

REVISED AGENDA
Joint Fiscal Committee
September 16, 1998
Room 10, State House
10:00 a.m.

- 10:00 a.m. Call to order
1. Approval of minutes (July 15, 1998 minutes)
- 10:05 2. Revenue estimating contract with Tom Kavet - Joint Fiscal Office
- 10:15 3. Departmental requests:
- a. JFO #1827 - Buildings & General Services - lease to Town of Duxbury
 - b. Environmental Contingency Fund disbursement of \$1,150,000 for Windsor School District site cleanup (mailed 9/11/98)
 - c. (see also Item 9.b. below)
- 10:30 4. Human Services caseload reserve report (information item mailed 9/14/98 - no action required)
- 10:35 5. Revenue update - Administration and Joint Fiscal Office
- 11:00 6. Positions
- a. Limited service positions:
 - (1) Request for creation of additional positions (withdrawn per Secretary of Administration letter mailed 9/11/98)
 - (2) Grant funded positions
 - b. Position management plan
 - c. Agency of Transportation - staffing implications of increased federal funds
- 12:00 p.m. Recess
- 1:15 7. Year 2000 update - Administration
- 1:45 8. Legislative Fiscal Officer's report
- 2:00 9. Other items:
- a. Tax Department revenue system - deferral of timetable and budget
 - b. Additional departmental requests (see attached list)
 - c. Information items (no action required)
 - (1) Update on cost-benefit model required by Act 71 - Department of Economic Development
 - (2) Excess receipts report
- 2:05 10. Confirmation of November 18 meeting date
- Adjournment

Item 9.b.
Addendum to 9/16/98 agenda

Departmental requests submitted through normal between-meeting procedures

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JFO #1826 - Department of Fish & Wildlife - donation from The Nature Conservancy of 301 acre parcel in Ferrisburg (estimated value of \$88,900)

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JFO #1824 - Department of Environmental Conservation: \$5,000 grant from the Vermont Asbestos Group

3. Items mailed to JFC 9/14/98 (*September 28 is deadline for members to request inclusion on the November JFC agenda; action on September 16 would accelerate processing of the grants*)

JFO #1828 - Department of Housing & Community Affairs - \$1,219,587 HUD grant - assistance to municipalities for recovery from summer 1997 floods

JFO #1829 - Health Department - \$18,246 HHS grant - health promotion education of minority Vermonters

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JFO #1831 - Human Rights Commission - HUD grant for fair housing outreach, education, enforcement and conciliation activities (**including request for approval of one part-time limited service position - State Investigator - Human Rights**)

JFO #1832 - Department of Environmental Conservation - Environmental Protection Agency grant of \$50,000 - Total Maximum Daily Load (TMDL) Water Quality Coordination Program (**includes request for approval of one limited service position - TMDL Coordinator**)

MINUTES

JOINT FISCAL COMMITTEE

Meeting of September 16, 1998

Representative Sally Fox, Chair, called the meeting of the Joint Fiscal Committee to order at 10:05 a.m. in Room 10, State House.

Also present: Senators Backus, Ide, Ready, Rivers and Spaulding
 Representatives Aswad, Freidin, Steele and
 Valsangiacomo

Others attending the meeting included Representative Pembroke; Joint Fiscal Office staff; administration officials and other representatives of the executive branch; and the news media.

APPROVAL OF MINUTES:

1. Senator Ide moved approval of the minutes of the meeting of July 15, 1998, as submitted. Representative Freidin referred to data on other states' budget stabilization reserves which Chief Legislative Fiscal Officer Stephen Klein sent the members in response to a request at the July 15 meeting, and he asked that that information be made a part of the official record of the July 15 meeting and redistributed to the members. **The Committee then approved the minutes, with that inclusion in the permanent record.**

REVENUE ESTIMATING CONTRACT:

2. Douglas Williams, Deputy Fiscal Officer, outlined the terms of a proposed new two-year revenue forecasting contract with Thomas Kavet, which would take effect on October 1, 1998. He distributed a comparison of the terms of the prior agreement with those for each year of the proposed new contract, by category of services provided, hours and cost. The terms include an estimated 660 hours of work per year by Mr. Kavet at a rate of \$50.00 per hour, for a projected cost of \$34,500 per year.

After Mr. Williams described the expanded services which the new contract would cover, **Representative Steele moved that the Joint Fiscal Committee approve a new two-year revenue forecasting contract with Mr. Kavet, as outlined by the Deputy Fiscal Officer. The motion was adopted.**

DEPARTMENTAL REQUESTS:

3. Various departmental requests were submitted for Committee action.

(a) Items included on the preliminary agenda for action at this meeting:

(1) Department of State Buildings and General Services (JFO #1827):

Commissioner Thomas Torti sought approval of the lease to the Town of Duxbury of a five-acre parcel of State land along the Winooski River.

Mr. Torti explained that this lease is integral to the sale of the Duxbury Farm "gravel pit site" which the Committee approved at its last meeting. The parcel would be used only for recreational purposes. The lease is for ten years at one dollar per year. The Commissioner sought Joint Fiscal Committee action under Title 29 VSA §165 (h)(2), which requires Committee approval for leases at below the then-market rate for more than three years.

After discussion, the Committee adopted a motion by Senator Rivers to approve the lease. The motion passed.

(2) Environmental Contingency Fund disbursement - Windsor School

District site: John Kassel, Secretary of the Agency of Natural Resources, was present in connection with a request to increase by \$530,000 the disbursement from the Environmental Contingency Fund (ECF) for soil contamination clean-up of property owned by the Windsor School District.

Prior action by the Committee, in September 1997, authorized a spending limit of \$650,000 from the ECF for the Windsor cleanup project. That action and the one proposed now were presented in accordance with statutory requirements covering ECF disbursements. Details of the request were outlined in a September 10 letter to the Committee from Secretary of Administration Kathleen Hoyt. In his brief oral presentation, Mr. Kassel told the members that the actual need was \$30,000 higher than outlined in Ms. Hoyt's letter.

Senator Rivers, after commending Secretary Kassel for his diligent attention to the Windsor contamination problems and urging continuation of these efforts, moved that the Committee take positive action on the following action proposed by the administration (with the amount adjusted as requested by Mr. Kassel):

Pursuant to 10 V.S.A. §1283(b), the Joint Fiscal Committee approves the disbursement of \$1,180,000 from the Environmental Contingency Fund for contamination cleanup and related activities at the Windsor School District site.

The motion was adopted.

(b) Additional departmental requests, itemized on the list attached to these minutes, were considered later in the meeting. **In two separate motions, Senator Ready proposed approval of all these additional requests, including the establishment of limited service positions shown on the list. Both motions were adopted.**

HUMAN SERVICES CASELOAD RESERVE REPORT:

4. Prior to the meeting the members received from the Secretary of Administration a written Human Services Caseload Reserve Report, as required in Section 199a of Act No. 147 of 1998. Secretary Hoyt and James Reardon of the Agency of Human Services recapped the information contained in the written submission, on which no Committee action is required.

The amount of \$7,388,308 was transferred to the Human Services Caseload Reserve as part of the State's FY 1998 close out procedures. This amount was achieved through caseload reduction in the aid to needy families with children program as well as effective management of related federal receipts under the SSBG and CCDF programs.

The Committee was further informed that as of June 30 a balance of \$5,037,558 of Temporary Aid to Needy Families (TANF) funds remains at the federal level for future caseload needs; and that combined with the Reserve amount cited above, a total of \$12,425,866 is available to Vermont for future caseload growth.

Members asked Mr. Reardon about the likelihood that the funds remaining at the federal level might be jeopardized. While affirming that that possibility exists, he explained it is not likely to occur in the near future. He assured the Committee that he monitors the situation and that he will try to draw down as much federal funding as possible at the onset of the new federal fiscal year.

REVENUE UPDATE:

5. The Secretary of Administration and the Deputy Fiscal Officer, in turn, briefly discussed the State's revenue picture.

Ms. Hoyt observed that General Fund revenue collections for the first three months of FY 1999 reflect an upbeat start of the new fiscal year. She talked about the possible effects on revenues of the recent volatility experienced in the financial marketplace and pointed out that both the Administration's and the Committee's revenue forecasters took the factors she mentioned into account in presenting projections to the Emergency Board at its July 1998 meeting. As for Transportation Fund revenues for the first quarter of FY 1999, the Secretary reported that they exceeded estimates of both Mr. Carr and Mr. Kavet by approximately \$2,000,000.

Deputy Fiscal Officer Douglas Williams joined Ms. Hoyt in replying to members' questions. He distributed a comparison of actual receipts for July and August to the FY 1999 forecast adopted at the July Emergency Board meeting, and he advised that the Administration and the Joint Fiscal Office now collaborate to produce a single set of monthly revenue targets.

AGENCY OF TRANSPORTATION - STAFFING IMPLICATIONS OF INCREASED FEDERAL FUNDS:

6. At the prior request of Representative Aswad, Secretary of Transportation Glenn Gershaneck reported on the staffing implications of increases in federal funding for transportation projects. He distributed a sheet showing (1) the amount of federal transportation funds authorized for each federal fiscal year from 1997 through 2000 and the estimates for the years 2001 through 2003; and (2) the actual or expected appropriation by Congress for those periods, which historically varies from 85% to 92% of the authorized amounts.

