Limited Service Positions

Under 32 V.S.A. § 5(d), the Joint Fiscal Committee is authorized to approve a limited service position request in conjunction with a grant if the position is explicitly stated for a specific purpose in the grant, and the position request is approved pursuant to the same acceptance process as the grant.

For purposes of approving limited service positions, the Joint Fiscal Committee shall use the definition of a limited service position set forth in the Vermont Department of Human Resources, Personnel Policies and Procedures Manual, Section 5.1:

“A limited service position is a non-tenured position in the classified service which, when initially established, is reasonably expected to exist for a limited duration of less than three (3) years but more than one (1) year. Such positions have a definite termination date and are usually associated with a specially funded project or program.”

REPORTS



MEMORANDUM

TO: Joint Fiscal Committee
FROM: Adam Greshin, Commissioner, Department of Finance and Management
RE: Report on FY 2020 Pay Act Allocations (per 3 VSA Sec 2281 (4))
DATE: October 30, 2019



Please find attached the report on distribution of the FY 2020 Pay Act.

The FY 2020 Pay Act appropriations for the Executive Branch were made in 2018 Act 191 Sec.15(a)(2)(A) [\$8,569,000 General Fund] and Sec.15 (a)(2)(B) [\$2,368,000 Transportation Fund]. The Judicial Branch is appropriated \$1,090,441 General Fund in Sec.15 (b)(2)(B), and the Legislative Branch is appropriated \$307,000 General Fund in Sec.15 (c)(2).

Of the executive pay act amount described above, \$602,500 is committed to various non-salary items stipulated by the VSEA contract.

Please note, final Pay Act transfers occur near the end of the fiscal year and may differ from transfers listed in the attached schedule based on an assessment of each department's final need. Currently, there is a \$347,310 estimated gap between Pay Act need and the Pay Act Appropriation. This gap is likely due to a variety of factors, the largest being the impact of position reclassifications that occur after passage of the Pay Act. However, we expect that at the time of the actual distribution of FY 2020 Pay Act, the amount of the appropriation should be sufficient to meet departments' needs. This expectation is based on: 1) actual payroll costs may be lower than currently forecast; 2) many departments carried forward General Funds from FY 2019 into FY 2020 for the purpose of supporting their FY 2020 salary needs; and 3) departments may have other opportunities within their budgets to identify offsetting savings.

Pay Act Calculation Methodology

The methodology used in developing Pay Act potential needs is as follows:

- The General and Transportation Fund share of the required Pay Act are derived from the FY 2020 As Passed budget which reflects an estimated annualized June 30, 2019 payroll base.
- Department Pay Act salary requirements (that is, the value of the FY 2020 salary increases, both COLA and steps) are projected position-by-position for all employees using the 2020 As Passed budget, which reflects an estimated annualized June 30, 2019 payroll base for departments. The Pay Act potential need is the value of the General and Transportation Fund share of salaries and benefits that are driven by salary (FICA, retirement, life insurance, and LTD).
- The costs of various non-salary contract items are stipulated in certain articles of the State-VSEA Bargaining Agreement.

Attachment

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

FY 2020 PAY ACT REPORT: 3 VSA SEC 2281(4)**

10/16/2019	(A)	(B)	(C)	(D)
	Pay Act Potential Need - General Funds	Pay Act Potential Need - General Funds (Legislature)	Pay Act Potential Need - General Funds (Judiciary)	Pay Act Potential Need - Transp. Funds
1100010000 - Secretary of Administration	14,422			
1105500000 - ADS - Agency of Digital Services	2,964			
1110003000 - Finance and management - budget and management	30,617			
1120010000 - Human resources - operations	47,551			
1130030000 - Libraries	28,929			
1140010000 - Tax - administration/collection	358,412			
1150400000 - Buildings and general services - information centers	8,935			
1150500000 - Buildings and general services - purchasing	27,914			
1160050000 - Buildings and general services - postal services	1,932			
1200010000 - Executive office - governor's office	46,878			
1210001000 - Legislative council	-	120,031		
1210002000 - Legislature	-	107,335		
1220000000 - Joint fiscal committee	-	51,935		
1230001000 - Sergeant at arms	-	27,699		
1240001000 - Lieutenant governor	5,914			
1250010000 - Auditor of accounts	5,571			
1260010000 - State treasurer	23,539			
1270000000 - State labor relations board	4,622			
1280000000 - VOSHA review board	513			
2100001000 - Attorney general	135,952			
2110000100 - Defender general - public defense	211,972			
2110010000 - Defender general - assigned counsel	3,105			
2120000000 - Judiciary	-		1,090,441	
2130100000 - State's attorneys	302,726			
2130200000 - Sheriffs	103,344			
2140010000 - Public safety-state police	1,337,566			
2140020000 - Public safety - criminal justice services	42,684			
2140030000 - Public safety - emergency management	7,305			
2140040000 - Public safety - fire safety	6,970			
2140060000 - Public safety - administration	42,196			
2140090000 - Forensic Laboratory Division	58,023			
2150010000 - Military - administration	20,721			
2150020000 - Military - air service contract	13,340			
2150040000 - Military - building maintenance	13,934			
2150050000 - Military - veterans' affairs	16,606			
2170010000 - Criminal justice training council	30,075			
2200010000 - Agriculture, food and markets - administration	16,278			
2200020000 - Agriculture - food safety and consumer protection	66,329			
2200030000 - Agriculture - agricultural development	16,109			
2200040000 - Agriculture - labs, resources management and environmental	11,739			
2200150000 - Agriculture-Vermont Agricultural & Environmental Laboratory	14,751			
2200160000 - Agriculture-Clean Water Initiative	16,909			
2280001000 - Human rights commission	11,068			
3150070000 - Mental health - mental health	317,242			
3300010000 - Vermont veterans' home - care and support services	6,278			
3310000000 - Commission on women	8,192			
3330010000 - Green Mountain Care Board	42,909			
3400001000 - Agency of human services - secretary's office	80,497			
3400010000 - Human services board	7,593			
3410010000 - Department of Vermont health access - administration	187,610			
3420010000 - Health - administration and support	44,253			
3420021000 - Health - public health	321,089			
3420060000 - Health - alcohol & drug abuse programs	15,334			
3440010000 - DCF - Administration & support services	492,242			
3440020000 - DCF - family services	578,588			
3440030000 - DCF - child development	62,062			
3440040000 - DCF - office of child support	86,891			
3440100000 - DCF - office of economic opportunity	7,446			
3440120000 - DCF - Woodside rehabilitation center	135,150			
3440130000 - DCF - disability determination services	1,608			
3460010000 - DAIL - administration & support	355,194			
3480001000 - Corrections - Administration	83,424			
3480002000 - Corrections - Parole Board	7,005			
3480003000 - Corrections - Education	94,260			
3480004000 - Corrections -Correctional Services	2,163,814			
4100500000 - Labor - programs	49,345			
5100010000 - Education - finance and administration	43,239			
5100070000 - Education Services	72,452			
6100010000 - Agency of natural resources - administration	51,860			
6120000000 - Fish and wildlife - support and field services	112,574			
6130010000 - Forests, parks and recreation - administration	25,664			
6130020000 - Forests, parks, and recreation - forestry	116,872			

6130030000 - Forests, parks, and recreation - state parks	6,066			
6130040000 - Forests, parks, and recreation - lands administration	7,451			
6140020000 - Environmental conservation - management and support services	21,221			
6140030000 - Environmental conservation - air and waste management	3,261			
6140040000 - Environmental conservation - office of water programs	134,619			
6215000000 - Natural resources board	14,559			
7100000000 - Agency of commerce and community development - admin.	54,118			
7110010000 - Housing and community development	61,050			
7120010000 - Economic Development	22,898			
7130000000 - Tourism and marketing	24,022			
8100000100 - Transportation - finance and administration	-			250,000
8100001100 - Transportation - program development	-			500,000.00
8100002000 - Transportation - maintenance state system	-			1,450,000.00
8100002100 - Department of motor vehicles	-			
8100002200 - Transportation - policy and planning	-			168,000.00
8100002300 - Transportation - rail	-			
8100005700 - Transportation - public transit	-			
8110000200 - Transportation - central garage	-			
ALL_ORGS - All State Organizations	8,378,040	307,000	1,090,441	2,368,000
Executive Branch Salary Costs	8,378,040	(A)		
Legislative Branch Salary Costs	307,000	(B)		
Judicial Branch Salary Costs	1,090,441	(C)		
Total General Fund Salary Costs	9,775,481	(A) + (B) + (C)		
Available Executive Pay Act Appropriation - General Funds	8,569,000	(E)		
Executive Branch Salary Increase Costs - General Funds	8,378,040	(A)		
HR Non-Salary Pay Act Items	602,500	(F)		
Vermont Historical Society - Pay Increase per 22 VSA Sec. 285	60,146	(G)		
Total Executive Branch Pay Act Need - General Funds	9,040,686	(A) + (F) + (G) = (H)		
FY 2019 Pay Act Carryforward Balance	124,376	(I)		
Net Exec. Pay Act Balance - General Funds	(347,310)	(E) - (H) + (I)		
Executive Branch Salary Increase Costs - Transportation Funds	2,368,000			
Appropriated Executive Branch Pay Act - Transportation Funds	2,368,000	(D)		
Net Exec. Pay Act Balance - Transportation Funds	-			
Legislative Branch Salary Increase Costs	307,000	(B)		
Appropriated Legislative Branch Pay Act	307,000			
Net Leg. Pay Act Balance	-			
Judicial Branch Salary Increase Costs	1,090,441	(C)		
Appropriated Judicial Branch Pay Act	1,090,441			
Net Jud. Pay Act Balance	-			
Pay Act appropriations are found in 2018 Act 191				
*Final Pay Act transfers occur near the end of the fiscal year and may differ from transfers listed above.				



State of Vermont
Department of Public Service
112 State Street
Drawer 20
Montpelier, VT 05620-2601
TEL: 802-828-2811

FAX: 802-828-2342
TTY VT: 800-734-8390
email: vtdps@state.vt.us
<http://publicservice.vermont.gov/>

November 8, 2019

State of Vermont
LEGISLATIVE JOINT FISCAL COMMITTEE
One Baldwin Street
Montpelier, VT 05633-5701

To: The Legislative Joint Fiscal Committee

Enclosed is the Quarterly Report of costs and expenditures for proceedings of the Federal Energy Regulatory Commission pursuant to 30 V.S.A. § 20 (b)(9), covering the period from July 1, 2019 through September 30, 2019.

Respectfully Submitted,

A handwritten signature in purple ink, appearing to read "Riley Allen", written over a horizontal line.

Riley Allen
Deputy Commissioner
Vermont Department of Public Service

Enclosure



**Public Service Department Expenditures
Related to Proceedings
At the
Federal Energy Regulatory Commission
For the period
July 1, 2019 – June 30, 2020**

General Description of Activity

The Department takes action at the Federal Energy Regulatory Committee (FERC) to protect the interest of Vermont ratepayers in many different 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.

Expenditures

For FERC related activity affecting Vermont¹

Q1 FY2020 \$ 571.65
Q2 FY2020 \$
Q3 FY2020 \$
Q4 FY2020 \$

\$ 571.65

Indirect Expenditures²

\$

Total Expenditures³ YTD for the Year FY2020	\$ 571.65
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¹ In accordance with Title 30, § 20 (b) (9) the department of public service provides the following quarterly report for expenditures related to FERC proceedings affecting the State and Vermont Utilities for the period July 1, 2019 through June 30, 2020.

² Indirect expenditures include telephone, postage and copying expense.

³ Expenditures include amounts actually paid for the quarter.



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Daniel Dickerson, Fiscal Analyst
Date: November 01, 2019
Subject: Small Grant & Gift Quarterly Report

In accordance with the provisions of 32 V.S.A. § 5(b)(4)(B)(ii), the Joint Fiscal Office is required to submit quarterly reports for small grant and gift receipts with a value at or greater than \$1,500 but not greater than \$15,000.* For the quarter ending September 30, 2019 (Q1 FY2020), the Joint Fiscal Office did not receive notification of any grants meeting these criteria.

* Act 72 of 2019, sec. E.127.2, altered the threshold for grant review so that all grants above \$15,000 would be required to go through the Joint Fiscal Committee (JFC) review process without exception, while grants with a value between \$1,500 and \$15,000 shall be reported to the JFC but with no additional review required, and grants below \$1,500 shall no longer need to be reported to the JFC.



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

Adam Greshin, Commissioner

MEMORANDUM

TO: Joint Fiscal Committee
FROM: Adam Greshin, Commissioner of Finance & Management
DATE: October 30, 2019
RE: Excess Receipts Report – 32 VSA Sec 511

Pursuant to 32 VSA Sec 511, attached please find a report on Excess Receipts approved for expenditure through the first quarter of FY 2020 (7/1/2019 through 9/30/19). The full text of the governing statute is provided at the end of this memo.

Review Process

The Administration completes an extensive review prior to approving expenditure of excess receipts. The form required of departments can be found at: <http://finance.vermont.gov/forms/budget>. The review ensures approval does not overstep statutory guidelines. Requests that overstep statutory guidelines are either denied and/or 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?
- Are additional funds anticipated from the same source available in this fiscal year and above the current appropriation?
- Is this increase one-time or ongoing?
- 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.]
- For what, specifically, will excess receipts be used? 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.
- Do the excess receipts have a matching fund requirement? If so, in which budget is the match found?
- If excess receipts are earned federal receipts, are the excess receipts being spent in the same (federal) program where they are earned? If not, explain.
- Have the excess receipts been received and deposited? If no, what date are funds expected?
- If approved, when will the expenditure 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, the paper copy of the form with the full department response can be provided.

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 department within state government ("Department A") to purchase services from another 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-bookings" 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. Interim developments may mean the budgeted federal spending authority is insufficient, either because the federal award for an existing grant has been increased or spending authority from grants from earlier federal fiscal years 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, unanticipated spikes in federal receipts.

Other: Over 200 special funds exist 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. Actual collections 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). In addition to restrictions in the excess receipts statute, each special fund has its own statutory restrictions that put guardrails around the use of special fund revenues.

Attached Report:

The attached report is a cumulative list of approved excess receipt requests for the first quarter of 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 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.