Mr. Gershaneck observed that the connection between the substantial increase in federal funds to Vermont and staffing levels within the agency is directly tied to the capital program and different project levels in the agency. He cited transportation areas affected most seriously through the overall position reduction effort in state government in 1995-96; described the effort to set priorities on services; and mentioned functions which he anticipates will be fortified by the increased federal funding.

Representative Aswad pointed out that other New England states also will benefit from increased funding, but there is limited capacity in the consulting field. He expressed concern over whether the State will have the resources to spend the federal funds in a timely manner.

In the course of discussion, Senator Ready brought up the subject of small communities confronted with unacceptably high costs for extreme road damage from summer floods. She observed that even with a reduced local match requirement, costs greatly exceed some towns' annual road budgets. The Secretary of Administration advised that a plan is being developed for presentation to the General Assembly that will address expenses out of the emergency fund beyond basic assistance afforded under current rules.

POSITION CATEGORY PLAN:

7. Personnel Commissioner Eileen Boland, accompanied by Rossi Noyes, Director of the Classification and Compensation Division, presented a position category plan revised after discussion at the Committee's July meeting. The plan, together with an explanatory memorandum from the Commissioner, was mailed to Committee members in advance. *(The plan itself, reflecting two VSEA-proposed revisions described below, is attached.)* Ms. Boland

told how three areas of concern evident at the last meeting had been addressed in amending the plan: authority to establish positions, collaboration with the Vermont State Employees Association (VSEA), and reduction of reliance on personal services contracts. Under the new plan, the authority to create positions in each category newly-defined category rests with the Legislature.

Furthermore, the Department of Personnel has worked with the VSEA, which has approved the revised plan with the proposed addition in two sections of stronger language addressing temporary and personal services contracts. The Commissioner did not object to the additions submitted by the VSEA. She said the department agrees to review temporary positions and personal service contracts and as appropriate will request positions when those particular work force needs appear to be regular and ongoing.

Ms. Boland observed that if the plan is approved, as part of her annual workforce reporting to the General Assembly in January she will report on progress in its implementation and possibly make recommendations for fine tuning it.

Senator Rivers brought up the subject of positions funded through regulatory fees. She was concerned about treating these positions the same as positions supported by the General Fund, pointing out that in several areas state government collects fees from industry in exchange for the expectation that a certain level of service will be provided. She did not want to limit the ability of the business community or other constituencies to receive the level of service they need, and she wondered if the plan allows enough flexibility to ensure timely response and oversight in services expected from agencies collecting the fees. Commissioner Boland affirmed that this area has been identified as one requiring further scrutiny, and that the plan may need further refinement to identify a separate category or subcategory for these fee-based positions.

Answering questions from the Chair, the Commissioner told the Committee that because of concerns over what would happen to such positions if a given industry's need lessens and the fee sources shrink, there needs to be more review of the history of such positions and examination of the likelihood of sustainable funding. If a determination is made that in fact a position is likely to continue because the fee funds are consistent, approval of the position would be sought through the regular legislative appropriations process.

Secretary Hoyt corroborated that the Administration wants to work further with the departments to track, analyze and probably propose adjustments on positions associated with fees. If the Committee approves the plan today, she expected the Administration will address this area further with the Government Operations and Appropriations committees during the 1999 session. She also assured the members that in January the Administration will report to the Legislature concerning conversion of temporary positions and associated costs.

Replying to an inquiry from Senator Backus, Senator Spaulding said his perception is that the Blue Ribbon Commission would prefer not to become involved in the subject under

discussion. He proposed the Committee not delay action on the presumption of advice, which may not be forthcoming from the Commission. He and Senator Backus wondered if by virtue of approving the position category plan, the Committee in effect is giving the Administration authority to convert ongoing temporary positions or personal service contracts into permanent positions. Secretary Hoyt and Commissioner Boland assured them that the answer is no, that the authority to create positions will rest with the Legislature.

After further discussion, the Committee adopted a motion by Senator Spaulding to approve the position category plan presented by the Personnel Commissioner, amended by the addition of the VSEA-proposed language in Sections E and I pertaining to conversion of temporary positions or personal service contracts.

Senator Spaulding expressed the hope that the Government Operations Committees will consider adding into permanent statute the language set forth in the back of the appropriations bill pertaining to the categorization and management of positions.

The Committee recessed for lunch at 12:00 Noon and reconvened at 1:20 p.m.

LIMITED SERVICE POSITION REQUEST:

8. Commissioner Boland advised that the written submissions on two grants, which were authorized earlier in the year under the Committee's between-meeting procedures, incorrectly described the position requests. She now sought Committee approval of positions associated with the grants, as follows:

JFO #1821 - Agency of Human Services, Department of Social Welfare - grant from the Robert Wood Johnson Foundation for a Medicare/Medicaid Integration Project -- two limited service positions (a managed care administrator and an agency planning specialist); and

JFO #1819 - Department of Health, Alcohol and Drug Abuse - U. S. Justice Department grant to combat underage drinking - one limited service position (administrative assistant)

On a motion from Representative Freidin, the Committee approved the request.

YEAR 2000 (Y2K) UPDATE:

9. At the prior request of Representative Aswad, Pat Urban, Chief Information Officer (CIO) presented a brief update of the status of the State's efforts in preparing for the transition to the year 2000 (Y2K). She was accompanied by Robert West, Y2K administrator.

Ms. Urban reviewed the post-1998 session progress in fulfilling four commitments made to legislative financial committees to ensure that there is no interruption in mission-critical systems or services. She reported on: the hiring of an Assistant CIO (Mr. West) who will initially serve full time until the year 2000 as the statewide Y2K coordinator; the development of a Y2K web site that serves as an information clearinghouse not just for State government but for other citizens as well; continuation and expansion of a requirement that all contracts carry Y2K warranty language; and continued interaction with the federal government and the General Accounting Office in terms of managing data exchanges.

Among questions asked Ms. Urban was whether mandatory reporting and accountability of Y2K compliance efforts on the part of State departments and participation in monthly meetings extends to the judicial and legislative branches. She replied that, while their participation is not mandatory, they and all the constitutional officers have been invited to participate in the monthly meetings. Review and publication of their Y2K efforts has been offered but is not mandatory.

At the conclusion of the discussion, Representative Aswad asked for a copy of the CIO's most recent Y2K report.

LEGISLATIVE FISCAL OFFICER'S REPORT:

10. Chief Fiscal Officer Stephen Klein amplified information contained in his September 8 written update on Joint Fiscal Office activities and issues.

There was some discussion of Mr. Klein's proposal to drop its subscription to the REMI economic impact model and of the need for a joint effort with the Administration on economic forecasting, including income tax estimates. He pointed out that \$4,000 has been built into Tom Kavet's new contract essentially to fund upgraded capacity to analyze the non-wage portion of the income tax. Representative Freidin talked about the importance of Mr. Kavet's having the authority to look at individual income tax returns to analyze the nature and quality of taxable income is.

Mr. Klein suggested that now that the Committee has approved a new two-year revenue forecasting contract, he would propose to the Secretary of Administration a teamwork approach to reviewing and analyzing the income tax returns.

TAX DEPARTMENT REVENUE SYSTEM - DEFERRAL OF TIMETABLE AND BUDGET:

11. The Committee reviewed a September 2 letter from Edward Haase, Commissioner of Taxes, with respect to a reporting requirement set forth in Act No. 62 of 1997 (FY 1998 capital funding). The act called for the establishment of a committee charged with planning "...for the expansion of the tax department revenue system to take over and account for the revenues generated by the executive and judicial branches of state government." It further required submission of a recommended budget and timetable for this expansion to the Joint Fiscal Committee by September 15, 1998. Because of the significant scope of the process, as detailed in his September 2 letter, Commissioner Haase asked the Joint Fiscal Committee for an extension of the reporting date, to mid-summer 1999.

The members decided to defer action on Mr. Haase's request until the November meeting; and that a letter should be sent to him on behalf of the Committee asking him if the proposed 1999 reporting date could be advanced and requesting him to attend the Committee's November meeting to discuss this subject.

UPDATE ON COST BENEFIT MODEL REQUIRED BY 1998 ACT 71:

12. Christopher D'Elia, Executive Director of the Vermont Economic Progress Council, was present at the request of the Chief Fiscal Officer to provide an update on the development of a cost-benefit model required by Act 71 of 1998, said model to provide "...a uniform and comprehensive methodology for assessing and measuring the fiscal benefit to the state and region of the state of proposed economic development activities." Act 71 charged the Economic Progress Council with developing the model subject to the approval of the Joint Fiscal Committee.

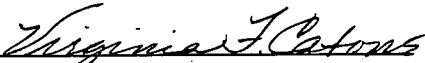
Prior to the meeting Mr. D'Elia submitted a written summary of the progress of the Council to date, in which he suggested that a model might be ready for Committee review by mid-October. After listening to Mr. D'Elia and discussing the review process and the benefit of also giving the Act 60 (1997) legislative oversight committee an opportunity to consider it, the Committee members reached the conclusion that a meeting focusing solely on the cost benefit model should be scheduled. Tuesday, October 13 was set as the tentative meeting date.