FY 2020 Excess Receipts Report - Q1 - Run 10/30/2019

Agency/Dept Name	Appropriation Name	Appropriation ID	Date	Fund	Fund Name	Amount	Comments
Forests, Parks & Recreation	Lands Administration	6130040000	7/30/2019	22005	Federal Revenue Fund	8,644,957	Federal funds are available from the U.S. Forest Service for Forest Legacy Program acquisitions. Available funding by project is detailed on the attached document.
Subtotal Federal Funds (Including "Regular" ARRA) Excess Receipts						8,644,957	
Buildings & Gen Serv-Prop	BGS-Fee For Space	1160550000	9/4/2019	21500	Inter-Unit Transfers Fund	102,920	FEMA proceeds for admin costs related to the financial closeout of Tropical Storm Irene.
Joint Fiscal Office	Joint Fiscal Committee/Office	1220000000	7/30/2019	21500	Inter-Unit Transfers Fund	121,193	Funds to be carried forward to perform IT project review and oversight and report to Leg per Act 84 of 2017, Sec. 32. Funding will be used thru Aug 19, when the current contract expires, after which time any remaining funds will be returned to Jud.
Sergeant at Arms' Office	Sergeant at Arms	1230001000	8/20/2019	21500	Inter-Unit Transfers Fund	10,000	Room Rental
State Ethics Commission	State Ethics Commission	1300001000	8/28/2019	21500	Inter-Unit Transfers Fund	60,946	This Excess Receipt request is to re-establish the spending authority from FY2019 in FY2020, which will allow for the purchase of service and equipment necessary to the mission of the State Ethics Commission.
Public Safety	DPS-Emergency Management	2140030000	8/2/2019	21500	Inter-Unit Transfers Fund	130,000	Public Assistance disaster DR-4022 (Tropical Storm Irene) Category Z Management Cost is still open and funding is available, AOT is the recipient for this disaster, but Vt Emergency Management staff manages the disaster programmatically.
Vermont Health Access	DVHA-Medicaid-Long Term Care W	3410016000	7/3/2019	21500	Inter-Unit Transfers Fund	60,000,000	FY20 GC for Choices for Care amt in B.308 will be approp'd to DVHA & Finance will do a transfer of the spending authority to DAIL on 7/1/19 under the authority of Sec E.308. F&M instructed DVHA to continue to pay Medicaid draws out of 21500/34100160000
Corrections	Correc-Correctional Services	3480004000	9/20/2019	21500	Inter-Unit Transfers Fund	1,265,478	These funds were appropriated to AHS in Act 11 of 2018 Special Session, C.1000(a)(14), and the spending plan was approved by the JFC on 09/27/18.
Corrections	Correc-Correctional Services	3480004000	9/19/2019	21500	Inter-Unit Transfers Fund	800,000	These funds were appropriated to AHS in Act 11 of 2018 Special Session, C.1000(a)(14), and the spending plan was approved by the JFC on 09/27/18 to address MAT costs at DOC in FY19 and FY20.

Forests, Parks & Recreation	Lands Administration	6130040000	7/30/2019	21500	Inter-Unit Transfers Fund	35,000	Federal funds are available from the U.S. Forest Service for Forest Legacy Program acquisitions. Available funding by project is detailed on the attached document.
Housing & Comm Development	Housing & Community Developmnt	7110010000	8/22/2019	21500	Inter-Unit Transfers Fund	245,472	Receiving additional VW mitigation funds for Grants and Administration Dept of Environmental Conservation (DEC) per MOA.
Transportation Agency	Finance & Administration Div	8100000100	7/23/2019	21500	Inter-Unit Transfers Fund	25,000	Expenditures are ongoing costs associated with fire event at National Life and will be reimbursed by insurance reserve funds.
Subtotal Interdepartmental Transfers						62,946,008	
Economic Development	Economic Development	7120010000	7/9/2019	21820	ACCD-Miscellaneous Receipts	200,000	Northern Borders Regional Development Commission has contracted with Vt Dept of Economic Development to establish an independent office of the NBRC. The NBRC will reimburse DED for the cost of a two year limited service position and associated costs.
Agriculture, Food&Mrkts Agency	VT Ag & Environmental Lab	2200150000	8/29/2019	21668	AF&M-Feed Seeds & Fertilizer	363,950	Agency met all required closeout deadlines. Requisitions were in place in FY19, however, PO's were not created by BGS in time to encumber FY19 funds.
Agriculture, Food&Mrkts Agency	VT Ag & Environmental Lab	2200150000	8/29/2019	21669	AF&M-Pesticide Monitoring	450,000	Agency met all required closeout deadlines. Requisitions were in place in FY19, however, PO's were not created by BGS in time to encumber FY19 funds.
Transportation Agency	Vehicle Incent & Emissions Rep	8100891901	7/16/2019	21638	AG-Fees & Reimburs-Court Order	1,700,000	Funds were appropriated in FY19 but due to a technical error in the authorizing language the funds did not carry forward for expenditure in FY20 as intended.
Military	MIL Vet Affairs Office	2150050000	7/9/2019	21975	Armed Services Scholarship Fnd	11,304	Appropriated from the Legislature into fund to support program.
Buildings & Gen Serv-Gov'tal	BGS- Recycling Efforts	1150060000	8/29/2019	21604	BGS-Recycling Efforts	20,000	Funds are collected from the disposition of recycling materials. The proceeds are deposited into the fund and can only be used for recycling efforts statewide.
Housing & Comm Development	Housing & Community Developmnt	7110010000	7/23/2019	22060	DHCD-CDBG Program Income Fund	624,211	Fund 22060 was created after the FY2020 Budget Build for Federal CDBG Program Income (CFDA #14,228).
Housing & Comm Development	Housing & Community Developmnt	7110010000	7/23/2019	21575	Downtown Trans & Capital Impro	30,463	Funds remaining at FYE19.
Public Safety	DPS-Emergency Management	2140030000	9/20/2019	21555	Emergency Relief & Assist Fd	699,903	The Emergency Relief Assistance Fund (ERAF) provides State funding to match federal Public Assistance after federally declared disasters. Title 20: Internal Security and Public Safety 20 V.S.A. 45).

Forests, Parks & Recreation	Lands Administration	6130040000	7/30/2019	21779	FPR-Youth Conservation Corps	300,000	Funds are available through a cash assistance grant between FPR and the Vermont Youth Conservation Corps (VYCC). VYCC will reimburse FPR for all cash assistance before the end of FY20.
Public Safety	DPS-Fire Safety	2140040000	9/5/2019	21125	Haz Chem & Subst Emerg Resp	210,000	Revenue is from entities required to report the use or storage of hazardous chemicals or substances. They pay annual fees for each hazardous chemical or substance that is present at the facility.
Transportation Agency-Prop	Central Garage	8110000200	7/30/2019	57100	Highway Garage Fund	1,118,687	Funds are the unexpended balance in the equipment replacement account at the end of FY19. Funds will be used for equipment purchases per Title 19, Sec. 13(c).
State Ethics Commission	State Ethics Commission	1300001000	8/28/2019	59600	Human Resource Services	16,947	This Excess Receipt request is to re-establish the spending authority from FY2019 in FY2020, which will allow for the purchase of service and equipment necessary to the mission of the State Ethics Commission.
Department of Liquor & Lottery	Liquor Warehouse-Distribution	2320030000	7/9/2019	50300	Liquor Control Fund	109,482	FY2020 Liquor Sales
Department of Liquor & Lottery	Liquor - Administration	2320040000	7/9/2019	50300	Liquor Control Fund	1,031,173	FY2020 Liquor Sales
Housing & Comm Development	Housing & Community Developmnt	7110010000	7/16/2019	21054	Misc Fines & Penalties	10,125	Signed Assurance of Discontinuance regarding Act 250 Violation
Economic Development	Economic Development	7120010000	7/30/2019	21054	Misc Fines & Penalties	20,000	Stenger EB-5 Settlement Agreement. Cash balance of funds deposited into fund 21054 Misc Fines and Penalties to be used for Newport Economic Development, exceeds spending authority.
Libraries	Department of Libraries	1130030000	9/12/2019	21870	Misc Special Revenue	50,000	The Vendor Recorded Books offers product OneClick Digital to Dept of Libraries, who negotiated a contract and made the service available to public libraries around the state using a fee structure we set up. Participating libraries pay 100% of the cost.
Sergeant at Arms' Office	Sergeant at Arms	1230001000	8/20/2019	21870	Misc Special Revenue	10,000	Room Rental
Auditor of Accounts' Office	Auditor of Accounts	1250010000	9/19/2019	21870	Misc Special Revenue	30,614	Per Statute - Town's Financial Responsibility of TIF Audit Performed by State Auditor's Office.
Auditor of Accounts' Office	Auditor of Accounts	1250010000	9/19/2019	21870	Misc Special Revenue	41,707	Per Statute - Town's Financial Responsibility of TIF Audit Performed by State Auditor's Office.
Auditor of Accounts' Office	Auditor of Accounts	1250010000	9/19/2019	21870	Misc Special Revenue	40,841	Per Statute - Town's Financial Responsibility of TIF Audit Performed by State Auditor's Office.
Auditor of Accounts' Office	Auditor of Accounts	1250010000	9/19/2019	21870	Misc Special Revenue	75,000	Per Statute - Town's Financial Responsibility of TIF Audit Performed by State Auditor's Office.

Department of Liquor & Lottery	Liquor Enforcement & Licensing	2320020000	9/3/2019	21870	Misc Special Revenue	50,000	NABCA grant rec'd in FY2019 and approved for spending by all stakeholders
Public Safety	DPS-Criminal Justice Services	2140020000	9/5/2019	21857	PS-VIBRS	380,000	There is unspent revenue for prior FY's. ERR's are used to fund one time projects such as this.
Secretary of State's Office	Secretary of State	2230010000	7/25/2019	21928	Secretary of State Services	146,016	Per Act 72 of 2019 sec C.102.2
Secretary of State's Office	BizPortal	2230891901	7/25/2019	21928	Secretary of State Services	200,000	Per Act 72 of 2019 sec C.102.2
Public Safety	DPS-Emergency Management	2140030000	9/12/2019	21584	Surplus Property	4,296	Proceeds from SFY18 Spring Auction
Military	MIL BLDG Maint&Armory Caretr	2150040000	9/3/2019	21584	Surplus Property	16,412	Proceeds from sale of vehicles
Tax	Tax Operation Costs	1140010000	8/14/2019	21594	Tax-Current Use Admin	163,420	Funds were approp'd in FY19, this would re-establish the spending authority in FY20, which will be used against FY19 payables not appr'd for pmt until FY20. They are for ADS products and svcs, which need add'l review for accuracy prior to approval.
Tax	Tax Operation Costs	1140010000	8/14/2019	21591	Tax-Local Option Process Fees	531,622	Funds were approp'd in FY19, this would re-establish the spending authority in FY20, which will be used against FY19 payables not appr'd for pmt until FY20. They are for ADS products and svcs, which need add'l review for accuracy prior to approval.
Forests, Parks & Recreation	VT Youth Conservation Corps	6130891801	8/2/2019	21370	Tobacco Litigation Settlement	100,000	Funds are available through a one-time appropriation per H.16 of special session 2018 section C.105.1(a)(8)
Transportation Agency	Department of Motor Vehicles	8100002100	7/30/2019	20190	Transp Fund - Other Dedicated	123,040	Funds are available through a grant from the American Association of Motor Vehicle Administrators (AAMVA) to the Vt Dept of Motor Vehicles (DMV) Grant #NMVTIS SFP 2019003 - see attached JFO #2956 approval memo.
Transportation Agency	TH State Aid Federal Disasters	8100001000	8/22/2019	20135	Transportation FHWA Fund	3,300,000	Funds are Federal Emergency Relief funds available for Disaster VT17-1 and 19-1 in the State of Vermont
Transportation Agency	Rest Areas	8100001700	9/24/2019	20135	Transportation FHWA Fund	700,000	Funds are for safety related Rest Area projects that recently emerged and were required for safety of the traveling public.
Transportation Agency	Program Development	8100001100	8/7/2019	20160	Transportation Local Fund	142,257	Local funds are available from - Norwich STP SRIN(14) in the PDD Bicycle & Pedestrian Program and Richford VT - Sutton QC BHF 0814(1) in the State Highway Bridge Program.
Treasurer's Office	Bond Refunding Cost	1260126000	8/14/2019	21886	Treas-Refunding Bond Issue	322,571	Sale of 2019 Series B Refunding Bonds
Subtotal Other Fund Excess Receipts						13,344,041	
TOTAL:						84,935,007	



State of Vermont
Agency of Administration
Department of Finance & Management
Pavilion Office Building
109 State Street
Montpelier, VT 05609-0201
www.finance.vermont.gov

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

Adam Greshin, Commissioner

MEMORANDUM

TO: Joint Fiscal Committee
FROM: Adam Greshin, Commissioner of Finance and Management 
RE: Special Funds Created in FY 2019; Special Fund Balances at End of FY2019
DATE: November 1, 2019

Pursuant to 32 VSA Sec. 588(6), attached please find the list of Special Funds created in FY 2019, with name, authorization, and revenue source; and the list of Special Funds and their balances at the end of FY 2019.

Thank you.

Report on Special Funds Created in FY 2019

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

Dept/Name of Fund	Authorization	Revenue Source
Agency of Natural Resources		
Lake in Crisis Response Program Fund	10 V.S.A. § 1315	Appropriations/gifts/donations/funds received from any source, public or private

Special Fund Summary - End of FY 2019

Special Fund Name	SF #	Fund Balance 7/1/2018	All Revenues	All Expenses	Other Financing Sources (Uses)	Fund Balance 6/30/2019
Financial Literacy Trust Fund	21001	20,940.43	20,516.29	(14,396.70)	-	27,060.02
Financial Literacy Commission	21003	-	-	-	-	-
FMS System Development Fund	21005	937,225.68	597,784.00	-	-	1,535,009.68
State College Bond	21010	-	-	-	-	-
Elva S Smith Bequest	21015	204,493.22	57,074.63	(34,028.77)	-	227,539.08
Lw-IV Radioactive Waste Cmpct	21020	(170,369.55)	149,257.82	(99,291.36)	-	(120,403.09)
Radiological Emerg Response	21025	67.67	1.11	(68.78)	-	-
Exxon Settlement Fund	21030	-	-	-	-	-
Stripper Well Settlement Fund	21035	-	-	-	-	-
Diamond Shamrock Refining Fund	21040	-	-	-	-	-
Getty Oil Company Settlement	21045	-	-	-	-	-
Public Defender Special Fund	21050	188,757.39	620,443.32	(589,653.00)	-	219,547.71
Misc Fines & Penalties	21054	451,014.17	124,971.81	(314,751.81)	-	261,234.17
State-Local Fines Fund	21055	-	-	-	-	-
Genetic. Engineered Food Label	21057	-	-	-	-	-
Vt Dairy Promotion Fund	21060	446,230.43	2,801,650.67	(2,710,847.12)	-	537,033.98
VDPC State Portion	21061	264,154.28	268,749.96	(198,452.18)	-	334,452.06
Financial Institut Supervision	21065	1,184,241.99	2,863,105.80	(2,344,266.48)	-	1,703,081.31
Health Care Suprv & Reg	21070	-	-	-	-	-
Insurance Regulatory & Suprv	21075	4,431,570.27	31,499,334.91	(5,485,319.93)	(24,364,178.00)	6,081,407.25
Securities Regulatory & Suprv	21080	-	11,901,790.00	(1,900,719.22)	852,052.74	10,853,123.52
Captive Insurance Reg & Suprv	21085	-	4,740,972.81	(5,593,025.55)	(10,001,070.78)	(10,853,123.52)
VOHI Wk Cmp Self-Ins Corp Trst	21090	-	-	-	-	-
Passenger Tramways	21095	195,471.35	386,876.58	(414,991.00)	-	167,356.93
Elevator Safety Fund	21097	18,793.83	61,200.00	(79,976.62)	-	17.21
Licensing & Inspection Spec Fd	21099	-	-	-	-	-
Fire Prevention Fund	21100	-	-	-	-	-
Worker's Comp Admin Fund	21105	6,497,325.48	2,692,559.22	(2,424,781.00)	-	6,765,103.70
Employee Leasing Companies	21110	351,634.45	75,800.00	(862.07)	-	426,572.38
Crim Justice Training Council	21115	-	-	-	-	-
Fire Service Training Council	21120	31,480.52	1,251,700.18	(1,130,397.24)	(120,000.00)	32,783.46
Haz Chem & Subst Emerg Resp	21125	359,301.71	889,496.60	(875,502.51)	-	373,295.80
Criminal History Records Check	21130	1,195,490.61	2,304,922.35	(825,840.67)	(500,000.00)	2,174,572.29
Vt Law Telecommunications	21135	31,000.49	161,000.00	(142,111.47)	-	49,889.02