NOVEMBER MEETING DATE:

13. In addition to the October 13 meeting tentatively scheduled on the subject of the economic model, the Committee agreed to meet on Friday, November 6.

The meeting was adjourned at 2:45 p.m.

Respectfully submitted:


Virginia F. Catone

Item 9.b.
Addendum to 9/16/98 agenda

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Department of Personnel

Position Management Plan

A. Concerns:

During the mid-to-late 1990's several trends have complicated the smooth and effective management of the state's workforce:

- **Revenue shortfalls** prompted the reduction of the workforce through Early Retirement initiatives and position cuts without an equivalent reduction of workload
- A "**position cap**" was imposed to control future growth of the workforce
- Increased Federal and state **mandates** do not establish a corresponding increase in staffing
- **Low vacancy rates** in agencies and departments
- "**Transfer and convert**" practice has limited effectiveness and exhausts the suitable vacancy pool (creating a new position from an existing vacancy)
- Increased and/or inappropriate use of **temporary employees and personal service contracts** to meet critical staffing needs
- Primary emphasis is on budget rather than **Strategic planning**, i.e., prioritizing programs (or eliminating programs) and workforce needs
- **Federal monies and/or grant opportunities** for new or expanded projects are abandoned for lack of available positions

B. Objectives:

During Fall 1997 the Department of Personnel met with a Focus Group of interested managers and personnel officers from a variety of agencies to design a method of managing positions that would address these concerns and meet the following objectives:

- Outline a position management plan that will **control** the size of the state workforce while providing **flexibility** to managers to meet workforce needs and take advantage of various **funding opportunities**.
- Define new position categories or expand the existing categories to better identify, describe, and track positions by **funding source**.

C. Considerations:

The Focus Group met several times and helped draft a plan after considering relevant information and materials:

- Statutory Authority
- Rules, Regulations, and Personnel Policies
- Labor Contract and Employee Rights
- Funding Sources and Funding Opportunities
- Vermont's Current Position Status
- Existing Position Management Models in the Public Sector

D. Plan Elements Identified:

The Focus Group and other interested parties provided the Department of Personnel with additional information and range of ideas. There was general agreement on the following:

- **Design new position categories by funding source.** Sort existing positions into these new categories. Include a review of existing long-term limited service positions. Identify any temporary positions or personal service contracts suitable for inclusion in the new categories.
- Funding sources should **consider all funds**, state (general, transportation, special, etc.) as well as grant and federal monies. Provide a check and balance on funding type with the new **FMIS** (Financial Management Information System). Where there is a mix of funding (state and non-state dollars), use "**FTE – full time equivalency**" to track positions on an annual basis.
- Recast the focus from position counting to encouraging **economic expansion** through grant opportunities and federal monies.
- Outline a **process for creating positions** in the new categories, evaluating positions on a regular basis, and renewing, abolishing, or moving a position to another category as needed.
- Expand the current budget planning process to a broader **strategic planning process**, i.e., incorporating more workforce planning and programmatic review
- Work with the VSEA and the 1998 Legislature (primarily Government Operations and Appropriations committees) by providing testimony for plan design and outlining departments needs and considering labor's concerns

E. Plan Overview:

The position category plan that was proposed by the Department of Personnel to the Focus Group, the Legislature, and the VSEA **describes and categorize positions by funding source**. The Legislature gave a statutory directive to the secretary of administration to implement this plan pending the review and approval of the Joint Fiscal Committee. (See Attachment A: The 1999 Omnibus Appropriations Act, Section 272(a))

- This human resource management model is not uncommon in the public sector and is **similar to practices in other states**. It allows the legislative and executive branches to manage human resources and their funding more effectively.
- Vermont's current practice of aggregating all positions and functions regardless of funding source is replaced by **smaller, more manageable groupings**. Positions do not move between categories without budget and strategic planning reviews. The new system will provide flexibility in meeting human resource needs and should **reduce reliance on temporary and contracted personal services**. *(see below)
- **Data systems and reporting mechanisms** are key to successful implementation. The Department of Personnel is programming the human resource management system – **HRMS** -- to facilitate this plan. Implementation of the proposed financial management information system – **FMIS** -- in FY 2001 will provide a vital tracking and reporting tool for this position category plan.

Members of the **extended cabinet** support this proposal. They have worked closely with Personnel to sort positions by category, identify funding sources, and fine tune the system.

Specific types of employment in the executive branch, such as exempt, classified, limited service, temporary, and confidential are outlined by statute or regulation. Under this proposal, **these types of employment will remain unchanged**. (See Attachment D)

This proposal does not address those areas in 272(a) of the 1999 Omnibus Appropriations Act assigned to the secretary of administration and the **Blue Ribbon Commission**, i.e., a review of government functions, statutory responsibilities, citizen needs, and use of state positions. Members of the Commission, however, will be briefed on this proposal.

F. Authorization to Create Positions:

Under this position management system, the **authority to create positions in each category rests with the Legislature**. The authorization process varies by position category:

*added (and approved by JFC 9/16/98): Temporary positions or personal services contracts that are performing the ongoing and continued work of state government will be converted into positions in the classified service that are either limited service or permanent positions.

- **Sponsored positions are funded fully by non-state dollars** such as federal monies and foundation grants, and are generally related to a specific program or function, and are usually time limited. **The Joint Fiscal Committee already has the authority to create such positions** as outlined under 32 VSA 5 (b). (See Attachment B). We recommend that this process continue.
- **Core positions are fully funded by state dollars**, including general, transportation, enterprise, special funds, and fees. **Partnership positions are funded by a combination of state dollars and federal monies or grant funds.** Supporting positions in these categories will have an impact on state appropriations. Traditionally, positions supported by state dollars are requested through the annual state appropriations procedure. We recommend that this process continue.

G. Managing the Position Categories:

The various funding sources will provide different opportunities and require distinct management strategies:

- Funding for **sponsored positions** would come from non-state sources, therefore the discussion would be recast from position caps to **seeking grant opportunities and encouraging economic expansion.** Positions would be eliminated when funding ceased.
- **Partnership positions** will require some level of state funding. Frequently grant funding varies from year to year, so **tracking, reporting, and budgeting** for these positions will be more critical than for sponsored positions. Data and experience with administering this category will inform the most effective management strategy.
- Positions in the **core category** are fully funded by state dollars, including general, transportation, enterprise, special funds, and fees. Therefore, core positions will be managed and limited through **strategic planning and the annual appropriations process.**

H. Sample Model:

The sample provided below illustrates redefining positions and separating them into categories. Partnership positions are supported by a mix of state and non-state funds. **"Partnership FTE"** identifies that portion of a partnership position funded by state dollars. (This sample uses HRMS data and information provided by agencies and departments as of February 6, 1998.) For purposes of state appropriations, the number of **core positions and partnership FTE should be considered together.**

I. Evaluation and Reporting:

Evaluation of this system will require tracking and reporting several data: performance, fiscal, and position management over time. The Legislature may identify additional data for consideration.

The Commissioner of Personnel provides an **annual workforce report** to the Legislature as specified in the Pay Act, 3 V.S.A. Section 11 § 309(a)(19) requires information regarding "developments in state employment." Data and analysis of the position category plan will be included in the annual workforce report. (See Attachment C for statutory reference to workforce reporting.)

J. Concepts Requiring Further Development

The Department of Personnel and members of the Focus Group also identified areas that need further consideration and development. It was generally felt that additional data and experience with the new position management plan and processes would be key to addressing these issues and refining the model:

- Working with the Legislature to initiate a **dialog with the citizens of Vermont** regarding the scope of government, the services offered, and the size of the State workforce. Use this information to achieve **better strategic planning**.
- Capping the **number of positions in the core** category or allowing them to increase by some indicator of the economy, the budget, or population growth. Considering those core **positions supported by fees** and special funds as a separate category
- * (see below)
- Managing partnership positions where the **mix of funds changes over time** or where the state's funding is strictly an **"in kind" match**
- Implementing better **electronic data systems**, particularly an interface between the human resource and financial systems (HRMS and FMIS)

Conclusion:

The Department of Personnel believes the position category plan is a reasonable first step towards achieving the goals of workforce sustainability and flexibility. The legislative and executive branches will have at their disposal an additional tool to evaluate current and future initiatives and the resources needed to achieve them.

This model as described is a pilot program and may need further refinements other than those outlined. We welcome comments and ideas towards that end.

*added (and approved by JFC 9/16/98): Converting temporary positions or personal services contracts that are performing the ongoing and continued work of state government into positions in the classified service that are either limited service or permanent positions.

Attachment A: 1998 Omnibus Appropriations Act

Sec. 272a. PERSONNEL; POSITION MANAGEMENT SYSTEM; COMMISSION

*(a) The secretary of administration shall implement a system of position management for state government under which **positions are categorized and managed in accordance with the nature of their funding sources**. Prior to the implementation of the plan for a system of position management and the application of any position caps or other position limitations thereunder, the secretary shall present the plan to the **Joint Fiscal Committee for its review and approval** of the plan and the appropriateness of any position caps or other position limitations. The secretary shall present the plan to the Joint Fiscal Committee for its review and approval at its July 1998 meeting.*

(b) The system of position management shall provide at least three categories of positions, which are generally defined as follows:

*(1) **Core positions:** Positions that are **fully funded by state dollars**, including general, transportation, enterprise, special funds, and fees.*

*(2) **Partnership positions:** Positions that are funded by a **combination of state dollars and federal or grant funds** if the federal or grant funds are reasonably expected to continue. The funding sources of these positions shall be reviewed annually.*

*(3) **Sponsored positions:** Positions that are **funded fully by nonstate dollars** such as federal grants and foundation grants, and are generally related to a specific program or function, and are usually time limited.*

(c) The position category definitions set forth in subsection (b) of this section may be modified by the secretary of administration as is deemed necessary for the operation of the system.

Attachment B:

32 VSA 5(b) refers to the acceptance of grants by the joint fiscal committee, in part:

(b) In accordance with subsection (a) of this section, in conjunction with a grant, a limited service position request for a position explicitly stated for a specific purpose in the grant, may be authorized. The position shall terminate with the expiration of the grant funding unless otherwise funded by an act of the general assembly. Such authorized limited service positions shall not be created until the appointing authority has certified to the joint fiscal committee that there exists equipment and housing for the positions or that funds are available to purchase equipment and housing for the positions. (Emphasis added)

Attachment C: 1997 Pay Act

Sec. 11. 3 V.S.A. § 309(a)(19) is added to read:

(19) Annually on or before January 15, the commissioner of personnel shall submit to the general assembly a report on the status of the state employee work force. The report shall consolidate reports mandated by the general assembly, as well as other information regarding developments in state employment including:

(A) Use of temporary employees.

(B) Use of limited service positions.

(C) Vacancies of more than six months' duration.

(D) Use of emergency volunteer leave under section 265 of this title.

(E) Development of compensation plans.

(F) Developments in equal employment opportunity.

Which is further amended in 1998 Omnibus Appropriations Act:

Sec. 273. WORKFORCE REPORT

The commissioner of personnel shall include in the annual workforce report a listing of the classified and exempt state positions that were abolished and those that were transferred between organizational units.

Attachment D: *Position Types*

A position in the **classified service** is filled in accordance with merit principles as administered by the Department of Personnel, and paid a salary for work performed in a position in the State classification plan.

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.

A **confidential** employee is a classified employee having responsibility for, knowledge of, or access to information relating to collective bargaining, personnel administration, or budgetary matters that would make membership in or representation by an employee organization incompatible with his or her official duties.

Exempt service positions are excluded from the classified service by State statute. These positions include State Police, temporary positions, elected and appointed positions.

There are six (6) categories of **temporary employees**: seasonal; fill-in; bona-fide emergency hires; intermittent; sporadic; or ongoing part-time (that averages less than twenty (20) hours per week during any one calendar year, not to exceed 1040 hours in one calendar year).



Mailing Address
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee Members

From: Virginia Catone *V. Catone*

Date: August 24, 1998

Subject: September 1 Joint Fiscal Committee meeting cancellation

This is to confirm that the September 1 Joint Fiscal Committee meeting has been cancelled. We understand that either Representative Fox or Senator Spaulding contacted you individually last week to advise of the cancellation. The position management system plan submitted at the July 15 meeting, which was to have been the principal topic of discussion on September 1, has been withdrawn by the administration (see attached letter to the Chair from Deputy Administration Secretary Brian Searles). This subject will be included on the agenda for the September 16 agenda.


cc: Lt. Governor Racine
Secretary of Administration Hoyt
Deputy Secretary of Administration Searles
Commissioner of Personnel Boland
Nicole Dewing, VSEA



STATE OF VERMONT
AGENCY OF ADMINISTRATION

MEMORANDUM

TO: Rep. Sally Fox, Chair, Legislative Joint Fiscal Committee

FROM: Brian R. Searles, Deputy Secretary of Administration 

DATE: August 21, 1998

SUBJECT: Position Management Proposal

On September 1, 1998 your committee is scheduled to further discuss the position management plan submitted by Commissioner Eileen Boland of the Department of Personnel. We wanted you to know that this matter has become a topic of discussion for the Blue Ribbon Commission on State Government Performance and Work Force Needs chaired by Lt. Governor Doug Racine and that some refinements of that proposal are likely. Therefore, we are withdrawing the proposal submitted at your last meeting on July 15, 1998.

The Blue Ribbon Commission will be making a number of recommendations that target problems identified in the administration of personal service contracts and temporary employment. The Commission will likely include a recommendation on the management of state positions by funding source but will not have recommendations available on September 1, 1998. The next meeting of the Commission is on September 4, 1998, and another meeting in mid-September is anticipated.

Since it is the charge of the Commission to report to Secretary of Administration Kathy Hoyt and since the group is likely to recommend changes to the original plan, the Administration would appreciate the opportunity to present a new proposal to the Joint Fiscal Committee. We are confident that the work of the Blue Ribbon Commission will make this plan stronger and more responsive to the legitimate concerns of your committee members.

Thank you for your consideration of this request.

cc: Lt. Governor Douglas Racine
Kathleen C. Hoyt, Secretary of Administration
Eileen Boland, Commissioner of Personnel
Stephen A. Klein, Joint Fiscal Officer



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Montpelier, Vermont 05633-5701

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Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee Members

From: Rebecca J. Buck, Staff Associate *RB*

Date: July 20, 1998

Subject: Interim Meeting Scheduled

An interim meeting of the Joint Fiscal Committee has been scheduled on Tuesday, September 1, 1998. The meeting is scheduled to begin at 10:00 am in Room 10 and is expected to adjourn mid afternoon. An agenda will be mailed prior to the meeting.



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1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee, Other interested parties

From: Stephen A. Klein, JFO

Date: July 16, 1998

Subject: Reserve funds and counter cyclical funds

Attached please find the summary of state reserve and counter cyclical funds that we discussed at the Joint Fiscal Committee meeting. You will note that nine states have set up more extensive revenue stabilization funds or economic uncertainty funds including Alabama, Alaska, California, Iowa, Michigan, Mississippi, Nevada, Oklahoma, and Texas.

As of last November, at least six of these states had percentages of general funds at 7.5% or more. Alaska's reserves are legendary and a constitutional budget reserve. Iowa's Economic Emergency Fund, and Michigan's Counter Cyclical Budget and Economic Stabilization Fund are interesting models. Mississippi, Nevada, Oklahoma have higher stabilization reserve thresholds.

I trust you will find this interesting.

CC Commissioner Pelham
Secretary Hoyt

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions)	Percent of General Fund Appropriations
ALABAMA				
<i>Education Proration Prevention Fund (S)</i>	Automatic appropriation of \$21M in the first year (following the fund's depletion) and \$8M thereafter up to \$75M. Automatic appropriation can be waived via emergency resolution.	Declaration of proration by governor, or declaration of emergency by legislature with a 2/3 vote.	0	0
ALASKA				
<i>Budget Reserve Fund (S)</i>	By appropriation.	By appropriation.	3,135.90	129.7
<i>Constitutional Budget Reserve Fund (C)</i>	Mineral litigation/dispute settlements.	1) If the amount available for appropriation for a fiscal year is less than the amount appropriated for the previous fiscal year; 2) for any public purpose with a 3/4 vote.		
ARIZONA				
<i>Budget Stabilization Fund (S)</i>	By appropriation (amount determined by formula comparing real, adjusted Arizona personal income growth to 7 year trend); fund capped at 5% of prior year GF revenue.	By appropriation (amount determined by formula); 2/3 vote is required to waive formula-determined withdrawal.	243	4.9
CALIFORNIA				
<i>Special Fund for Economic Uncertainties (S)</i>	Year-end surplus or by appropriation.	1) Transfer by controller to cover revenue shortfall or other GF deficiency; 2) Director of finance can allocate funds for disaster relief (with notification to the Joint Legislative Budget Committee).	408	0.8
COLORADO				
<i>Required Reserve (S)</i>	4% of GF appropriations.	Automatic expenditure when revenue estimates fall below targets; fund can only be used to cover appropriations already authorized. ¹	166.7	3.9
CONNECTICUT				
<i>Budget Reserve Fund (S)</i>	Year-end surplus; fund capped at 5% of net GF appropriations for the fiscal year in progress.	Automatic appropriation to cover budget deficit to the extent that funds are available.	241	2.60%
DELAWARE				
<i>Budget Reserve Account (C)</i>	Automatic deposit from previous year's unencumbered funds; fund capped at 5% of estimated GF revenues.	By appropriation to cover budget deficit or to compensate for revenue reductions; requires 3/5 vote.	92.9	5.3
FLORIDA				
<i>Working Capital Fund (S)</i>	Year-end surplus until fund reaches minimum level of 5% of net GF revenue for the previous fiscal year; fund capped at 10%.	By appropriation when governor declares an emergency.	686	4.4
<i>Budget Stabilization Fund (S)</i>	Automatic deposit beginning in FY 1995 equal to 1% of previous year's GF revenue collections, increasing each year until the reserve reaches minimum level of 5% (in FY 1999); principal fund balance capped at 10%.	By executive transfer when revenue collections in the general revenue fund will be insufficient to meet general revenue fund appropriations.		