DUI Enforcement Special Fund	21140	(4,161.00)	1,455,759.11	(1,450,218.50)	-	1,379.61
Drug Task Force	21141	335.00	19,175.50	(14,072.18)	-	5,438.32
Youth Substance Abuse Safety P	21142	71,800.50	18,867.37	(54,759.50)	-	35,908.37
Victims Compensation Fund	21145	533,759.96	2,035,364.65	(2,112,055.68)	-	457,068.93
Prof Regulatory Fee Fund	21150	1,415,648.02	6,047,247.00	(6,073,354.05)	-	1,389,540.97
Rulemaking Advertising Fund	21155	-	-	-	-	-
Vermont Campaign Fund	21160	-	-	-	-	-
Funeral & Burial Service Trust	21165	243,141.51	5,416.41	-	-	248,557.92
EO School Interest Program	21170	-	-	-	-	-
Palo Pinto Fund	21175	-	-	-	-	-
Independence Fund	21180	-	-	-	-	-
Children's Trust Fund	21185	28,005.29	59,173.84	(65,000.00)	-	22,179.13
Correctional Facilities Rec Fd	21190	429,999.98	877,524.59	(834,061.02)	-	473,463.55
Vermont Health Access Trust	21195	-	-	-	-	-
Catamount Fund	21196	-	-	-	-	-
Health Care Trust Fund	21200	-	-	-	-	-
Dsw-MDRC-10% Retainage	21205	-	-	-	-	-
PATH-Mtn View Escrow Fund	21208	-	-	-	-	-
PATH-Morrisville Ctr Escrow Fd	21209	-	-	-	-	-
Home Heating Fuel Asst Trust	21210	-	-	-	-	-
PATH-Dartmouth-Hitchcock Escro	21211	-	-	-	-	-
PATH-Civil Monetary Fund	21213	667,563.08	48,672.06	-	-	716,235.14
Robert Wood Johnson Fund	21215	-	-	-	-	-
Path-Commonwealth Fund	21217	-	-	-	-	-
PACE Grant	21219	-	-	-	-	-
Mental Health Risk Pool	21220	430.99	9.59	-	-	440.58
Vermont State Hospital Canteen	21225	-	-	-	-	-
Home Weatherization Assist	21235	1,931,791.54	10,196,888.74	(9,298,735.46)	5,552.60	2,835,497.42
VT Healthcare Ed Loan Repaymnt	21238	-	-	-	-	-
Teacher Licensing Fund	21240	343,245.76	1,185,212.75	(1,262,503.90)	-	265,954.61
ROPA Program Fund	21241	11,542.45	28,725.00	(40,267.45)	-	-
Education Financial Systems	21244	3,113,929.64	-	(1,200,119.00)	-	1,913,810.64
Post Secondary Certification	21245	17,500.00	1,500.00	-	-	19,000.00
General Education Development	21250	1,050.00	-	-	-	1,050.00
Petroleum Cleanup Fund	21255	5,738,530.65	5,942,876.76	(5,225,498.04)	-	6,455,909.37
Act 250 Permit Fund	21260	238,275.51	2,293,861.80	(2,590,389.48)	-	(58,252.17)
Sugarbush-Snowmaking	21265	-	-	-	-	-
State Forest Parks Fund	21270	1,191,234.20	10,639,425.99	(11,100,563.25)	-	730,096.94

Environmental Contingency Fund	21275	6,028,232.13	1,351,192.38	(2,431,097.62)	2,500,000.00	7,448,326.89
Mitec Settlement Fund	21280	-	-	-	-	-
Saint-Gobain Waterline Fund	21281	570,545.48	14,258,871.56	(10,474,402.04)	-	4,355,015.00
Waste Management Assistance	21285	4,221,054.88	6,062,625.08	(4,983,676.25)	-	5,300,003.71
Hazardous Waste Fund	21290	120,411.68	91,683.08	(61,821.00)	-	150,273.76
FPR - Land Acquisitions	21293	176,144.66	-	(1,636.01)	-	174,508.65
Environmental Permit Fund	21295	4,791,311.69	10,048,658.21	(8,941,739.77)	(275,000.00)	5,623,230.13
Hydroelectric Licensing Fund	21300	-	1,841.61	(18,733.66)	-	(16,892.05)
Pownal Tanning Settlement	21305	-	-	-	-	-
VT Wastewater & Potable Water	21311	907,065.89	103,044.07	(352,310.87)	275,000.00	932,799.09
Ecosystem Rest & Water Quality	21313	119,828.47	142,724.65	(136,418.05)	-	126,135.07
Sunderland Landfill	21315	4,664.52	103.91	-	-	4,768.43
Central Vt Shopping Ctr	21320	52,056.51	1,159.66	-	-	53,216.17
Chemical High Concn Children	21321	(167,548.47)	32,828.52	(49,573.18)	-	(184,293.13)
Historic Sites Special Fund	21325	83,919.91	538,502.61	(536,441.34)	-	85,981.18
Vt Center for Geographic Infor	21328	10,600.51	33,184.44	(4,938.21)	-	38,846.74
Municipal & Regional Planning	21330	483,741.09	6,463,430.31	(3,650,596.63)	(2,669,028.70)	627,546.07
Insurance Reserve Fund	21335	588,293.03	613,668.02	-	-	1,201,961.05
Out-Of-State Power Sales Fund	21340	-	-	-	-	-
Unorganized Towns-Bernington	21345	7,958.91	88,307.53	(92,549.69)	-	3,716.75
Unorganized Towns-Chittenden	21350	(14,360.88)	79,261.43	(78,663.77)	-	(13,763.22)
Unorganized Towns-Windham	21355	26,990.66	303,776.96	(285,050.74)	-	45,716.88
Unemployment Comp Admin Fund	21360	1,719,741.79	830,000.00	(59,327.81)	-	2,490,413.98
Tobacco Litigation Settlement	21370	20,000,147.90	23,914,564.26	(25,898,975.33)	(1,501,388.85)	16,514,347.98
AG-Tobacco Settlement	21372	104,508.03	-	-	-	104,508.03
Tobacco Trust Fund	21375	25,239.68	(1,388.85)	-	1,388.85	25,239.68
Rockerfeller State Zoning Fund	21380	-	-	-	-	-
Student Asst Corp. Guar Resrve	21385	-	-	-	-	-
Williamstown Env & Public Hlth	21390	195,799.98	4,361.79	-	-	200,161.77
Mount Independence Historic	21395	-	-	-	-	-
State Register Publications Fd	21397	1,518.53	-	-	-	1,518.53
Pownal Trailer Park Fund	21400	-	-	-	-	-
Bond Investment Earnings Fund	21405	1,220,126.72	803,074.43	-	-	2,023,201.15
DWI Forfeiture Vehicles	21410	-	-	-	-	-
Vt Racing-Unclaimed Tickets	21415	-	-	-	-	-
Pownal Tanning Settlement II	21420	-	-	-	-	-
Long Term Disabilities	21425	-	-	-	-	-
Flexible Spending	21430	461,830.67	2,359,314.76	(2,340,510.22)	-	480,635.21

AHS Administrative Fund	21435	-	-	-	-	-
All Terrain Vehicles	21440	72,267.01	473,011.87	(434,351.87)	-	110,927.01
Art Acquisition Fund	21445	128,000.00	-	(58,572.00)	90,000.00	159,428.00
Gross Revenue Fund	21450	-	-	-	-	-
Fuel Efficiency Fund	21452	-	-	-	-	-
Vt Recreational Trails Fund	21455	414,294.76	-	(376,594.86)	370,000.00	407,699.90
Laboratory Services	21460	7,468.02	677,750.23	(678,546.00)	-	6,672.25
Organ Donation Special Fund	21463	2,341.10	-	-	-	2,341.10
Meals Fund	21465	-	-	-	-	-
Medical Practice	21470	962,941.87	2,119,888.08	(1,400,918.46)	-	1,681,911.49
Hospital Licensing Fees	21471	111,234.08	140,872.00	(138,115.31)	-	113,990.77
Natural Resources Mgmnt	21475	1,197,987.66	738,412.13	(952,454.41)	-	983,945.38
Otto Johnson Fund	21480	-	7,065.57	(7,065.57)	-	-
PILOT	21485	4,225,854.89	8,657,114.40	(8,406,000.00)	-	4,476,969.29
Rabies Control	21490	7,129.00	72,333.00	(32,371.65)	(39,565.35)	7,525.00
VT Working Lands Enterprise	21493	(10,412.08)	31,160.57	-	-	20,748.49
Snowmobile Trails	21495	123,795.09	544,148.00	(463,778.78)	-	204,164.31
Inter-Unit Transfers Fund	21500	6,092,834.05	59,748,265.29	(77,966,109.43)	15,374,972.70	3,249,962.61
ARRA Inter-Unit Subaward Fund	21502	36,175.61	-	-	-	36,175.61
Boating Safety	21505	19,517.92	-	(138,827.00)	117,129.70	(2,179.38)
Use Tax Fund	21510	-	-	-	-	-
Treas Retirement Admin Cost	21520	(9,889.50)	2,826,479.13	(2,728,143.55)	-	88,446.08
Conference Fees & Donations	21525	46,181.27	56,457.41	(57,279.69)	-	45,358.99
Success by Six	21530	-	-	-	-	-
School Match	21535	714,804.74	27,868,505.30	(28,320,027.00)	-	263,283.04
DDMHS Provider Inpatient Pool	21540	-	-	-	-	-
Lands and Facilities Trust Fd	21550	2,526,899.88	1,127,977.65	(147,549.57)	-	3,507,327.96
Emergency Relief & Assist Fd	21555	2,883,730.44	-	(1,671,690.55)	948,271.00	2,160,310.89
Public Assistance Recoveries	21560	1,267.00	8,986.89	(9,053.89)	-	1,200.00
PATH-Donations	21565	-	-	-	-	-
Food Stamp Recoveries	21570	19,177.62	140,588.39	(140,233.99)	-	19,532.02
Downtown Trans & Capital Impro	21575	1,093,895.04	-	(200,881.01)	423,966.00	1,316,980.03
Archives Workshop Fund	21580	-	-	-	-	-
F&M-FinOps-Duplicate Payments	21581	-	-	-	-	-
Surplus Property	21584	246,996.68	428,684.13	(287,885.39)	-	387,795.42
Pers-Human Resourc Development	21585	312,066.60	64,184.25	(6,687.62)	-	369,563.23
Lib-Suzanne Crandall Fund	21587	-	-	-	-	-
Tax-DOQ Mapping Project	21589	-	-	-	-	-

Tax-Miscellaneous Fees	21590	(88,140.37)	279,327.99	(129,302.00)	-	61,885.62
Tax-Local Option Process Fees	21591	704,958.36	1,011,370.28	(128,378.00)	-	1,587,950.64
Tax-DOQ Mapping Project	21593	-	-	-	-	-
Tax-Current Use Admin	21594	738,951.91	771,864.07	(120,283.61)	(253,864.07)	1,136,668.30
Public Records Special Fund	21595	59,952.61	9,415.09	(12,000.00)	-	57,367.70
BGS-BTS Marketing Costs	21599	-	-	-	-	-
BGS-Duxbury/Moretown	21600	162.42	62.91	-	-	225.33
Vital Records Special Fund	21602	-	-	-	-	-
Motorist Aid Refreshment Prog	21603	160,905.92	109,493.89	(92,754.26)	-	177,645.55
BGS-Recycling Efforts	21604	159,502.39	3,592.48	(10,347.27)	-	152,747.60
BGS-Newport Office Bldg	21605	-	-	-	-	-
BGS-Newport Office	21606	2,500.00	-	-	-	2,500.00
BGS-Springfield Special Fund	21608	-	-	-	-	-
BGS-Sale of Ludlow	21610	-	-	-	-	-
BGS-Donations-St House Restore	21612	543.41	-	-	-	543.41
BGS-Sale of State Land	21613	421,984.25	1,096,288.20	(1,119.09)	(1,096,288.20)	420,865.16
BGS-VSC-Capital Improvement-97	21617	-	-	-	-	-
BGS-VSC-Capital Improvement	21618	-	-	-	-	-
BGS-VSC-Capital Improvements	21620	-	-	-	-	-
BGS-VSC-Capital Improve	21621	-	-	-	-	-
Vt State Colleges	21622	-	-	-	-	-
BGS-Transportation-Derby Garag	21623	-	-	-	-	-
Exec-Conference Fees	21624	-	-	-	-	-
Leg-State House Sick Room	21626	1,197.90	-	-	-	1,197.90
Leg-Sgt at Arms-Use of St Hous	21627	2,197.26	-	-	-	2,197.26
St Labor Relations Bd-Misc Rec	21633	9,712.98	10,618.20	(10,261.24)	-	10,069.94
AG-Consumer Fraud Restitution	21634	24,340.65	-	-	-	24,340.65
AG-Fees & Reimburs-Court Order	21638	76,240.78	7,834,148.44	(1,130,830.07)	(4,493,648.44)	2,285,910.71
AG-Court Diversion	21639	-	392,387.94	(392,387.94)	-	-
AG-Administrative Special Fund	21641	4,838.47	19,034.32	-	-	23,872.79
SA-Windsor Comm Prosecution Gr	21646	2,583.57	-	-	-	2,583.57
St Atty-Kidsafe	21647	-	-	-	-	-
PS-Sale of Photos	21651	2,995.42	33,435.00	(25,000.00)	-	11,430.42
PS-Evidence Forfeitures	21655	-	-	-	-	-
PS-Boating Safety Violations	21656	-	-	-	-	-
PS-Explosive Handlers	21659	-	-	-	-	-
Mil-Armory Rentals	21660	15,164.70	5,775.00	-	-	20,939.70
Mil-Sale of Burl Armory & Othe	21661	-	-	-	-	-