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
GEORGIA				
Revenue Shortfall Reserve (S)	Year-end surplus; fund capped at 3% of net revenue collections.	By appropriation.	315	2.9
IDAHO				
Budget Reserve Account (S)	By appropriation.	By appropriation.	28.5	2
INDIANA				
Counter-Cyclical Revenue and Economic Stabilization Fund (S)	Statutory formula triggered when the annual growth rate in adjusted personal income exceeds 2%; fund capped at 7% of state GF revenue.	Statutory formula triggered when the annual growth rate in adjusted personal income is less than a negative 2%.	466.2	5.9
IOWA				
Cash Reserve Fund (S)	By appropriation when there is a year-end GF surplus; fund capped at 5% of the adjusted GF revenue estimate for the current fiscal year.	By appropriation for non-recurring emergency expenditures; requires 3/5 vote if the fund's balance drops to less than 3% of the adjusted revenue estimate for the year in which the appropriation is made.	430	10.4
Economic Emergency Fund (S)	By appropriation when there is a year-end GF surplus; fund capped at 5% of the adjusted revenue estimate for the current fiscal year.	By appropriation for emergency expenditures.		
KANSAS				
Budget Stabilization Fund (S)	Funded by a one-time federal disproportionate share windfall; fund expected to be depleted by the end of FY 1996.	By appropriation.	0	0
KENTUCKY				
Budget Reserve Trust Fund (S)	By appropriation; fund capped according to provisions in the biennial budget act.	Allotted by governor to meet a revenue shortfall; ² governor must notify legislature.	200	3.5
LOUISIANA				
Revenue Stabilization - Mineral Trust Fund (C)	Automatic deposit of revenues exceeding \$750M from taxes on the production of, or exploration for, minerals. With some limitations, the \$750M base may be increased every 10 years, beginning in the year 2000, by a law enacted by a 2/3 vote.	By appropriation, not to exceed one-third of the fund and requiring a 2/3 vote when: 1) the official forecast for a fiscal year is less than revenues received by the state in the preceding fiscal year; 2) if a deficit for the current fiscal year is projected due to a decrease in the official forecast.	0	0
MAINE				
Rainy Day Fund (S)	Transfer from the GF unappropriated surplus; fund capped at 4% of total GF revenues received in the immediately preceding fiscal year.	Subject to annual legislative deliberations. ¹	45.5	2.5
MARYLAND				
Revenue Stabilization Account (S)	By appropriation. Beginning in FY 1995, the governor shall include in the budget bill an appropriation equal to at least the lesser of \$50M or the amount necessary for the fund balance to exceed 5% of estimated GF revenues for the fiscal year.	Transferred by governor if authorized by an act of the General Assembly or specifically authorized in the state budget bill as enacted; amount of transfer is reduced by amount of general fund budget reductions made by legislature.	489.3	6.6

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
MASSACHUSETTS				
<i>Commonwealth Stabilization Fund (S)</i>	After the year-end GF consolidated net surplus is determined, a portion can be used as general revenue in the current fiscal year. Of the remaining surplus, 60% is transferred to the stabilization fund; fund capped at 5% of current fiscal year revenues.	By appropriation: 1) to make up any difference between actual state revenues and allowable state revenues when actual revenues fall below the allowable amount; 2) to replace the state and local loss of federal funds; 3) for any event that threatens the health, safety or welfare of the people or the fiscal stability of the state.	794.1	4.6
MICHIGAN				
<i>Countercyclical Budget & Economic Stabilization Fund (S)</i>	Statute requires appropriation of an amount equal to (annual growth rate in real personal income in excess of 2%) X (total GF revenues for the fiscal year ending in the current calendar year). Fund is capped at 25% of GF revenues.	If annual growth rate in real personal income is negative, withdrawal equals (deficiency) X (total GF revenues for the fiscal year ending in the current calendar year), but no more than needed to balance budget.	1,212.50	14.6
MINNESOTA				
<i>Budget & Economic Stabilization Fund (S)</i>	By surplus until the total amount in the account equals 5% of total GF appropriations for the current biennium. Restoration of the reserve should occur when objective measures, such as increased growth in total wages, reflect upturns in the state's economy. ⁴	By transfer authorized by the commissioner of finance, with approval of the governor and in consultation with the Legislative Advisory Commission, when: 1) a negative budgetary balance is projected and when objective measures (such as reduced growth in total wages) reflect downturns in the state's economy; 2) probable receipts for the GF will be less than anticipated and the amount available for the rest of the biennium will be insufficient.	697.3	7.2
MISSISSIPPI				
<i>Working Cash Stabilization Reserve Fund (S)</i>	Year-end surplus until the fund reaches \$40M; thereafter, 50% of the unencumbered GF cash balance until the fund reaches 7.5% of GF appropriations.	Transfer by the executive director of the Department of Finance & Administration: 1) to meet cash-flow needs (borrowed funds must be repaid within the same fiscal year); 2) to cover deficits (up to \$50M in any one fiscal year); 3) to provide funds for disaster assistance.	209	7.5
MISSOURI				
<i>Budget Stabilization Fund (S)</i>	By appropriation; fund is not to exceed 5% of the receipts into the GF for the proceeding fiscal year.	By appropriation to the governor to meet budget shortfalls. ⁴	120	1.9
NEBRASKA				
<i>Cash Reserve Fund (S)</i>	Transfer by state treasurer when actual GF net receipts for the preceding 3 months exceed estimated receipts for the 3-month period.	Transfer is made to the GF when the cash balance in the GF is inadequate to meet current obligations.	40.9	2.2

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
NEVADA				
<i>Fund to Stabilize Operation of State Government (S)</i>	Transfer by controller of 40% of revenues in excess of required fund balance, which is 10% of GF appropriations; fund capped at \$100M.	By appropriation only if: 1) the total actual revenue of the state falls short by 5% or more of the total anticipated revenue for the biennium in which the appropriation is made; 2) the legislature and governor declare a fiscal emergency.	129	8.3
NEW HAMPSHIRE				
<i>Revenue Stabilization Reserve Account (S)</i>	With some limitations, transfer by comptroller of any surplus at the end of each biennium; fund capped at 5% of actual GF unrestricted revenues for the most recently completed fiscal year.	Transfer by comptroller with the approval of fiscal committee and governor when: 1) GF operating deficit occurred for most recently completed fiscal year; and 2) unrestricted GF revenues in the most recently completed fiscal year were less than budget forecast. Fund cannot be used for any other purpose without a 2/3 vote and governor's approval.	20	2.3
NEW JERSEY				
<i>Surplus Revenue Fund (S)</i>	50% of actual revenue collections in excess of governor's certification of revenues; fund capped at 5% of anticipated revenues.	By appropriation only: 1) upon certification by the governor that anticipated GF revenues are estimated to be less than those certified upon approval of appropriations act; 2) upon findings by the legislature that to offset anticipated GF revenue declines, an appropriation from the fund is more prudent than a tax increase; 3) when the governor declares an emergency and notifies the Joint Legislative Budget Oversight Committee.	327.7	2.1
NEW MEXICO				
<i>Operating Reserve Fund (S)</i>	Transfer from GF.	By specific authorization of the legislature only in the event that GF revenues and balances are insufficient to meet authorized levels of appropriations.	122.2	4.1
NEW YORK				
<i>Tax Stabilization Reserve Fund (S)</i>	Year-end surplus up to 0.2% of aggregate GF disbursements; reserve fund cannot exceed 2% of GF disbursements for the fiscal year.	By transfer at the end of a fiscal year when GF receipts fall below the aggregate amount disbursed from the GF. The fund also can be temporarily loaned to the GF to assist with cash flow.	317	1
NORTH CAROLINA				
<i>Savings Reserve Account (S)</i>	Transfer of 1/4 of any unreserved credit balance at the end of the fiscal year; fund capped at 5% of previous year's GF appropriations.	The fund cannot be tapped unless approved by an act of the General Assembly.	501	4.8

Table: State Budget Stabilization Funds				
State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions)	Percent of General Fund Appropriations
NORTH DAKOTA				
Budget Stabilization Fund (S)	Transfer of GF surplus in excess of \$70M at the end of the biennium.	Governor may transfer for revenue shortfall in excess of 2 1/2% of the estimate made by the most recently adjourned Assembly.	0	0
OHIO				
Budget Stabilization Fund (S)	Transfer from GF by the director of Budget & Management; a written report on the transfer must be submitted to the Controlling Board; fund capped at 4% of GF revenues for the preceding fiscal year.	By appropriation.	828.3	6.2
OKLAHOMA				
Constitutional Reserve Fund (C)	Transfer by the state treasurer of surplus GF revenue; fund is capped at 10% of GF revenue for the preceding fiscal year.	Up to 1/2 of the balance may be appropriated if: 1) forthcoming fiscal year GF revenue is certified to be less than that of current fiscal year certification; or 2) emergency declaration by governor with concurrence by Legislature with a 2/3 vote; 3) joint emergency declaration by speaker and president pro tempore with concurrence by Legislature with a 3/4 vote.	307.8	7.5
PENNSYLVANIA				
Tax Stabilization Reserve Fund (S)	By appropriation; fund capped at 3% of GF revenue estimates.	By appropriation with 2/3 vote when governor declares an emergency or to counterbalance downturns in the economy that will result in significant unanticipated revenue shortfalls.	221	1.3
PUERTO RICO				
Budgetary Fund (S)	Not less than 1/3 % of the Budget Joint Resolution (the governor or director of OMB may order depositing a larger amount); fund capped at 6% of the appropriated funds of the Budget Joint Resolution in any year.	OMB director may transfer funds to cover appropriations when resources are insufficient, to provide for payment of public debt service, to address any unexpected situation in the public service, or to honor obligations of programs funded with contributions or grants from the U.S. government that have not been received.	16.8	0.3
RHODE ISLAND				
Budget Reserve and Cash Stabilization Account (S)	By transfer; fund capped at 3% of total fiscal year resources.	By appropriation when the budget officer declares that actual GF revenue will not equal the original estimates upon which appropriations were based. ⁷	53.4	3

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
SOUTH CAROLINA				
<i>Capital Reserve Fund (S)</i>	By appropriation an amount equal to 2% of GF revenue of the latest completed fiscal year.	By appropriation when revenues at the end of the fiscal year are projected to be less than expenditures authorized by appropriation for that year. If the fund is not tapped for that reason, it can be used for other purposes with 2/3 vote of members present and voting, but not less than 3/5 vote of total membership. ⁹	127	2.7
<i>General Reserve Fund (C)</i>	Transfer of GF revenues in excess of annual operating expenditures; fund is capped at 3% of GF revenue of the latest completed fiscal year.			
<i>Carnell-Felder Set-Aside Account (S)</i>	By appropriation for non-recurring purposes.	By appropriation to prevent a year-end deficit. ⁸		
SOUTH DAKOTA				
<i>Budget Reserve Fund (S)</i>	Transfer of prior year unobligated cash balance; fund capped at 5% of GF appropriations for the prior fiscal year.	By appropriation.	24.6	3.8
TENNESSEE				
<i>Reserve for Revenue Fluctuations (S)</i>	By appropriation.	By transfer by the commissioner of Finance and Administration to offset revenue shortfalls, with notification to the chairs of the Finance, Ways & Means Committees of the Senate and House. ⁷	101	1.8
TEXAS				
<i>Economic Stabilization Fund (C)</i>	Transfer of 1/2 of any unencumbered general revenue fund balance at end of each biennium plus portions of oil and natural gas production tax collections. The Legislature also may appropriate additional funds; fund capped at 10% of general revenue fund deposits (excluding interest and investment income) during the preceding biennium. ¹⁰	By appropriation with a 3/5 vote of members present if: 1) the comptroller certifies that appropriations from general revenue made by the preceding legislature for the current biennium exceed available general revenues for the remainder of the biennium; 2) an estimate of anticipated revenues for a succeeding biennium is less than the revenues estimated to be available for the current biennium; 3) for any purpose with 2/3 vote of members present.	8.5	0
UTAH				
<i>Budget Reserve Account (S)</i>	25% of GF surplus; fund capped at 8% of the GF appropriation for the fiscal year in which the surplus occurred.	By appropriation to cover operating deficits or retroactive tax refunds.	71.8	2.4
VERMONT				
<i>Budget Stabilization Trust Fund (S)</i>	Undesignated GF surplus; fund is capped at 5% of GF appropriations for the prior fiscal year; also any additional amounts as may be authorized by the General Assembly.	Transfer by the commissioner of Finance and Management to the extent necessary to offset a GF deficit.	35.1	4.9

Table: State Budget Stabilization Funds				
State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
VIRGINIA				
Revenue Stabilization Fund (C)	By formula as specified in the state's constitution; fund capped at 10% of the average annual tax revenues for the three fiscal years immediately preceding.	By appropriation (up to 1/2 of the fund's balance) with specific provisions ¹	160	2
WASHINGTON				
Budget Stabilization Account ² (S)	By appropriation based on statutory formula.	By appropriation, with 60% vote, to provide of continuation of agency programs when revenues fall below forecast, for labor force training, or for any purpose the Legislature determines would reduce unemployment caused by the state's economic cycle.	none	none
Emergency Reserve Fund ³ (S)	Beginning in FY 1996, transfer by state treasurer of all state revenues in excess of the state expenditure limit for that fiscal year; fund capped at 5% of biennial GF state revenues.	By appropriation, with 2/3 vote required, only if the appropriation does not cause total expenditures to exceed the state expenditure limit.		
WEST VIRGINIA				
Revenue Shortfall Reserve Fund (S)	Beginning in FY 1995, transfer of the first 50% of all surplus revenues accrued during the fiscal year just ended; fund capped at 5% of GF appropriations for the fiscal year just ended.	By appropriation to meet any anticipated revenue shortfall.	71.5	2.9
WISCONSIN				
Budget Stabilization Fund (S)	By appropriation.	By appropriation.	0	0
WYOMING				
Budget Reserve Account (S)	Year-end surplus plus appropriations.	By appropriation.	0	0

The states of Arkansas, Hawaii, Illinois, Montana and Oregon and the District of Columbia do not have budget reserve funds.

Abbreviation Key:

C = Constitutional S = Statutory
 GF = General Fund FY = Fiscal Year
 M = Million

Sources: Fund Descriptions—NCSL compilation, April 1995
 Fund Balances—NCSL State Budget Actions, November 1994

Notes:

1. Colorado: If economic conditions require expenditures from the fund, the governor must develop a plan that would maintain the reserve at no less than 2%. The plan is subject to legislative modification.
2. Kentucky: Conditions governing the use of the fund are attached to its appropriation every two years. At the end of the biennium, the fund lapses and has to be recreated. The state also has created in the general fund the Surplus Fund Account. No expenditures may be made from the account unless appropriated by the legislature, or unless required by the budget reduction provisions of the budget bill.
3. Maine: According to statute, appropriations may be made by a 2/3 vote of the legislature upon recommendation of the governor, but only for prepayment of outstanding GF bonds or for major construction. In practice, however, the legislature has enacted exceptions to the statute to use the funds as needed for emergencies, disasters, or other expenditures deemed necessary.

- 4 Minnesota: Beginning July 1, 1993, forecast unrestricted budgetary GF balances are first appropriated to restore the budget reserve and cash flow account to \$500M. Effective July 1, 1995, \$180M of the account shall be dedicated to elementary and secondary education.
- 5 Missouri: The General Assembly may appropriate to the governor any portion of the existing balance to cover budget shortfalls. Also, in any year in which the governor finds it necessary to withhold appropriated funds, the governor may order the commissioner of administration to make transfers from the fund to fulfill expenditures authorized by appropriation. The governor must notify the General Assembly of his intent to make such an authorization; and, if not disapproved by concurrent resolution within 30 days of the receipt of such notice by the General Assembly, the authorization is considered valid. Further, the General Assembly shall not appropriate money from the fund without authorization from the governor.
- 6 New York: Once borrowed, fund must be paid back within six years in three equal installments. Repayments to the Tax Stabilization Reserve Fund shall be stipulated in annual budget bills.
- 7 Rhode Island: State statutes call for the fund to be repaid in the second fiscal year following the fiscal year in which a transfer was made from the fund and, when necessary, in subsequent fiscal years.
- 8 South Carolina: Funds withdrawn from the General Reserve Fund must be restored annually at a rate of not less than 1% of the general fund revenue of the latest completed fiscal year until the fund is restored to 3%. If the Capital Reserve Fund is not tapped to address a budget deficit, the Legislature (with a 2/3 vote of members present and voting, but not less than 3/5 of the total membership) can appropriate money from the fund: 1) to finance in cash previously authorized capital improvement bond projects; 2) to retire interest or principal on bonds previously issued; or 3) for capital improvements or other non-recurring purposes. The Camell-Felder Set-Aside Account was authorized beginning in FY 1995 to cushion the state's budget against unforeseen revenue shortfalls stemming from inaccurate revenue estimates. By the end of FY 1995, the account is projected to contain \$54.5 million.
- 9 Tennessee: The statute declares legislative intent to be that, to the extent possible, revenue shortfalls will be offset by reductions in expenditures before using amounts in the reserve fund.
- 10 Texas: The constitutional amendment creating the fund mandates the following revenue transfers to it: 1) one-half of any unencumbered general revenue fund balance at the end of each fiscal biennium; 2) an amount of general revenue equal to 75% of the amount by which oil production tax collections in any future fiscal year exceed oil production tax collections in fiscal year 1987; 3) an amount of general revenue equal to 75% of the amount by which natural gas production tax collections in any future fiscal year exceed oil production tax collections in the fiscal year 1987. (For purposes of calculating the transfer, natural gas tax collections would be adjusted to reflect 12 months of collections in each fiscal year.)
- 11 Virginia: The General Assembly may appropriate an amount for transfer from the fund to compensate for no more than one-half of the difference between the total general fund revenues appropriated and a revised general fund revenue forecast presented to the General Assembly prior to or during a subsequent regular or special legislative session. However, no transfer shall be made unless the general fund revenues appropriated exceed such revised general fund revenue forecast by more than 2% of certified tax revenues collected in the most recently ended fiscal year.