Mil-Vets Cemetary Contribution	21662	590,424.58	92,389.08	(249,068.43)	-	433,745.23
AF&M-Agricultural Events	21666	33,386.77	4,435.00	(4,000.00)	-	33,821.77
AF&M-Laboratory Testing	21667	313,141.31	566,977.80	(369,107.34)	-	511,011.77
AF&M-Feed Seeds & Fertilizer	21668	2,192,471.92	1,947,576.82	(1,951,547.59)	-	2,188,501.15
AF&M-Pesticide Monitoring	21669	1,593,030.70	1,951,897.97	(1,623,466.25)	-	1,921,462.42
AF&M-Apple Marketing Board	21670	-	-	-	-	-
AF&M-Agricultural Fees	21671	19,618.20	7,853.86	(18,057.97)	-	9,414.09
AF&M-Terminal Mkts-Ship Insp	21672	-	-	-	-	-
AF&M-Weights & Measures-Testin	21673	495,487.96	748,220.28	(618,928.83)	-	624,779.41
AF&M-Lk Champ Phorphorous Redu	21675	-	-	-	-	-
AF&M-Livestock Dealers/Transpo	21676	129,914.70	28,220.76	(43,173.59)	-	114,961.87
AF&M-Mosquito Control	21678	(18,023.26)	-	-	81,990.80	63,967.54
AF&M-Housing & Conservation Bd	21680	7,988.28	149,776.51	(138,075.00)	-	19,689.79
AF&M-Eastern States Building	21682	78,335.19	221,433.01	(118,853.25)	-	180,914.95
AF&M-Dairy Receipts	21684	91,627.27	112,396.25	(90,716.25)	-	113,307.27
AF&M-Meat Handlers	21685	74,402.56	37,821.84	(32,935.82)	-	79,288.58
AF&M-Pesticide Control	21686	153,131.10	107,515.00	(101,332.66)	-	159,313.44
AF&M-Promotional Activities	21687	30,665.93	32,285.90	(32,354.04)	-	30,597.79
AF&M-West Nile Virus	21688	-	-	-	-	-
BISHCA-Docket	21690	24,422.95	-	-	-	24,422.95
Human Rights Commission	21692	94,014.52	-	-	-	94,014.52
SOS-VT Practitioner Hlth Prog	21696	-	-	-	-	-
PSD-Regulation/Energy Efficien	21698	(172,084.75)	8,815,495.69	(5,348,123.62)	(3,295,287.32)	-
PSD - Billback & EEU pass thru	21699	(339,448.34)	2,425,468.14	(2,361,426.58)	-	(275,406.78)
PSD-Telecomm Serv for Deaf	21703	(13,569.99)	238,199.32	(238,200.09)	-	(13,570.76)
PSD-Consumer Ed/Protection Pro	21704	-	-	-	-	-
PSD-Hydroquebec Power	21705	-	-	-	-	-
PSD-Rate & Tariff Power	21706	-	-	-	-	-
PUC-Special Fds	21709	4,399,553.34	174,464.76	(3,707,036.95)	3,295,287.32	4,162,268.47
Enhanced 9-1-1 Board	21711	1,015,616.40	4,831,183.00	(4,564,625.77)	-	1,282,173.63
OCS-Child Supp Collect-ANFC	21721	-	429,596.00	(429,596.00)	-	0.00
HE-Contributions & Donations	21723	-	-	-	-	-
HE-Education & Promotion Svcs	21724	-	-	-	-	-
HE-CSTE Grant	21730	-	-	-	-	-
HE-Food & Lodging Fees	21731	258,771.58	1,466,396.61	(1,763,070.98)	-	(37,902.79)
CORR-Ford Foundation Grant	21744	-	-	-	-	-
CORR-Windsor School Spec Fund	21747	-	-	-	-	-
GCW-Misc	21748	9,863.95	-	(645.17)	-	9,218.78

DET-Adm Rec/Fac Admin Other Fd	21749	-	-	-	-	-
DET-SRS-BYEP Other Funding Src	21750	-	-	-	-	-
DET-Apprenticeship Train OFS	21752	1,047,460.32	541,783.64	(323,897.91)	-	1,265,346.05
ED-Wards of St-Non-Special Edu	21757	-	-	-	-	-
ED-Conference Fees	21760	-	-	-	-	-
ED-Health-Infants & Toddlers	21763	-	-	-	-	-
ED-Medicaid Reimb-Admin	21764	2,836,072.85	-	(20,515,531.12)	19,167,758.85	1,488,300.58
E911-Universal Service Fund	21766	-	-	-	-	-
Vets Home-Private Pay	21767	(440,857.01)	-	-	440,857.01	-
Vets Home-Dom Applied Income	21768	109,436.29	-	-	(109,436.29)	-
NR-Stratton Corp	21769	-	-	-	-	-
Local Comm Implementation Fund	21772	-	-	-	-	-
Impaired Water Restoration Fnd	21773	659,956.45	14,701.70	-	-	674,658.15
Pollution Prevention Plans Fee	21776	(3,706.18)	61,200.00	(52,588.00)	-	4,905.82
FPR-Laura Burnham Estate	21778	4,606.25	-	-	-	4,606.25
FPR-Youth Conservation Corps	21779	-	488,382.00	(488,382.00)	-	-
FPR-Earth People's Park	21781	134.74	-	-	-	134.74
Vermont Medicaid	21782	914,257.74	361.00	-	(914,257.74)	361.00
FPR-FEMA Disasters	21783	-	-	-	-	-
New York Medicaid	21785	(571,884.12)	-	-	571,884.12	-
Streamgauging Fees	21786	42,246.24	23,198.00	(23,198.00)	-	42,246.24
EC-Geological Publications	21787	2,972.28	661.00	-	-	3,633.28
Miscellaneous Settlement Fund	21788	3,721,648.80	129,587.23	(631,864.51)	-	3,219,371.52
EC-Tax Loss-Conn Riv Flood Ctl	21789	-	31,230.00	(31,230.00)	-	-
EC-Aquatic Nuisance Control	21790	-	-	-	-	-
SRF Admin	21793	(355,225.48)	1,487,508.00	(1,038,954.20)	-	93,328.32
ACCD-HP-Donation Program	21794	-	-	-	-	-
ACCD-ISO 9000 Training	21799	-	-	-	-	-
VHCTF-VHFA-Lead Program	21804	-	-	-	-	-
VHCTF-ISTEA III-AOT Enhanc Pro	21805	-	-	-	-	-
SRS-Special Ed Medicaid	21808	-	-	-	-	-
SRS-Social Security	21809	-	727,787.12	(687,310.12)	-	40,477.00
SRS-Parental Child Support	21810	-	56,582.57	(55,582.57)	-	1,000.00
Attorney Admission, Licensing, &	21811	864,589.28	784,038.40	(831,465.04)	-	817,162.64
SOS-Corporations	21812	-	-	-	-	-
VR Fees	21813	-	1,888,812.27	(1,888,812.27)	-	(0.00)
DAD-Donations	21814	-	-	-	-	-
DAD-Vending Facilities	21815	-	97,447.58	(97,447.58)	-	-

DAD-RWJ	21816	-	-	-	-	-
DAD-Conference Fees	21817	-	-	-	-	-
Act 160	21818	-	-	-	-	-
ACCD-Mobile Home Park Laws	21819	7.37	78,286.00	(78,281.66)	-	11.71
ACCD-Miscellaneous Receipts	21820	442,536.99	5,027.84	(98,090.74)	-	349,474.09
ACCD-HS-Donation Program	21821	-	-	-	-	-
ACCD\Tourism & Marketing Broch	21822	575,063.97	242,312.19	(325,865.67)	-	491,510.49
Sale of Copies/Publications	21824	5,529.91	-	-	-	5,529.91
Memorial Gifts	21825	689.78	470.00	-	-	1,159.78
HE-Teaching Services	21826	-	-	-	-	-
HE-Community Nursing Services	21827	-	-	-	-	-
HE-Lead Abatement Fees	21828	47,014.08	37,201.00	(77,256.11)	-	6,958.97
HE-Third Party Reimbursement	21829	9,635,472.92	1,132,630.56	(6,269,024.63)	-	4,499,078.85
HE-Dental Care for Homeless	21830	-	-	-	-	-
HE-Injury Prevention	21831	-	-	-	-	-
HE-Asbestos Fees	21832	61,667.48	189,443.00	(186,199.83)	-	64,910.65
HE-Conference Fees	21833	-	-	-	-	-
HE-Medicaid in Schools	21834	-	-	-	-	-
HE-Community Services	21835	-	-	-	-	-
HE-AIDS Medication Rebates	21836	848,918.69	1,060,104.06	(1,384,328.24)	-	524,694.51
HE-ADAP DDRP Fees	21837	-	89,240.00	(89,240.00)	-	-
HE-Vital Records Certificates	21838	-	-	-	-	-
HE-VT Health Foundation	21839	-	-	-	-	-
HE-American Legacy Foundation	21840	-	-	-	-	-
CORR-Supervision Fees	21843	3,807,004.73	690,409.73	(523,252.56)	-	3,974,161.90
PERS-Recruitment Services	21844	(6,719.28)	73,427.78	(63,654.12)	-	3,054.38
Chittenden COPS Grant	21845	-	-	-	-	-
Chitt-Women Help Battered Wome	21846	-	-	-	-	-
Windsor-Armory Square Project	21847	-	-	-	-	-
ED-Private Sector Grants	21848	253,826.26	(50,001.91)	(125,874.89)	-	77,949.46
PS-Reports	21850	-	-	-	-	-
PS-Law Enforcement Services	21851	21,097.11	655,292.52	(567,849.44)	-	108,540.19
PS-VAST	21852	-	26,123.25	(26,123.25)	-	-
PS-Alarm Fees	21854	-	-	-	-	-
PS-Dispatching Services	21855	-	-	-	-	-
PS-Fingerprint Fees	21856	42,977.53	188,453.75	(200,000.00)	-	31,431.28
PS-VIBRS	21857	66,133.70	1,095,056.85	(688,138.43)	-	473,052.12
SRS-Build Bright Spaces/Future	21858	25,846.18	10,866.24	(30,000.00)	-	6,712.42

PATH-Other Administration	21860	-	-	-	-	-
EC-Laboratory Receipts	21861	-	-	-	-	-
EC-Motorboat Registration Fees	21862	1,344,371.01	-	(461,100.06)	433,379.90	1,316,650.85
FSTC-Insurance Tax Assessment	21863	-	-	-	-	-
FSTC-Industrial Tuition	21864	-	-	-	-	-
FSTC-Fire Service Tuition	21865	-	-	-	-	-
CJTC-Surcharge Fees	21866	-	-	-	-	-
CJTC-Tuition Fund	21867	-	-	-	-	-
Special Funds Debt Service	21868	7,080.00	-	-	-	7,080.00
Securities Regulation/Supervis	21869	-	-	-	-	-
Misc Special Revenue	21870	1,089,371.27	2,526,319.91	(2,859,333.83)	-	756,357.35
OCS-Pass Through- ANFC	21873	-	-	-	-	-
OEO-Farm to Family Donations	21874	-	-	-	-	-
OEO-CAA Crisis Fuel Return	21876	-	-	-	-	-
BGS-PS 911 Equipment	21877	-	-	-	-	-
FW-Endanger/Threatened Species	21878	-	-	-	-	-
AHS-Annie Casey	21879	-	-	-	-	-
Packard Foundation	21880	-	-	-	-	-
Paul Foundation	21881	-	-	-	-	-
DAD-Johnson & Johnson	21882	-	-	-	-	-
Gates Foundation Grants	21883	18,554.34	387.59	(11,403.26)	-	7,538.67
Emerg Pers Survivor Benefit Fd	21884	163,567.18	3,643.76	-	-	167,210.94
Judicial Project Support	21885	-	-	-	-	-
Treas-Refunding Bond Issue	21886	-	-	-	-	-
OEO-Conference Fees	21887	-	-	-	-	-
Treas-Citizens Bond	21888	-	-	-	-	-
Risk Manage Ag Producers	21889	60,658.09	(8,817.54)	(3,693.61)	-	48,146.94
State's Att & Sheriff-Misc	21891	18,221.48	43,118.42	(52,536.16)	-	8,803.74
BGS-Sale of Prop/Montpelier	21892	-	-	-	-	-
DPS-City of ST Albans/GTEA	21893	-	-	-	-	-
Green Mtn Cons Camp Endowment	21894	35,447.04	8,850.98	-	-	44,298.02
Upper Valley Regional Landfill	21895	182,671.05	3,944.25	(8,685.69)	-	177,929.61
Waterfront Preservation	21896	-	-	-	-	-
Emergency Medical Services Fnd	21897	452,803.91	8,497.36	(82,800.00)	150,000.00	528,501.27
Entergy-Windham Cnty Econ Dev	21898	3,821,375.43	-	(1,629,878.26)	-	2,191,497.17
Connectivity Fund	21899	75,670.42	10,076.44	(8,910.20)	(76,836.66)	-
Other Special Funds	21900	-	-	-	-	-
Fire Prev/Bldg Inspect Sp Fund	21901	262,396.26	5,985,606.93	(6,314,711.52)	-	(66,708.33)

Health Department-Special Fund	21902	(59,382.74)	1,568,709.20	(1,509,326.46)	-	(0.00)
PATH-Misc Fund	21903	1,309,225.66	2,131,067.56	(21,203,027.29)	19,160,676.10	1,397,942.03
Wallace Foundation-SAELP	21904	-	-	-	-	-
Transportation Special Fund	21905	70,000.00	325,000.00	-	-	395,000.00
Financial Services Education	21906	145,537.37	157,479.24	(4,872.50)	-	298,144.11
Polygraph Exam & License Fees	21907	-	-	-	-	-
Misc Grants Fund	21908	307,432.78	224,975.04	(256,432.18)	-	275,975.64
Tax Computer Sys Modernization	21909	6,727,333.31	10,039,071.53	(4,951,999.75)	(1,523,626.00)	10,290,779.09
Counselor Regulatory Fee Fund	21910	2,125.00	-	-	-	2,125.00
Sarcoidosis Benefit Trust Fund	21911	(500.30)	-	-	-	(500.30)
Evidence-Based Educ & Advertis	21912	3,824,906.05	3,303,392.99	(2,700,721.04)	-	4,427,578.00
Workforce Ed & Training Fund	21913	2,459,482.78	-	(905,961.03)	1,045,400.00	2,598,921.75
Job Start Revolving Loan Fund	21914	-	-	-	-	-
Crime Victims Restitution Fund	21915	2,013,655.23	2,279,836.50	(2,125,816.58)	-	2,167,675.15
Vermont Health IT Fund	21916	6,112,832.76	3,947,054.17	(5,769,692.00)	58,308.96	4,348,503.89
Public Funds Investigation	21917	100,000.00	-	-	-	100,000.00
Archeology Operations	21918	97,358.00	8,500.00	-	-	105,858.00
EB-5 Special Fund	21919	167,420.60	2,343.71	(5,376.57)	-	164,387.74
VOL Membership/Dues	21920	191,018.46	-	-	-	191,018.46
Green Mountain Care Fund	21921	-	-	-	-	-
Blood & Breath Alcohol Testing	21922	2,324.50	60,279.00	(11,791.63)	-	50,811.87
Historic Property Stab & Rehab	21923	32,917.00	-	-	-	32,917.00
Vermont Veterans Fund	21924	65,183.64	74,749.09	(72,900.00)	-	67,032.73
Restitution Special Fund	21925	630.39	10,597.88	-	-	11,228.27
Domestic & Sexual Violence	21926	129,322.69	846,617.64	(852,341.55)	-	123,598.78
Supplemental PropertyTax Relief	21927	-	-	-	-	-
Secretary of State Services	21928	200,000.00	7,452,351.74	(4,734,449.06)	(2,607,923.00)	309,979.68
Vermont Renewable Energy Fund	21930	-	-	-	-	-
Clean Water Fund	21932	6,054,909.40	5,118,808.03	(3,354,825.00)	(1,670,000.00)	6,148,892.43
Agricultural Water Quality	21933	1,247,110.08	562,295.70	(2,538,786.51)	1,670,000.00	940,619.27
Complex Litigation Special Fd	21934	1,000,000.00	-	-	-	1,000,000.00
BGS/Sale of Middlebury	21935	-	-	-	-	-
Information Center Revenues	21936	417,455.49	28,660.55	(59,442.46)	-	386,673.58
GMCB Regulatory and Admin Fund	21937	933,091.66	3,188,171.98	(3,374,864.44)	-	746,399.20
Jud-Conference Fund	21940	-	-	-	-	-
Court Technology Fund	21941	3,726,680.27	1,629,324.65	(897,531.38)	-	4,458,473.54
Municipal Tkt Repay Revolving	21942	-	-	-	-	-
State PACE Reserve Fund	21943	51,274.63	1,142.23	-	-	52,416.86

Vermont Enterprise Fund	21944	-	-	-	-	-
DOC-Corrections Donations	21945	4.52	-	-	-	4.52
Mont Dist Heat Plant Maint Res	21947	213,300.00	-	-	-	213,300.00
VTNG & Reserve Family Fund	21950	-	-	-	-	-
Property Assessment Fund	21955	-	-	-	-	-
Unsafe Dam Revolving Loan Fund	21960	252,213.69	5,618.50	-	-	257,832.19
Animal Spay/Neutering Fund	21965	55,841.76	284,316.70	(326,917.47)	-	13,240.99
Registration Fees Fund	21970	342,483.90	430,300.00	(381,939.58)	-	390,844.32
Armed Services Scholarship Fnd	21975	43,416.27	1,683.34	-	39,484.00	84,583.61
Indemnification Fund	21980	-	-	-	-	-
Brownfields Revitalization Fnd	21985	-	-	-	-	-
State Health Care Resources Fd	21990	3,197,572.06	18,652,293.23	(18,546,501.69)	-	3,303,363.60
VT Clean Energy Dev Fund	21991	3,498,908.37	510,375.87	(1,296,596.08)	(37,276.65)	2,675,411.51
Next Generation Initiative Fnd	21992	675,885.10	22,852.16	(2,347,353.25)	2,408,407.00	759,791.01
VT Traumatic Brain Injury Fund	21994	1,284.36	28.60	-	-	1,312.96
Special Fund Total		186,743,383.81	397,455,149.64	(404,441,447.42)	13,933,091.60	193,690,177.63

**Report to
The Vermont Legislature**

Annual Report on the Global Commitment Investments

In Accordance with 33 V.S.A. § 1901e

Submitted to: Joint Fiscal Committee

**Submitted by: Martha Maksym, Acting Secretary
Agency of Human Services**

Report Date: October 1st, 2019

Investment Expenditures

Department	Investment#	Investment Description	SFY15	SFY16	SFY17	SFY18	SFY19
AHSCO	41	Investments (STC-79) - 2-1-1 Grant (41)	\$ 499,667	\$ 453,000	\$ 453,000	\$ 453,000	\$ 452,285
AHSCO	54	Investments (STC-79) - Designated Agency Underinsured Services (54)	\$ 6,894,205	\$ 5,632,253	\$ 7,652,462	\$ 7,316,517	\$ 6,618,976
AOA		Green Mountain Care	\$ 639,239	\$ -	\$ -	\$ -	\$ -
AOE	11	Non-state plan Related Education Fund Investments (School Health Services)	\$ 10,029,809	\$ 10,472,205	\$ -	\$ -	\$ -
GMCB	45	Green Mountain Care Board	\$ 2,517,516	\$ 2,188,901	\$ 2,795,198	\$ 1,920,142	\$ 2,066,200
UVM	10	Vermont Physician Training	\$ 4,046,217	\$ 4,046,217	\$ 4,046,217	\$ 4,046,217	\$ 3,379,217
VAAF	36	Agriculture Public Health Initiatives	\$ 90,278	\$ 90,278	\$ 90,278	\$ -	\$ -
VSC	32	Health Professional Training	\$ 409,461	\$ 629,462	\$ 409,461	\$ 409,461	\$ 409,461
VVH	20	Vermont Veterans Home	\$ 410,986	\$ 410,986	\$ 410,986	\$ 410,986	\$ -
DCF	55	Investments (STC-79) - Medical Services (55)	\$ 32,299	\$ 55,400	\$ 85,151	\$ 71,382	\$ 69,887
DCF	1	Investments (STC-79) - Residential Care for Youth/Substitute Care (1)	\$ 10,405,184	\$ 10,238,115	\$ 11,329,080	\$ 9,017,098	\$ 7,977,619
DCF	56	Investments (STC-79) - Aid to the Aged, Blind and Disabled GCL Level III (56)	\$ 2,864,727	\$ 2,753,853	\$ 2,710,931	\$ 2,809,148	\$ 1,744,608
DCF	57	Investments (STC-79) - Aid to the Aged, Blind and Disabled Res Care Level III (57)	\$ 77,196	\$ 80,830	\$ 61,678	\$ 43,529	\$ 46,521
DCF	58	Investments (STC-79) - Aid to the Aged, Blind and Disabled Res Care Level IV (58)	\$ 160,963	\$ 190,066	\$ 172,218	\$ 105,594	\$ 112,139
DCF	59	Investments (STC-79) - Essential Person Program (59)	\$ 707,316	\$ 802,619	\$ 1,022,339	\$ 942,059	\$ 859,525
DCF	60	Investments (STC-79) - GA Medical Expenses (60)	\$ 211,973	\$ 181,835	\$ 221,199	\$ 236,643	\$ 315,974
DCF		Investments (STC-79) - Children's Integrated Services Early Intervention	\$ -	\$ 371,836	\$ 371,870	\$ -	\$ -
DCF	61	Investments (STC-79) - Therapeutic Child Care (61)	\$ 605,419	\$ 712,884	\$ 612,052	\$ 1,279,496	\$ 550,993
DCF	2	Investments (STC-79) - Lund Home (2)	\$ 405,034	\$ 261,081	\$ 1,769,128	\$ 2,349,849	\$ 1,966,674
DCF	33	Investments (STC-79) - Prevent Child Abuse Vermont: Shaken Baby (33)	\$ 54,125	\$ 54,125	\$ 38,795	\$ -	\$ -
DCF	34	Investments (STC-79) - Prevent Child Abuse Vermont: Nurturing Parent (34)	\$ 195,124	\$ 126,365	\$ 113,832	\$ 102,582	\$ 252,371
DCF	9	Investments (STC-79) - Challenges for Change: DCF (9)	\$ 189,378	\$ 202,488	\$ 210,624	\$ 202,488	\$ 208,098
DCF	26	Investments (STC-79) - Strengthening Families (26)	\$ 370,003	\$ 426,417	\$ 439,420	\$ 921,322	\$ 1,054,028
DCF	62	Investments (STC-79) - Lamoille Valley Community Justice Project (62)	\$ 83,315	\$ 216,000	\$ 216,000	\$ 219,000	\$ 173,218
DCF	35	Investments (STC-79) - Building Bright Futures (35)	\$ 514,225	\$ 531,283	\$ 625,562	\$ 543,611	\$ 609,873
DDAIL	63	Investments (STC-79) - Mobility Training/Other Svcs.-Elderly Visually Impaired (63)	\$ 245,000	\$ 270,170	\$ 295,403	\$ 268,670	\$ 321,992
DDAIL	64	Investments (STC-79) - DS Special Payments for Medical Services (64)	\$ 385,896	\$ 1,904,880	\$ 2,736,796	\$ 1,847,505	\$ 1,901,942
DDAIL	27	Investments (STC-79) - Flexible Family/Respite Funding (27)	\$ 1,400,997	\$ 1,919,377	\$ 1,877,363	\$ 1,591,743	\$ 1,162,153
DDAIL	42	Investments (STC-79) - Quality Review of Home Health Agencies (42)	\$ 44,682	\$ 35,203	\$ 21,928	\$ 70	\$ -
DDAIL	43	Investments (STC-79) - Support and Services at Home (SASH) (43)	\$ 1,026,155	\$ 1,013,283	\$ 1,022,170	\$ 1,039,818	\$ 1,040,671
DDAIL	77	Investments (STC-79) - HomeSharing (77)	\$ 327,163	\$ 339,966	\$ 340,882	\$ 349,318	\$ 302,464
DDAIL	78	Investments (STC-79) - Self-Neglect Initiative (78)	\$ 265,000	\$ 276,830	\$ 277,257	\$ 281,738	\$ 208,408
DDAIL	65	Investments (STC-79) - Seriously Functionally Impaired: DAIL (65)	\$ 333,331	\$ 120,997	\$ 74,041	\$ 73,806	\$ 68,346
DMH	28	Investments (STC-79) - Special Payments for Treatment Plan Services (28)	\$ 152,047	\$ 158,316	\$ 155,800	\$ 144,810	\$ 139,049
DMH	66	Investments (STC-79) - MH Outpatient Services for Adults (66)	\$ 3,074,989	\$ 4,446,379	\$ 2,702,991	\$ 2,897,020	\$ 2,809,523
DMH	79	Investments (STC-79) - Mental Health Consumer Support Programs (79)	\$ 1,132,931	\$ 470,222	\$ 464,525	\$ 396,237	\$ 478,475
DMH	16	Investments (STC-79) - Mental Health CRT Community Support Services (16)	\$ 282,071	\$ 5,866,297	\$ 7,446,247	\$ 8,592,779	\$ 7,877,833
DMH	12	Investments (STC-79) - Mental Health Children's Community Services (12)	\$ 3,706,864	\$ 4,379,820	\$ 4,511,388	\$ 4,589,320	\$ 4,112,530
DMH	29	Investments (STC-79) - Emergency Mental Health for Children and Adults (29)	\$ 4,148,197	\$ 2,528,751	\$ 7,989,001	\$ 9,281,100	\$ 9,269,412
DMH	67	Investments (STC-79) - Respite Services for Youth with SED and their Families (67)	\$ 931,962	\$ 1,286,154	\$ 1,209,076	\$ 1,213,442	\$ 1,231,866
DMH	22	Investments (STC-79) - Emergency Support Fund (22)	\$ 463,708	\$ 914,858	\$ 995,193	\$ 1,020,523	\$ 900,280
DMH	3	Investments (STC-79) - Institution for Mental Disease Services: DMH (3) - VPCH	\$ -	\$ -	\$ 21,804,310	\$ 22,438,553	\$ 21,959,405
DMH	3	Investments (STC-79) - Institution for Mental Disease Services: DMH (3) - BR	\$ 25,371,245	\$ 22,335,938	\$ 4,786,816	\$ 5,882,299	\$ 7,908,286
DMH	68	Investments (STC-79) - Seriously Functionally Impaired: DMH (68)	\$ 392,593	\$ 246,049	\$ 114,942	\$ 109,731	\$ 23,413
DMH	13	Investments (STC-79) - Acute Psychiatric Inpatient Services (13)	\$ 2,423,577	\$ 3,145,476	\$ 4,287,792	\$ 3,148,571	\$ 1,495,546
DOC	4	Return House	\$ 343,592	\$ 342,084	\$ 437,023	\$ 457,139	\$ 490,306
DOC	5	Northern Lights	\$ 354,909	\$ 768,289	\$ 370,155	\$ 414,183	\$ 393,752
DOC	6	Pathways to Housing - Transitional Housing	\$ 830,336	\$ 1,018,229	\$ 910,936	\$ 937,864	\$ 1,143,415
DOC	14	St. Albans and United Counseling Service Transitional Housing (Challenges for Change)	\$ 539,727	\$ -	\$ 667,967	\$ 460,741	\$ 532,884
DOC	15	Northeast Kingdom Community Action	\$ 267,025	\$ 220,436	\$ 201,744	\$ 45,293	\$ -
DOC	69	Intensive Substance Abuse Program (ISAP)	\$ 58,280	\$ -	\$ -	\$ -	\$ -
DOC	70	Intensive Domestic Violence Program	\$ 169,043	\$ 88,152	\$ -	\$ -	\$ -
DOC	71	Community Rehabilitative Care	\$ 2,539,161	\$ 2,639,580	\$ 2,690,514	\$ 2,840,036	\$ 2,816,947
DOC	80	Intensive Sexual Abuse Program	\$ 15,532	\$ 6,375	\$ 9,530	\$ 10,795	\$ 10,510
DVHA	8	Investments (STC-79) - Vermont Information Technology Leaders/HIT/HIE/HCR (8)	\$ 2,915,149	\$ 1,887,543	\$ 3,694,675	\$ 2,131,044	\$ 925,130
DVHA	51	Investments (STC-79) - Vermont Blueprint for Health (51)	\$ 1,987,056	\$ 2,594,329	\$ 2,474,551	\$ 3,290,433	\$ 2,911,438
DVHA	52	Investments (STC-79) - Buy-In (52)	\$ 27,169	\$ 29,447	\$ 53,552	\$ 30,686	\$ 49,581
DVHA	53	Investments (STC-79) - HIV Drug Coverage (53)	\$ 10,072	\$ 8,484	\$ 7,000	\$ 4,085	\$ 2,704
DVHA	18	Investments (STC-79) - Patient Safety Net Services (18)	\$ 335,420	\$ 573,050	\$ 647,696	\$ 29,050	\$ 14,631
DVHA	7	Investments (STC-79) - Institution for Mental Disease Services: DVHA (7)	\$ 7,792,709	\$ 7,839,519	\$ 8,034,408	\$ 7,897,961	\$ 9,682,795
DVHA	72	Investments (STC-79) - Family Supports (72)	\$ 2,982,388	\$ 273,177	\$ -	\$ 6,362	\$ -
DVHA	81	DSR Investment (STC-83) - One Care VT ACO Quality & Health Management (81)	\$ -	\$ -	\$ -	\$ 614,250	\$ 1,842,750
DVHA	82	DSR Investment (STC-83) - One Care VT ACO Advanced Community Care Coordination (82)	\$ -	\$ -	\$ -	\$ 1,173,125	\$ 2,769,378
DVHA		Civil Union	\$ (50,085)	\$ (585)	\$ -	\$ -	\$ -
VDH	19	Investments (STC-79) - Emergency Medical Services (19)	\$ 480,027	\$ 442,538	\$ 547,703	\$ 763,945	\$ 571,875
VDH	74	Investments (STC-79) - TB Medical Services (74)	\$ 28,571	\$ 9,738	\$ 139,946	\$ 132,445	\$ 62,996
VDH	40	Investments (STC-79) - Epidemiology (40)	\$ 872,449	\$ 750,539	\$ 876,737	\$ 1,146,645	\$ 951,447
VDH	39	Investments (STC-79) - Health Research and Statistics (39)	\$ 715,513	\$ 1,195,231	\$ 1,304,587	\$ 1,579,988	\$ 1,174,054
VDH	31	Investments (STC-79) - Health Laboratory (31)	\$ 3,405,659	\$ 3,294,240	\$ 3,227,611	\$ 3,245,097	\$ 3,486,834
VDH	50	Investments (STC-79) - Tobacco Cessation: Community Coalitions (50)	\$ 702,544	\$ -	\$ -	\$ 1,351,459	\$ 1,616,078
VDH	76	Investments (STC-79) - Statewide Tobacco Cessation (76)	\$ 1,148,535	\$ 257,507	\$ 257,507	\$ -	\$ -
VDH	75	Investments (STC-79) - Family Planning (75)	\$ 1,390,410	\$ 1,193,215	\$ 1,473,280	\$ 1,349,711	\$ 1,524,893
VDH	25	Investments (STC-79) - Physician/Dentist Loan Repayment Program (25)	\$ 900,000	\$ 770,000	\$ 834,222	\$ 767,111	\$ 68,722
VDH	73	Investments (STC-79) - Renal Disease (73)	\$ 10,125	\$ 13,500	\$ 11,625	\$ -	\$ -
VDH	37	Investments (STC-79) - WIC Coverage (37)	\$ 1,824,848	\$ 1,201,498	\$ 1,592,077	\$ 3,881,689	\$ 3,438,884
VDH	21	Investments (STC-79) - Area Health Education Centers (AHEC) (21)	\$ 543,995	\$ 562,000	\$ 463,000	\$ 556,100	\$ 537,600
VDH	47	Investments (STC-79) - Patient Safety - Adverse Events (47)	\$ 34,988	\$ 35,033	\$ 39,465	\$ 36,700	\$ 40,951
VDH	30	Investments (STC-79) - Substance Use Disorder Treatment (30)	\$ 2,913,591	\$ 2,169,074	\$ 4,483,334	\$ 9,078,817	\$ 1,623,477
VDH	17	Investments (STC-79) - Recovery Centers (17)	\$ 1,299,604	\$ 1,354,104	\$ 1,505,120	\$ 1,486,634	\$ 1,436,511

Department	Investment#	Investment Description	SFY15	SFY16	SFY17	SFY18	SFY19
VDH	46	Investments (STC-79) - Enhanced Immunization (46)	\$ 253,245	\$ 109,373	\$ 251,577	\$ 166,046	\$ 278,541
VDH	48	Investments (STC-79) - Poison Control (48)	\$ 105,586	\$ 85,586	\$ 136,390	\$ 84,756	\$ 111,002
VDH	23	Investments (STC-79) - Public Inebriate Services, C for C (23)	\$ 426,000	\$ 784,155	\$ 1,229,572	\$ 819,027	\$ 1,306,394
VDH	38	Investments (STC-79) - Fluoride Treatment (38)	\$ 55,209	\$ 75,916	\$ 62,341	\$ 57,644	\$ 65,963
VDH	24	Investments (STC-79) - Medicaid Vaccines (24)	\$ 557,784	\$ 578,183	\$ -	\$ -	\$ -
VDH	49	Investments (STC-79) - Healthy Homes and Lead Poisoning Prevention Program (49)	\$ 421,302	\$ 187,784	\$ 258,563	\$ 257,121	\$ 263,817
VDH	44	Investments (STC-79) - VT Blueprint for Health (44)	\$ 703,123	\$ 757,576	\$ 874,534	\$ 1,466,561	\$ 1,379,046
VDH		Coalition of Health Activity Movement Prevention Program (CHAMPPS)	\$ 395,229	\$ (26,262)	\$ -		
VDH		Community Clinics	\$ -	\$ -	\$ -		
VDH		FQHC Lookalike	\$ 97,000	\$ 6,000	\$ -		
			\$ 128,924,888	\$ 126,882,102	\$ 138,740,345	\$ 147,237,720	\$ 135,604,569

Last Updated: 9/30/19

TO: Representatives Kitty Toll, Bill Lippert, and Janet Ancel
Senators Jane Kitchel, Ginny Lyons, and Ann Cummings

FROM: Ena Backus, Director of Health Care Reform, Agency of Human Services

DATE: October 1, 2019

SUBJECT: Update on Wholesale Prescription Drug Importation Program
(Sec. E.300.7 of Act 72 of 2019)

In keeping with Sec. E.300.7 of Act 72 of 2019 the Agency of Human Services respectfully submits the following update.