STATE OF VERMONT
STANDARD CONTRACT FOR PERSONAL SERVICES

1. Parties: This is a contract for personal services between the State of Vermont, Legislative Joint Fiscal Office (hereafter called "State"), and Thomas E. Kavet, with principal place of business in Williamstown, Vermont (hereafter called "Contractor"). Contractor's form of business organization is sole proprietorship. Contractor is not required by law to have a Business Account Number from the Vermont Department of Taxes.
2. Subject Matter: The subject matter of this contract is personal services generally on the subject of preparing revenue estimates. Detailed services to be provided by the Contractor are described in Attachment A.
3. Maximum Amount: In consideration of the services to be performed by Contractor, the State agrees to pay Contractor in accordance with the payment provisions specified in Attachment B, a sum not to exceed \$69,000.00 during the two year period of this contract.
4. Contract Term: The period of Contractor's performance shall begin on October 1, 1998 and end on September 30, 2000.
5. Approvals: Under Title 3 Section 311(a)(8), approvals are not required from the Attorney General.
6. Amendment: No changes, modifications, or amendments in the terms and conditions of this contract shall be effective unless reduced to writing, numbered and signed by the duly authorized representative of the State and Contractor.
7. Cancellation: This contract may be canceled by either party by giving written notice at least thirty (30) days in advance.
8. Attachments: This contract consists of seven (6) pages including the following attachments which are incorporated herein:

Attachment A - Specifications of work to be performed.
Attachment B - Payment provisions.
Attachment C - Customary State Contract Provisions (revised August, 1995)
Attachment D - Other provisions.

WE THE UNDERSIGNED PARTIES AGREE TO BE BOUND BY THIS CONTRACT

by the State of Vermont

by the Contractor

Date: _____

Date: _____

Signature: _____

Signature: _____

Name: _____

Name: _____

Fed. ID/Soc. Sec. # _____

Attachment A

CONTRACT FOR REVENUE FORECASTING & ANALYSIS SPECIFICATIONS OF WORK TO BE PERFORMED

1. January 1999: The Contractor will prepare an update of existing, current law revenue estimates for fiscal years 1999, and 2000 in accordance with the provisions of 32 VSA 305a (see below) incorporating changes in tax law enacted during the 1998 Session of the General Assembly and including any new economic assumptions resulting from final fiscal year 1998 revenue collections. This update will also include a preliminary forecast for fiscal year 2001. The update will be source specific for the general, transportation and education funds. The Contractor will also evaluate revenue estimates prepared by the Executive Branch of government for fiscal years 1999, 2000 and 2001 and reach a consensus staff recommendation with the Executive branch economist, if possible.
2. July 1999: The Contractor will prepare an update of current law revenue estimates for fiscal years 2000 and 2001 in accordance with the provisions of 32 VSA 305a (see below) incorporating changes in tax law enacted during the 1999 Session of the General Assembly and including any new economic assumptions resulting from final fiscal year 1999 revenue collections. The update will be source specific for the general, transportation and education funds. The Contractor will also evaluate revenue estimates prepared by the Executive Branch of government for fiscal years 2000, and 2001 and reach a consensus staff recommendation with the Executive branch economist, if possible.
3. January 2000: The Contractor will prepare an update of existing, current law revenue estimates for fiscal years 2000, and 2001 in accordance with the provisions of 32 VSA 305a (see below) incorporating changes in tax law enacted during the 1999 Session of the General Assembly and including any new economic assumptions resulting from final fiscal year 1999 revenue collections. This update will also include a preliminary forecast for fiscal year 2002. The update will be source specific for the general, transportation and education funds. The Contractor will also evaluate revenue estimates prepared by the Executive Branch of government for fiscal years 2000, 2001 and 2002 and reach a consensus staff recommendation with the Executive branch economist, if possible.
4. July 2000: The Contractor will prepare an update of current law revenue estimates for fiscal years 2001 and 2002 in accordance with the provisions of 32 VSA 305a (see below) incorporating changes in tax law enacted during the 2000 Session of the General Assembly and including any new economic assumptions resulting from final fiscal year 2000 revenue collections. The update will be source specific for the general, transportation and education funds. The Contractor will also evaluate revenue estimates prepared by the Executive Branch of government for fiscal years 2001, and 2002 and reach a consensus staff recommendation with the Executive branch economist, if possible.
5. Ad Hoc Services: At the direction of the State, Contractor will be available, at reasonable times, to serve as an expert resource. Such services will include but not be limited to analysis of proposed legislation or other federal, state and economic changes which might impact revenues and the development of more comprehensive data and econometric models.

The Contractor will provide a written analysis to the State, including briefing materials, and will make a presentation of findings to the Emergency Board and legislative committee(s) designated by the State.

..... 32 VSA § 305a. OFFICIAL STATE REVENUE ESTIMATE

On January 15 and on July 15 of each year, and at such other times as the emergency board or the governor deems proper, the joint fiscal office and the secretary of administration shall provide to the emergency board their respective estimates of state revenues in the general, transportation, education, and federal funds for the current and next succeeding fiscal years. Within 10 days of receipt of such estimates, the board shall determine an official state revenue estimate for deposit in the general fund, the transportation fund, education fund, and federal funds for the current and next succeeding fiscal years. For the purpose of revising an official revenue estimate only, a majority of the legislative members of the emergency board may convene a meeting of the board.

--- Nothing Follows ---

ATTACHMENT B
PAYMENT PROVISIONS

1. State shall pay Contractor at the rate of \$50.00 per hour for a maximum of 1,320 hours of service.
2. State shall pay Contractor for actual hours of service rendered except that for services number one (1) through four (4) listed in Attachment A, State shall pay a maximum as follows:
 January 1999 and July 1999 forecasts (combined total): \$ 25,000
 January 2000 and July 2000 forecasts (combined total): \$ 25,000
The maximums set forth above are based upon an estimate that Contractor will provide 380 hours of service for the preparation of basic general, transportation and education fund forecasts; in addition, Contractor will provide 120 hours of service for the preparation of a property tax and related education fund economic and demographic forecasts. The combined annual total of 500 hours will be divided between the January and July forecasts.
3. State shall pay Contractor for actual hours of ad hoc service rendered, up to a maximum of \$16,000 (320 hours). The maximum set forth above is based upon an estimate that Contractor will provide 160 hours (80 per year) of miscellaneous analysis and 160 hours (80 per year) in the development of more in depth econometric models and supporting data.
4. State shall pay Contractor for actual conference and travel expenses up to a maximum of \$3,000.
5. The two year contract total is \$69,000.00.
6. Contractor will submit a statement of actual hours of service rendered on or about the first of each month to:

Stephen Klein
Chief Fiscal Officer
Joint Fiscal Office
1 Baldwin Street, Drawer 33
Montpelier, VT. 05633-5701

- - - Nothing Follows - - -

ATTACHMENT C
CUSTOMARY STATE CONTRACT PROVISIONS
(REVISED AUGUST, 1995)

1. Entire Agreement: This contract represents the entire agreement between the parties on this subject matter. All prior agreements, representations, statements, negotiations, and understandings have no effect.
2. Applicable Law: This contract will be governed by the laws of the State of Vermont.
3. Appropriations: If this contract extends into more than one fiscal year of the state (July 1 to June 30), and if appropriations are insufficient to support this contract, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority.
4. No Employee Benefits for Contractor: The Contractor understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation and sick leave, worker's compensation or other benefits or services available to state employees, nor will the State withhold any federal or state taxes, except as required under applicable tax laws, which shall be determined in advance of execution of the contract. The Contractor understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Contractor, and information as to contract income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.
5. Independence, Liability: The Contractor will act in an independent capacity and not as officers or employees of the State. The Contractor shall indemnify, defend and hold harmless the State and its officers and employees from liability and any claims, suits, judgments, and damages arising as a result of the Contractor's acts and/or omissions in the performance of this contract.
6. Reliance by State on Representations: All payments by the State under this contract will be made in reliance upon the accuracy of all prior written representations by the Contractor, including but not limited to bills, invoices, progress reports and other proofs of work.
7. Records Available for Audit: The Contractor will maintain all books, documents, payrolls, papers, accounting records and other evidence pertaining to costs incurred under this agreement and make them available at reasonable times during the period of this contract and for three years thereafter for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved. The State, by an authorized representative, shall have the right at all reasonable times, to inspect or otherwise evaluate the work performed or being performed under this contract.
8. Fair Employment Practices: The Contractor agrees to comply with the requirements of Title 21 VSA, Chapter 5, and Subchapter 6, relating to fair employment practices, to the full extent applicable. Contractor shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, that qualified individuals with disabilities receive equitable access to the services, programs, and activities provided by the Contractor under this contract. Contractor further agrees to include this provision in all subcontracts.
9. Set Off: The State may set off any sums which the Contractor owes the State against any sums due the Contractor under this contract; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.
10. Taxes Due to the State:
 - a. Contractor understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.

b. Contractor certifies under the pains and penalties of perjury that, as of the date the contract is signed, the Contractor is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.

c. Contractor understands that final payment under this contract may be withheld if the Commissioner of Taxes determines that the Contractor is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.

d. Contractor also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Contractor has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Contractor has no further legal recourse to contest the amounts due.

11. Child Support: Contractor states that, as of the date of the contract is signed, he:

- a. is not under any obligation to pay child support; or
- b. Is under such an obligation and is in good standing with respect to that obligation; or
- c. has agreed to a payment plan with the Vermont Office of Child Support Services as is in full compliance with that plan.