Legislative charge:

- (a) The Agency of Human Services shall consult with the National Academy for State Health Policy (NASHP) and with states pursuing or interested in pursuing a wholesale prescription drug importation program to identify opportunities to coordinate and work collaboratively in these efforts. On or before October 1, 2019, the Agency shall provide an update on its progress in obtaining federal approval for a wholesale prescription drug importation program pursuant to 18 V.S.A. §4653, including the results of its consultations with NASHP and with other states, to the House Committees on Appropriations, on Health Care, and on Ways and Means; the Senate Committees on Appropriations, on Health and Welfare, and on Finance; and the Joint Fiscal Committee.

Beginning May 9, 2019, the State of Vermont has been participating in state collaboration calls convened by the National Academy for State Health Policy (NASHP) for the purposes of discussing wholesale importation of prescription drugs from Canada amongst those states with active or pending legislation. As of September 26, 2019, NASHP has convened 10 collaboration calls.

The collaboration calls give states the opportunity to learn about one another's respective laws calling for programs of prescription drug importation from Canada and to receive guidance and expertise from NASHP and its contractors. In addition to Vermont, states participating in collaboration calls include: Maine, Colorado, Florida, and Utah.

On July 31, 2019, the U.S. Department of Health and Human Services (HHS) and the U.S. Food and Drug Administration (FDA) announced the Safe Importation Action Plan. The Safe Importation Action Plan describes two potential pathways for importation of drugs from foreign markets. Pathway One describes a notice of proposed rulemaking that would act on Section 804 of the existing Federal Food, Drug and Cosmetic Act ("FD&C Act"). This notice would be issued by HHS and the FDA and would authorize demonstration projects developed by states to import certain drugs from Canada. This pathway would require states to guarantee the safety of the imported drugs and to demonstrate savings to consumers; both key principles of Section 804 that Vermont has already incorporated into its early work to design a program of wholesale prescription drug importation from Canada. The second pathway would allow manufacturers to import drugs from foreign markets at the foreign market list price. Attached is a set of slides provided during a media briefing on August 15, 2019 that outlines the two pathways and next steps.

Vermont is encouraged by the creation of a formal pathway for states to pursue prescription drug importation from Canada. Absent a clear pathway, the state would still propose a program of importation grounded in Section 804, but

with no guidance about the review or approval process. Despite this encouraging development, Vermont is concerned that a lengthy rulemaking process could hamper program implementation. Given these concerns, Governor Scott sent the attached letter to HHS requesting clarification about the Safe Importation Action Plan.

In response to the letter, Governor Scott's staff were invited to and participated in a call hosted by HHS about the Safe Importation Action Plan. On this call Vermont articulated its concerns about the rulemaking process impeding the implementation of an importation program and asked if states that demonstrated readiness could pilot a program prior to the completion of final rulemaking. The conversation was productive and the lines of communication with HHS are open.

As Vermont is learning more about other states' approaches to a program of importation and preparing to submit a proposal to HHS, the state needs to revisit the savings estimates generated for the initial phase of program design. Today, Vermont payers (BCBSVT and MVP) have been asked to submit refreshed data to NASHP in order to arrive at the most current estimate of savings.

Progress: NASHP Overview of States Implementing Canadian Drug Importation Laws

State	Deadline to submit legislation to HHS	Responsible Agency	Payer Type	Eligible Drug Classes	Notes
VT	Originally Jul 1 2019; now Jul 1 2020	Agency of Human Services	Commercial plans; no Medicaid (may phase in later)	Diabetes, HIV/AIDS, MS, Hep C, COPD, VTE prevention	1-5 mil/year (Dec 2018 report*)
FL (1) – Canadian importation for state health departments	Jul 1 2020 deadline with momentum to submit earlier	Agency for Health Care Administration	Public payers	HIV, Asthma, Hep C, COPD, VTE prevention	Anticipating savings for some public payers
FL (2) – International import program for the commercial market;	" "	Dept. of Business and Professional Regulation	Commercial plans; state employees	(Analysis in progress)	Starting w/ Canadian importation
CO	Sept. 1 2020	Dept. of Health Care Policy & Financing	Public and private payers are eligible	(Analysis in progress)	"
ME	May 1, 2020	DHHS to designate a state agency	Health insurance carriers	Not yet determined	Charged with considering if the program may be developed on a multistate basis

PHILIP B. SCOTT
Governor



State of Vermont
OFFICE OF THE GOVERNOR

August 13, 2019

Alex M. Azar, II, Secretary
Department of Health and Human Services
Hubert H. Humphrey Bldg.
200 Independence Ave., S.W.
Washington, DC 20201

Dear Secretary Azar:

We applaud the Administration's recent release of its Safe Importation Action Plan to support efforts to lower prescription prices through importation. Vermont was the first states in the nation to pass a prescription drug importation law, recognizing health care and pharmacy costs are too high for too many. For our policy to be viable, we know we will need federal collaboration and approval. **Accordingly, I am writing to formally request a meeting with your Agency to discuss our plans and how the Administration's approach may impact them.**

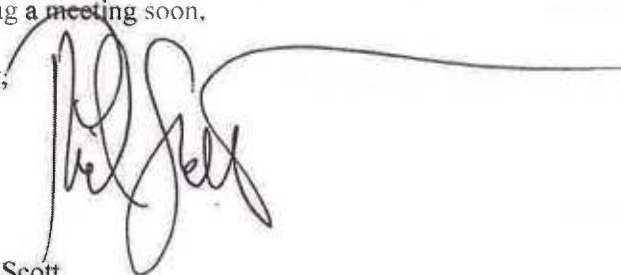
We are eager to have this conversation soon given our work to date and state statutory requirements to submit applications as soon as July 1, 2020.

I would also value an opportunity to learn more about both of your proposed pathways and how they will relate to state activity. My team and I have several questions we would like to discuss with your Agency to assure maximum collaboration and coordination between Vermont and the federal government so that importation may in fact provide significantly lower costs for our residents.

We have been working with the National Academy for State Health Policy (NASHP) who we'd like to have join us, along with representatives from the other states who have passed importation laws – if they are interested. NASHP will coordinate among the states if you approve of this request.

Thank you for your leadership on this important issue. We look forward to hearing from you and to scheduling a meeting soon.

Sincerely,


Philip B. Scott
Governor

PBS/kp

c: Trish Riley, Executive Director, National Academy for State Health Policy
Two Monument Square, Suite 910, Portland ME 04101

109 STATE STREET ♦ THE PAVILION ♦ MONTPELIER, VT 05609-0101 ♦ WWW.VERMONT.GOV
TELEPHONE: 802.828.3333 ♦ FAX: 802.828.3339 ♦ TDD: 802.828.3345

Wholesale Prescription Drug Importation from Canada: State and Federal Efforts

August 15, 2019



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Agenda

- Federal Law
- Vermont Law: Act 133 of 2018
- Vermont Law: Act 72 of 2019
- Agency of Human Services Legislative Report
- State Progress with National Academy for State Health Policy (NASHP)
- Safe Importation Action Plan
- Next Steps: Meeting Request made to HHS



2

Federal Law: Section 804 of the Food, Drug, and Cosmetic Act (FDCA)

- The Food and Drug Administration Modernization Act of 1997 amended the FDCA to include Section 804
- Section 804 of FDCA allows the HHS Secretary to approve a *program* of wholesale importation of prescription drugs that will:
 - Pose no additional risk to the public's health and safety; and
 - Result in a significant reduction in the cost of the covered products to the American consumer
- 804 has never been used
 - States have submitted personal importation proposals and been denied for safety and cost savings concerns

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Federal Law: Section 804 of the Food, Drug, and Cosmetic Act (FDCA) cont.

- By law, prescription drugs may only be imported from Canada
- By law, NO importation of a controlled substance, biological product, infused drug, intravenously injected drug, or a drug inhaled during surgery
- By law, laboratory testing is required

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Vermont Law – Act 133 (S.175) of 2018

- Act 133 Permits the importation of Rx drugs from Canada, subject to HHS approval. Components of the act include:
 - Import drugs from Canadian-licensed and FDA registered supplier(s)
 - Program open to all Vermont payers
 - Import drugs that will generate significant consumer-level savings
 - Prohibits distribution, sale or dispensing of imported prescription drugs outside Vermont
 - Program must have an audit function
 - Requirement for the Agency of Human Services to submit an application to the United States Department of Health and Human Services no later than July 1, 2019—amended to 2020

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Vermont Law - Act 72 (H. 542) of 2019

- Act 72 amends Act 133 to require that Vermont submit an application to HHS on or before **July 1, 2020**
 - Establishes that the Vermont Agency of Human Services is responsible for the implementation and administration of a prescription drug importation program
 - Requires AHS to consult with the Board of Pharmacy to recommend whether new prescription drug wholesaler license categories are necessary for an importation program
 - Requires the Agency to consult with the National Academy for State Health Policy (NASHP) and other states pursuing wholesale importation of prescription drugs from Canada

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Wholesale Importation of Prescription Drugs: AHS Legislative Report Summary December 31, 2018

- The Department of Vermont Health Access (DVHA) estimated minimal if any benefit to Medicaid members from importation as their copays are typically \$0 and no more than \$3 dollars and Medicaid's existing prescription drug rebate program yields substantial savings
 - There may be a small number of specific drugs that may be more cost-effective for DVHA through Canada for a limited period-of-time
- First cut analysis concludes \$1-5 million in potential savings for two commercial payers (BCBSVT and MVP) who contributed data to NASHP
 - Note: this figure does not include patient data from other commercial insurers, the most statistically significant of which is CIGNA, due to the number of lives they cover in Vermont
 - Note: this figure was also derived under the incorrect interpretation of federal law that various type of insulin are eligible for importation. Unfortunately, they are not.
- Recommended licensure of wholesalers importing drugs from Canada and key activities to ensure imported drugs pose no additional risk to public's health and safety
- Further work required to determine costs to state for operating the program and best methods to ensure savings for consumers

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Progress: NASHP Overview of States Implementing Canadian Drug Importation Laws

State	Timeline	Agency	Program	Eligible Conditions	Impact
VT	Originally Jul 1 2019; now Jul 1 2020	Agency of Human Services	Commercial plans; no Medicaid (may phase in later)	Diabetes, HIV/AIDS, MS, Hep C, COPD, VTE prevention	1-5 mil/year (Dec 2018 report*)
FL (1) – Canadian importation for state health departments	Jul 1 2020 deadline with momentum to submit earlier	Agency for Health Care Administration	Public payers	HIV, Asthma, Hep C, COPD, VTE prevention	Anticipating savings for some public payers
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United States Food and Drug Administration Safe Importation Action Plan

- Describes steps HHS and FDA will take to allow the safe importation of certain drugs originally intended for foreign markets
- Action Plan describes two potential pathways to provide safe, lower cost drugs to consumers
- Pathway 1 Notice of Proposed Rulemaking would rely on authority in Section 804 of the FDCA

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United States Food and Drug Administration Safe Importation Action Plan, cont.

- **Pathway 1**
 - *Under this pathway, States, wholesalers, or pharmacists could submit plans for demonstration projects to HHS to review, outlining how they would import Health-Canada approved drugs that are in compliance with Section 505 of the FDCA. Importation would occur in a manner that adequately assures the drug is what it purports to be and that meets the cost requirements of the rulemaking. Demonstration projects would be time-limited and require regular reporting to ensure safety and cost conditions are being met.*

Safe Importation Action Plan, U.S Department of Health and Human Services and U.S. Food and Drug Administration, Published July 31, 2019

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United States Food and Drug Administration Safe Importation Action Plan

• Pathway 2

- *Manufacturers of FDA-approved drug products would be able to import versions of these FDA-approved drugs that they sell in foreign countries into the U.S. To use this pathway, the manufacturer or person authorized by the manufacturer would need to establish with FDA that the foreign version is the same as the U.S. version (such as through manufacturing records). If this condition is met, FDA would allow the drug to be labeled for sale in the U.S. (potentially with labeling that identifies the product as originally manufactured for sale abroad) and imported pursuant to section 801 (d) of the FDCA under the existing approval for the U.S. approved version.*

Safe Importation Action Plan, U.S Department of Health and Human Services and U.S. Food and Drug Administration, Published July 31, 2019

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Next Steps

Program Design

- Identifying interested wholesalers in Canada and Vermont
- Determine exact method for delivering savings to consumers at the point of purchase and through insurance premium rates
- Identify resources to administer and monitor program

Safe Importation Action Plan

- Request meeting with HHS to clarify proposal and advocate for pilot program prior to final rule
- Work with other states to provide comment on proposed rule

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The University of Vermont

Report to the Vermont General Assembly

DRAFT

Supporting Student Success: Boosting Retention

at the Vermont State Colleges System

and the University of Vermont

Draft Submitted by: Tricia Coates, Director of External and Governmental Affairs, VSCS
Wendy L. Koenig, J.D., Director of Federal and State Relations, UVM

Date: October 15, 2019

Supporting Student Success: Boosting Retention at the VSCS and UVM

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Vermont State Colleges System

Introduction: Why retention is an imperative?

One of the six strategic priorities of the VSCS is to improve the retention and graduation rates at our colleges. While VSCS retention and graduation rates are comparable to similar institutions nationwide, we recognize the growing body of national evidence from “game-changing” strategies that can significantly increase student success, many of which are in some stage of implementation across the System. A related strategic priority adopted by the board is to operate as an even more integrated system that provides expanded student opportunities and supports by improving the technology infrastructure and reducing transferability and course-sharing barriers.

We recognize the critical need for the VSCS to contribute to Vermont’s 70×2025 attainment goal and the future social and economic well-being of our state by increasing the number of Vermonters who complete a degree or credential of value.

What do we measure?

Colleges and universities submit student data to the Integrated Post-Secondary Education Data System (IPEDS) every October 15. This national database allows for comparisons between institutions on key educational quality data points. In particular, it allows colleges to benchmark their data against a cohort of peers that share similar characteristics, like size, costs and graduation rates. IPEDS uses the following definitions of two data points key to this report:

Retention -- The percentage of first-time, full-time bachelor’s degree-seeking students from the previous fall term who enroll again in the most recent fall term in 4-year institutions.

Graduation Rates – The percentage of first-time, full-time bachelor’s degree seeking students who graduate within 150% (six years) of the time that is normally required for the program they are in.

What do IPEDS reports not measure?

While common definitions help colleges and universities place their own retention and graduation rates into context and provide specific targets for improvement, the IPEDS retention and graduation rate definitions can be limited in what they reveal about student success and educational quality at a particular institution. In fact, the following data points may be more significant to educational outcomes at access institutions than to more selective colleges and universities:

The number of students who transfer -- If a full-time, enrolled student transfers to another institution, their departure lowers the sending institution's first-time full-time IPEDS retention rate and graduation rates. As our recent examination of data on CCV students' success in transferring to UVM revealed, these students transfer with an average of approximately 15 credits, or the equivalent of just one semester of full-time study.

The success of students who take longer than 150% of time to graduation – Full-time enrollment in 15 credits is a best practice for timely graduation. Many students, though, cannot enroll in 15 credits every semester. Many working age adults who have successfully completed their degrees in more than 150% of time have enrolled in only several courses per semester or skipped semesters entirely. Recently introduced IPEDS outcomes measures now look at 200% time to graduation, and include tracking of both full-time and part-time students and outcomes inclusive of transfer to other institutions. These measures may be found in the full IPEDS data reports linked below, presented in Figures 17-20.

Non-degree student success – Academic quality and success may also be measured by non-degree program enrollment and completion, programs that serve workforce needs and individual interests. IPEDS retention reports do not measure these outcomes.

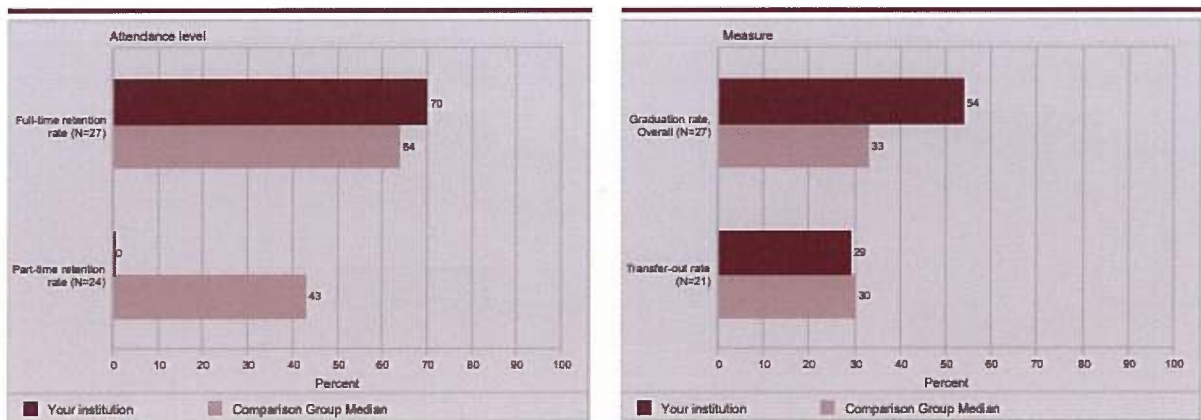
What are the retention and graduation rates for VSCS colleges and universities?

The following charts reflect data reported to IPEDS in October 2018, and reflect the academic year of 2017-2018. (Comprehensive 2018 IPEDS reports for individual colleges are linked after each chart.

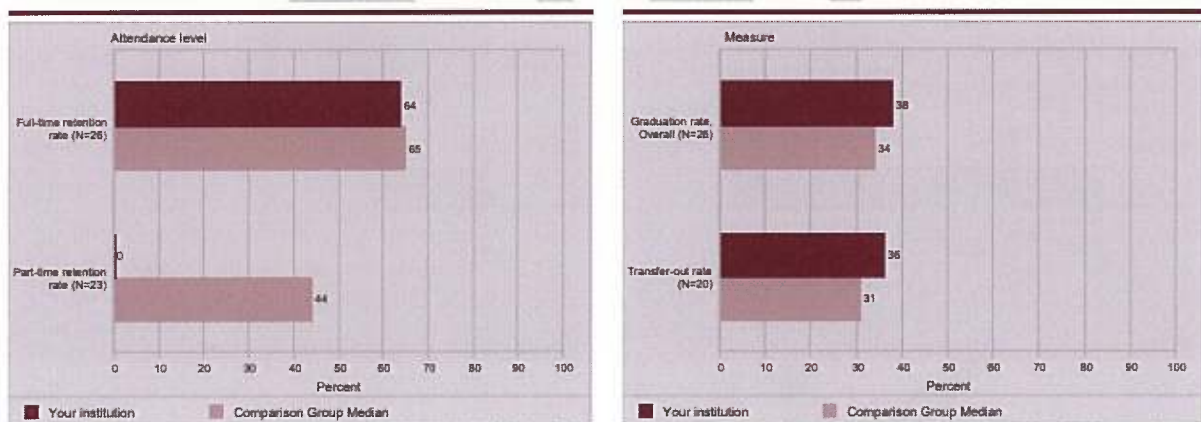
VSCS First Year Retention and 6 Year Graduation Rates: 2018 IPEDS Report

	First year Retention	Graduation Rate
<u>Castleton University</u>	70%	54%
<i>National peer group</i>	64%	33%
Northern Vermont University		
<u>Lyndon</u>	63%	43%
<u>Johnson</u>	64%	38%
<i>National peer group</i>	65%	34%
<u>Vermont Tech</u>	66%	52%
<i>National peer group</i>	60%	34%
<u>Community College of VT</u>	60%	21%
<i>National peer group</i>	59%	23%

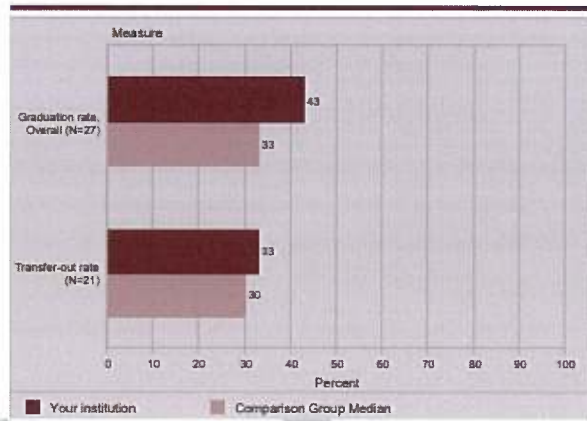
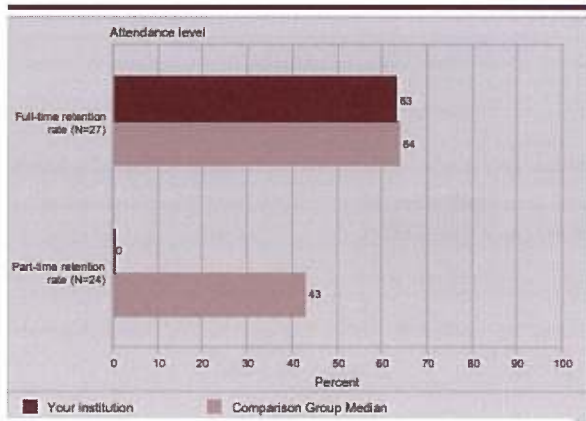
Castleton University First Year Retention and 6 Year Graduation Rates: [2018 IPEDS Report](#)



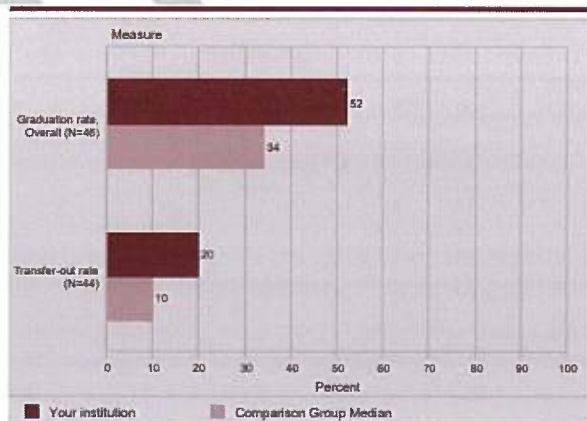
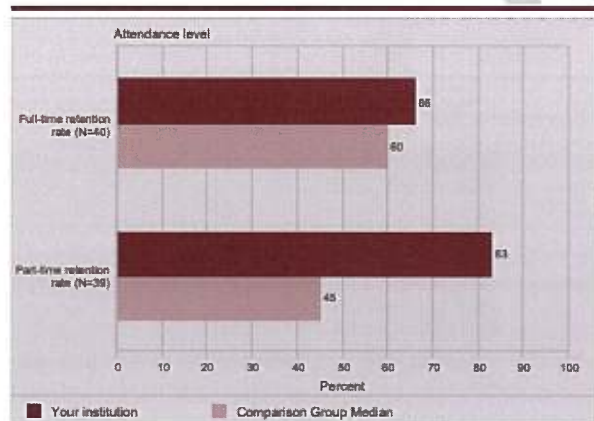
Northern Vermont University – Johnson First Year Retention and 6 Year Graduation Rates: [2018 IPEDS Report](#)



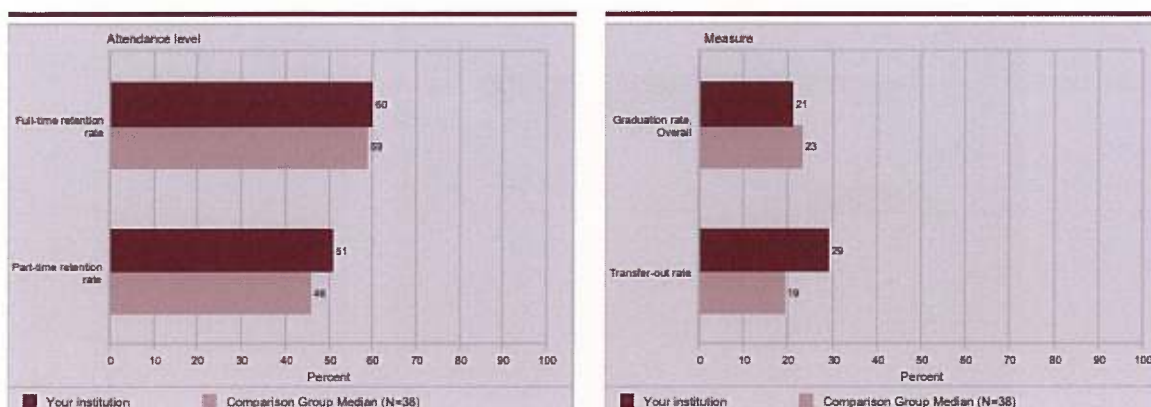
Northern Vermont University - Lyndon First Year Retention and 6 Year Graduation Rates: [2018 IPEDS Report](#)



Vermont Technical College First Year Retention and 6 Year Graduation Rates: [2018 IPEDS Report](#)



Community College of Vermont First Year Retention and 6 Year Graduation Rates: [2018 IPEDS Report](#)

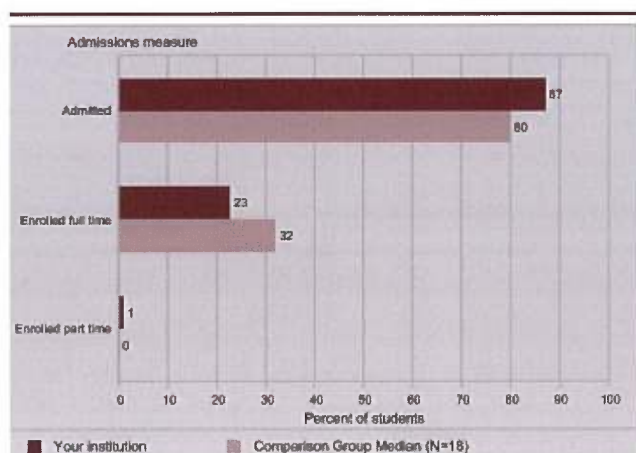


What factors influence VSCS retention rates?

Better supporting student success is a strategic priority for the VSCS Board of Trustees and for every VSCS institution. While we implement new strategies and learn from best practices relevant to our college peer cohort, we must consider the most important influences over student persistence semester-to-semester.

Preparedness for college – The preparation level of an incoming first-year college class can be measured by average high school GPAs, standardized test scores, etc. The selectivity of a college's admissions process is determined by how heavily these factors are weighed. Access institutions have less selective admissions policies, and so our students reflect a wide-range of academic preparation. Preparation for college level work is a key retention driver. As access institutions, a balance must be struck between opening doors to all students and supporting development from their current achievement level *and* counseling unprepared students into alternative pathways for learning.

Northern Vermont University Johnson – Admission Rates



Low income/first-generation status – The majority of VSCS students are low-income and/or first in their family to attend college. To be Pell-eligible, a student must come from a family with income of \$50,000 or below.

	% of Pell-Eligibility	% of First-Gen Students
Castleton University	40%	49%
NVU-Johnson	52%	50%
NVU-Lyndon	47%	45%
Vermont Tech	39%	37%
CCV	46%	62%

Even with Pell Grants, VSAC State Grants, and institutional aid, financial support is not often enough to cover student expenses like room and board, textbooks, or transportation. Significantly, for individuals in poverty, unanticipated events like car repairs, a health issue, or a child care issue can easily derail academic progress. Affordability is a significant challenge for current and prospective students of the VSCS.

Working age students. VSCS institutions play a unique role in providing education for Vermonters hoping to advance in their careers or pursue an academic interest. As a result, the average age of our enrolled students is higher.

Percentage of students over 25 years of age:

Castleton	8%
NVU (Combined)	24%
Vermont Tech	37%
CCV	41%

Significantly, working age students juggle college courses, jobs and family life. This affects their ability to enroll in 15 credits, to enroll in consecutive semesters, or to complete their degree at all.

Part time college-going -- The cohort of public colleges and universities considered to be access institutions often enroll a significantly higher percentage of part-time students than others. The VSCS is no exception.

% of students attending part time

Castleton University	5%
NVU	14%
Vermont Tech	22%
CCV	70%

Full time enrollment significantly boosts student persistence, and important dynamic for retention and graduation. The “15 to Finish” campaign recognizes the role of enrolling in 15 credits per semester as a way to reduce the overall cost of a degree and the likelihood of graduation. On-time graduation gets students into the workforce to begin earning sooner. Part-time students are more likely to have their education disrupted by life events or work demands. Additionally, as part time students they have less access to federal grants and are more likely to confront challenges with affordability.

High cost/affordability— In 2018, 41% of VSCS students were Pell-eligible, a federal benchmark that indicates those student’s families earned \$50,000 or less. And, in that same year, resident student tuition rates at each of our institutions were among the very highest in the nation. VSCS institutions do not have significant resources to devote to student aid. While high cost is suppressing the college-going rate in Vermont, it is also impacting the ability of many students to persist once they are enrolled. Affordability is a key factor in enrollment and student success at the VSCS.

VSCS initiatives to boost retention and graduation rates

In 2016 the VSCS Board of Trustees adopted improved retention and completion as strategic priorities for the system. Since then, each college has incorporated these imperatives into its own strategic plan. *Start to Finish* is our focused, systemwide initiative to make student success a priority in all aspects of our work. Our goals for *Start to Finish* align with national best-practices for retention and degree completion:

Implement degree maps to create clear curriculum paths to graduation -- Degree maps being completed by every VSCS college and university are providing clear guidance to students about what courses they should take to complete their degree on time. Degree mapping has also supported more streamlined academic programming. Mapping has been well-served by the approval of a common general education core across the system, supported by a new learning management system.

Improve access and use of data and advising technologies -- A new institutional research (IR) office at the system level is increasing data and reporting capacity, including system-wide first-year student success data that informs retention efforts.

Develop multiple delivery models for degree completion, including online, connected classrooms, flexible schedule options -- Increasing the flexibility by which our colleges and universities deliver courses and degree programs will better meet the diverse needs of our students. The growing use of telepresence classrooms at NVU, CCV and Vermont Tech is expanding the number of courses available to students and facilitating statewide delivery of allied health programs. The system is also refining and expanding new competency-based pathways for students.

Continue to increase comprehensive and strategic approaches to student support services -- As part of the *Start to Finish* initiative, the VSCS is implementing a new advising dashboard software to inform intensive advising and timely feedback to students who may be struggling.

Incentivize improvements in graduation rates -- The VSCS Board of Trustees revised the formula through which it allocates the state appropriation to, in part, incentivize boosts in the number of degrees granted by institutions.

Helping stopped out students cross the finish line -- Using data and coaching, the VSCS is employing new technology to bring stopped out students back so they can finish their degrees.

How might FY20 one-time funds support continued improvement in retention?

In the FY2020 budget, the Legislature approved \$500,000 in one-time funds for the VSCS “which is intended as bridge funding to permit the Vermont State Colleges in collaboration with the University of Vermont to develop comprehensive strategies to increase retention and graduation rates...”

This investment will support professional development, course redesign and advising changes crucial to our retention efforts. The Chancellor is currently prioritizing the following possible investments:

- *Improve instructional design to increase data available for real-time retention and academic success interventions.* This investment would support “training the trainer” professional development for faculty on the student intervention aspects of the System’s new learning management system.
- *Redesign high-enrollment, lower-division courses with low/no cost textbooks (open educational resources).* This investment in faculty stipends would support work to develop access to free or low-cost textbooks, addressing a key affordability and retention issue for VSCS students.
- *Professional development on the use of predictive analytics to support academic advising and student support interventions.* Our annual faculty retreat, supported with these funds, will provide focused development on the best use of the System’s new advising technology, AVISO, to support effective, intensive advising.
- *Adopt system-wide standards for gateway math courses leading to aligned degree programs and develop corequisite support models for each.* The successful partnership between the VSCS, VSAC and AOE with the E=MC² math bridge course is preparing high school students for college math courses. Funds could support new VSCS faculty involvement in this project to build pathways from the E=MC² course to more college degree programs. It would support the development of a corequisite support program within relevant college courses to boost student success.
- *Professional development for student success, retention strategies, and process development consulting.* Funds could support the attendance of the VSCS *Start to Finish* team at Complete College America’s annual professional development conference, in addition to funding a consultant to work with each institution to develop evidence-based process model based on their unique student population and retention data.

University of Vermont

Introduction

As President Garimella wrote on the first day of the fall 2019 semester, “Our success as a community is measured by our students’ success.” That success is measured in part by undergraduate student retention and graduation rates.

The University of Vermont has maintained retention and graduation rates well above the national averages for four-year, public institutions. However, even as our rates of retention and four-year graduation outperform national statistics, the university continues actively to further improve our current first-year retention rate of 87% and four-year graduation rate of 69%.

National retention research and practice reveal that increases in retention and graduation rates require a “web of interlocking initiatives” (Kuh, 2005) that connect and integrate with overarching institutional goals and values. Meaningful change is the product of a network of comprehensive, sustained efforts that enrich the educational experience and take in to account the diversity of students served by the University.

Frequently when we talk about why students persist at an institution, we look to the 10 known factors that impact student retention. The factors are broken in to two categories: student characteristics and institutional experiences.

Student Characteristics	Institutional Experiences
Academic prep	Level and quality of engagement
Residency	Integration (academic, co-curricular and social)
Gender	Academic challenge
Motivation/Grit	Supportive campus environment
Financial	
External (family, behavioral)	

Fundamentally, a student bases their decision to stay or to leave on a complex set of factors comprised of unique costs and benefits. From an institutional point of view, if we are to be strategic, we must identify factors that are shared by many students and over which our institutional activity can have influence. Then, we must develop or improve upon systems to exert that influence.

Some of the factors outlined above are unchangeable and/or determined before a student arrives. As an institution, we act through our recruitment and selection processes to determine the makeup of pre-college factors and how they affect entering students. We can also impact how pre-college factors affect a student's success by providing interventions designed to augment or lessen those factors.

The overall on-campus experience is influenced by the choices and functioning of the student within the environment. We gather information about the nature and quality of students' experiences and to review and alter campus systems that we know to be critical to students' satisfaction as well as those that are known to cause difficulties. Ultimately, all of the factors, which encompass a student's academic, social and cultural integration in the university environment, serve as key determinants in their overall rate of retention.

University of Vermont Retention Rates

First-Year Retention by Residency

Cohort Year	Retained Academic Year	Vermont	Out-of-State
2016	2017	90.3%	85.1%
2017	2018	91.7%	85.1%
2018	2019	90.9%	85.8%

First-Year Retention by Gender

Cohort Year	Retained Academic Year	Female	Male
2016	2017	86.8%	83.5%
2017	2018	86.1%	87.4%
2018	2019	88.2%	84.7%

Pell-Eligible Student Retention by Residency

Cohort Year	Retained Academic Year	Vermont	Out-of-State
2016	2017	90.3%	83.0%
2017	2018	87.4%	75.5%
2018	2019	88.7%	83.5%

University of Vermont Graduation Rates

Four-Year Graduation Rates by Residency

Cohort Year	Graduating Academic Year	Vermont	Out-of-State
2013	2017	66.8%	63.5%
2014	2018	64.7%	63.3%
2015	2019	73.8%	68.4%

Six-Year Graduation Rate by Residency

Cohort Year	Graduating Academic Year	Vermont	Out-of-State
2011	2017	83.1%	71.6%
2012	2018	79.3%	74.9%
2013	2019	80.8%	74.9%

UVM implemented Degreeworks, a web-based, degree-auditing and tracking tool, in 2017. The tool enables student and advisors to evaluate academic progress towards graduation, and it helps students to quickly and easily identify which requirements have been satisfied and which are outstanding. In addition, Degree Works can be used to perform a “what-if” analysis to determine how current coursework on a student transcript would be used if a different major was selected.

UVM Retention and Progression Initiatives

Fully Implement EAB's Navigate Advising and Retention Software and Mobile Application

- Navigate links administrators, advisors, deans, faculty, other staff, and students in a coordinated network designed to help schools proactively manage student success.
- This includes linking interactions that students have with advising, tutoring, study abroad meetings and other student success offices so that faculty and staff have a 360 degree view of the student's academic performance and progress.
- The tool include robust analytics to track interventions and strategies that are impacting student success.
- The Navigate mobile application, designed for use by students, helps to provide guidance at the most pivotal moments students encounter in college, simplifying and structuring their journey to completion.

Initiated strategic, personalized communications and interventions with students who:

- Do not register in a timely way during the course registration period
- Submit requests for academic transcripts
- Attempt to drop their last class during the add/drop window of each fall/spring semester
- Experience a drop in their semester GPA of more than .7 (even if in good academic standing)
- Do not register for 12 or more credits.
- Note an interest in high impact practice involvement, i.e. research or internships.

Expansion and Integration of First-Year Experience Efforts

- Analyzed and provided data from the 6-week survey from First-Time-First-Year students ("FTFY"), transfers and sophomores to the campus-community and implement strategies for improvement.
- All FTFY students live in learning communities.
- New students meet with their academic advisors in the first six weeks and prior to registration for spring courses.

Provide support for students who are struggling, and recognize students who are achieving by:

- Developing individualized plans for students who have a semester GPA of a 2.0 or lower, with regular check-ins on their progress.
- Sending congratulatory letters from the Dean to FTFY students who achieve a 3.0 GPA after their first semester. Host a reception for FTFY who achieve a 3.5 or above GPA after the first semester
- Completing outreach to students who improve their GPA significantly in one semester.

Learn from students who leave prior to graduation

- UVM proactively requests information from students who indicate that they do not plan to return in a future semester. We use this information to help inform actions we can take to further increase our retention and graduation rates.

Potential VSCS-UVM collaborations under consideration:

- CCV Pathways to UVM (articulate 2+2 pathways, and provide a simplified application, and guaranteed admission once coursework is completed with a 2.8 GPA.
- Explore reverse transfer articulation. Students who begin at CCV but transfer to UVM prior to receiving an AA degree, can still earn that credential.
- Consider a joint conference for VSCS and UVM faculty on retention best practices.

ELIZABETH A. PEARCE
STATE TREASURER

RETIREMENT DIVISION
TEL: (802) 828-2305
FAX: (802) 828-5182



UNCLAIMED PROPERTY DIVISION
TEL: (802) 828-2407

ACCOUNTING DIVISION
TEL: (802) 828-2301
FAX: (802) 828-2884

STATE OF VERMONT
OFFICE OF THE STATE TREASURER

October 31, 2019

The Honorable Phil Scott
Pavilion Office Building
109 State Street
Montpelier, VT 05609

Dear Governor Scott:

As provided in Title 16, V.S.A., Chapter 55, Section 1942(r), the Vermont State Teachers' Retirement (VSTRS) Board of Trustees voted at a meeting held on October 29, 2019 to adopt the actuarial valuation prepared by Segal Consulting.

A copy of the valuation as of June 30, 2019 which outlines the Fiscal Year 2021 contribution will be available for your review at:

<https://www.vermonttreasurer.gov/sites/treasurer/files/Retirement/PDF/2019/DRAFT%20Vermont%20State%20Teachers%27%20Retirement%20System%20Actuarial%20Val%20and%20Review%20as%20of%2006.30.2019.pdf>

The VSTRS Board voted to recommend the following State contribution to the Teachers' Retirement System:

Fiscal Year 2021: \$135,649,428

The recommended State contribution to the VSTRS fund is made up of an employer normal cost of \$7,213,271 and an unfunded liability amortization payment of \$128,436,157. This recommendation reflects the approved alternative amortization schedule passed by the Board last year.

The actuary has calculated the actuarially determined employer contribution (ADEC) for Fiscal Year 2021 based on the original amortization schedule to be \$132,141,701. This is comprised of an employer normal cost of \$7,213,271 and an unfunded liability amortization payment of \$124,928,430.

As you may notice, the recommended State contribution is slightly higher than the ADEC. The difference is attributable to the supplemental \$26.2 million payment to the VSTRS fund appropriated in the 2018 Special Session, and how that payment is recognized in the calculation of the Fiscal Year

2021 unfunded liability. The recommended contribution defers the recognition of the gains from this contribution, thereby preserving the interest generated.

While the Board understands the challenges of building a balanced budget, adhering to the alternative amortization schedule as recommended last year will allow for a \$77.4M savings on the final amortization payment. As we made the first payment of this recommend amount last year, we look to continue that momentum this year. This method allows us to both continue making progress towards fully funding the VSTRS pension liability by 2038 and save taxpayers money.

Also please note that pursuant to Section 1944(b)(2), the actuary has determined that the reduction to the recommended contribution for Fiscal Year 2021 attributable to the increase from 5% to 6% for Group C members with less than five years of service as of June 30, 2014 is \$2,627,248.

I look forward to working with the Administration and the General Assembly on funding the VSTRS system this year, and I am happy to work through any questions you may have.

Sincerely,



Elizabeth A. Pearce

Vermont State Treasurer

cc: Senator Jane Kitchel, Chair, Senate Committee on Appropriations
Senator Jeanette White, Chair, Senate Committee on Government Operations
Representative Catherine Toll, Chair, House Committee on Appropriations
Representative Sarah Copeland-Hanzas, Chair, House Committee on Government Operations
Jon Harris, Chairperson, Vermont State Teachers' Retirement Board of Trustees
Erika Wolffing, Director of Retirement Operations, Office of the Treasurer
Representative Mitzi Johnson, Speaker of the House
Senator Tim Ashe, Senate President Pro Tempore

ELIZABETH A. PEARCE
STATE TREASURER

RETIREMENT DIVISION
TEL: (802) 828-2305
FAX: (802) 828-5182



UNCLAIMED PROPERTY DIVISION
TEL: (802) 828-2407

ACCOUNTING DIVISION
TEL: (802) 828-2301
FAX: (802) 828-2884

STATE OF VERMONT
OFFICE OF THE STATE TREASURER

October 31, 2019

The Honorable Phil Scott
Pavilion Office Building
109 State Street
Montpelier, VT 05609

Dear Governor Scott:

As provided in Title 3, V.S.A., Chapter 16, Section 471(n), the Vermont State Employees' Retirement (VSERS) Board of Trustees voted at a meeting held on October 29, 2019 to adopt the actuarial valuation prepared by Segal Consulting and recommend the following contribution to the State Employees' Retirement System:

Fiscal Year 2021: \$83,876,570

The recommended State contribution to the VSERS fund is made up of an employer normal cost of \$18,339,489 and an unfunded liability amortization payment of \$65,537,081.

State administrative expenses are not included in the recommendation. These expenses are calculated by your office in concert with my staff.

A copy of the valuation as of June 30, 2019 which outlines the Fiscal Year 2021 contribution will be available on our website for your review at:

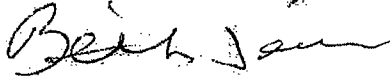
[https://www.vermonttreasurer.gov/sites/treasurer/files/Retirement/PDF/2019/DRAFT%20Vermont%20State%20Employees%27%20Retirement%20System Actuarial%20Val%20and%20Review%20as%20of%2006.30.2019.pdf](https://www.vermonttreasurer.gov/sites/treasurer/files/Retirement/PDF/2019/DRAFT%20Vermont%20State%20Employees%27%20Retirement%20System%20Actuarial%20Val%20and%20Review%20as%20of%2006.30.2019.pdf)

OCTOBER 31, 2019

Additionally, the VSERS Board of Trustees would like to recommend fully funding the Actuarially Determined Contribution for the Vermont State Postemployment Benefits Trust Fund (OPEB) as part of the prefunding effort. That amount, as well as the accompanying actuarial report, will be made available to you in November.

Please let me know if you have any questions.

Sincerely,



Elizabeth A. Pearce
Vermont State Treasurer

cc: Senator Jane Kitchel, Chair, Senate Committee on Appropriations
Senator Jeanette White, Chair, Senate Committee on Government Operations
Representative Catherine Toll, Chair, House Committee on Appropriations
Representative Sarah Copeland-Hanzas, Chair, House Committee on Government Operations
Roger Dumas, Chairperson, Vermont State Employees' Retirement Board of Trustees
Erika Wolffing, Director of Retirement Operations, Office of the Treasurer
Representative Mitzi Johnson, Speaker of the House
Senator Tim Ashe, Senate President Pro Tempore