Contractor makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Contractor is a resident of Vermont, Contractor makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

12. Subcontractors: The Contractor shall not assign or subcontract the performance of this agreement or any portion thereof to any other contractor without the prior written approval of the State. Contractor also agrees to include in all subcontract agreements a tax certification in accordance with paragraph ten above.

12. No Gifts or Gratuities: Contractor will not give title or possession of any thing of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this contract.

13. Copies: All written reports will be printed using both sides of the paper.

- - - Nothing Follows - - -

ATTACHMENT D
OTHER PROVISIONS

1. Conflict of Interest: Contractor knows of no client presently engaged or contemplated which would prevent Contractor from undertaking this effort in the interests of State. Contractor agrees to make every reasonable effort to avoid such conflicts during the period of this contract. Contractor will consult with State on the matter of conflict of interest when, in the opinion of Contractor, Contractor believes a conflict may arise which may prevent Contractor from fulfilling its duties under this agreement.
2. Assumptions: The Joint Fiscal Office will provide the Contractor with background information and data and assist the Contractor with access to Executive Branch supervisory personnel, forecasting models, data, and economic assumptions. Both parties recognize the importance of executive branch cooperation and will work to ensure such cooperation takes place.

This contract does not assume a parallel independent econometric model will be developed by the Contractor for comparative forecasting purposes, although statistical techniques may be employed for evaluating near- term revenue forecasts and trends. However, in the event that a model is developed, the model shall become property of the Joint Fiscal Office.

--- None ---



JFO #1827

STATE OF VERMONT
AGENCY OF ADMINISTRATION

MEMO TO: Joint Fiscal Committee

FROM: Kathleen C. Hoyt, Secretary of Administration *Kathleen C. Hoyt*

DATE: September 4, 1998

SUBJECT: JFC Approval for Leasing State Property: 29 VSA Sec. 165(h)

As more fully described on the attached documentation, we are requesting Joint Fiscal Committee approval of a lease of a parcel of land to the Town of Duxbury. This lease is integral to the sale of the 34-acre Duxbury Farm "gravel pit site" to the Town of Duxbury, which was approved as JFC#1817 at the July 15 meeting of the Committee.

Commissioner Thomas Torti will be at the September 16, 1998 JFC meeting to answer any questions.

KCH/cib

Enc.

DEPARTMENT OF BUILDINGS AND GENERAL SERVICES

OFFICE OF THE COMMISSIONER

TO: Otto Trautz, Finance and Management
Steve Klein, Joint Fiscal Office

FROM:  Thomas W. Torti, Commissioner

DATE: 09/03/98

RE: Joint Fiscal Committee Meeting

At the last JFC meeting, I mentioned that BGS would have to return in order to obtain permission to lease to the Town of Duxbury a five acre parcel of land along the Winooski River for less than market rate. Title 29, Section 42, 165 h (2) requires JFC approval whenever the Commissioner of BGS proposes to lease lands for less than market rate for a period greater than three years.

The proposed lease is for one dollar per year for ten years and is a component of the overall negotiations with the Town of Duxbury for parcels of land that were once part of the state farm. This parcel will be used only for recreational purposes. It has no higher use value to the state, as we would not develop the lands for any purpose other than recreation. The land is adjacent to the river and is prime spawning habitat for rainbow trout.

Please advise if you require any further information.



State of Vermont

DEPARTMENT OF BUILDINGS & GENERAL SERVICES
AGENCY OF ADMINISTRATION

Office of Property Management
Two Governor Aiken Avenue, Drawer 33
Montpelier, VT 05633-5801

Telephone: 802-828-3314
FAX: 802-828-3533

MEMORANDUM

TO: Thomas W. Torti, Commissioner
FROM: F. J. Meier, Consultant
DATE: September 3, 1998

SUBJECT: Request for Joint Fiscal Committee Approval of 10-Year
Lease of Land to Town of Duxbury

Recommendation

We request approval of Joint Fiscal Committee to lease five acres of land to the Town of Duxbury for use as an athletic field. The lease would be for ten years at \$1.00/year. Town of Duxbury would provide necessary insurance and permits per attached. This lease is a part of the purchase by the Town of the Gravel Pit site for \$225,000 approved at the August Joint Fiscal Committee meeting.

Background

The five-acre site is a portion of some 30 acres of the Duxbury Farm located between River Road fronting on the Winooski River. It is flood plain, can only be used for agriculture and is being retained by the State as a means of protecting trout habitat in the Winooski River at the request of ANR. Value of this land is between \$300 to \$500/acre. Rental for small parcels of agriculture land in the State's experience is approximately \$20/acre.

FJM/jm
Attachment

The Seller also agrees to lease up to five acres of land to the Purchaser on remaining land of the Seller for use as an athletic field for a period of up to ten years at an annual rent of \$1.00 per year, provided that the parties successfully close on the sale of the Premises under the terms of this Agreement and further provide that the lease is approved by the Joint Fiscal Committee pursuant to 29 V.S.A. §165(h). Such lease would be subject to normal commercial lease terms, including a requirement that the Purchaser provide liability insurance in favor of the Seller under terms satisfactory to the Seller. Purchaser shall be responsible for obtaining any necessary permits and Seller agrees to cooperate with Purchaser in the permitting process at no expense to the Seller. The five-acre lease site shall be at a location mutually agreeable to the parties.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement.

SELLER: State of Vermont

By: _____ L.S.
Thomas W. Torti
Commissioner
Department of Buildings &
General Services

Date: _____

PURCHASER: Town of Duxbury

By: _____ L.S.

Comparison of Actual Receipts to FY '99 E-Board Forecast

General Fund Targets (July Forecast)

	<u>Jul</u>	<u>Aug</u>	<u>Sep</u>	<u>Oct</u>	<u>Nov</u>	<u>Dec</u>	<u>Jun</u>
<u>Personal Income</u>							
Mo. Target	23.4	22.9	41.2	29.1	23.4	38.2	41.5
Cum. Target	23.4	46.3	87.6	116.6	140.0	178.2	376.3
Mo. Actual	24.4	24.8					
Cum. Actual	24.4	49.2					
Diff. fm Mo. Target	1.0	1.9					
Diff. fm Cum. Target	1.0	2.9					
<u>Sales & Use</u>							
Mo. Target	16.9	16.4	16.8	18.2	16.0	16.7	14.8
Cum. Target	16.9	33.3	50.1	68.3	84.3	101.0	201.0
Mo. Actual	17.2	18.3					
Cum. Actual	17.2	35.5					
Diff. fm Mo. Target	0.3	1.9					
Diff. fm Cum. Target	0.3	2.2					
<u>Corporate Income</u>							
Mo. Target	1.1	0.7	7.3	1.2	0.5	6.8	5.7
Cum. Target	1.1	1.9	9.1	10.4	10.9	17.8	38.6
Mo. Actual	0.5	0.9					
Cum. Actual	0.5	1.5					
Diff. fm Mo. Target	(0.6)	0.2					
Diff. fm Cum. Target	(0.6)	(0.4)					
<u>Meals & Rooms</u>							
Mo. Target	4.8	6.2	6.2	6.9	5.5	4.6	4.9
Cum. Target	4.8	11.0	17.2	24.2	29.7	34.2	68.8
Mo. Actual	5.0	7.0					
Cum. Actual	5.0	12.1					
Diff. fm Mo. Target	0.2	0.8					
Diff. fm Cum. Target	0.2	1.0					
<u>Property Transfer</u>							
Mo. Target	1.4	1.4	1.5	1.5	1.3	1.8	0.4
Cum. Target	1.4	2.8	4.2	5.8	7.1	8.9	15.1
Mo. Actual	1.5	1.6					
Cum. Actual	1.5	3.0					
Diff. fm Mo. Target	0.1	0.2					
Diff. fm Cum. Target	0.1	0.2					
<u>Other Revenue</u>							
Mo. Target	5.4	9.0	7.3	5.6	7.6	9.7	9.6
Cum. Target	5.4	14.4	21.6	27.3	34.8	44.5	101.7
Mo. Actual	5.5	9.6					
Cum. Actual	5.5	15.1					
Diff. fm Mo. Target	0.1	0.6					
Diff. fm Cum. Target	0.1	0.8					
<u>Total Revenue</u>							
Mo. Target	53.0	56.7	80.2	62.6	54.3	77.9	76.9
Cum. Target	53.0	109.7	190.0	252.5	306.8	384.7	801.5
Mo. Actual	54.2	62.2					
Cum. Actual	54.2	116.4					
Diff. fm Mo. Target	1.2	5.5					
Diff. fm Cum. Target	1.2	6.7					

Comparison of Actual Receipts to FY '99 E-Board Forecast

Transportation Fund Targets (July Forecast)

	<u>Jul</u>	<u>Aug</u>	<u>Sep</u>	<u>Oct</u>	<u>Nov</u>	<u>Dec</u>	<u>Jun</u>
<u>Gasoline</u>							
Mo. Target	3.9	4.1	4.8	4.6	3.6	4.7	4.5
Cum. Target	3.9	8.0	12.7	17.3	20.9	25.6	49.2
Mo. Actual	4.2	3.8					
Cum. Actual	4.2	8.1					
Diff. fm Mo. Target	0.3	(0.2)					
Diff. fm Cum. Target	0.3	0.1					
<u>Diesel</u>							
Mo. Target	0.4	1.3	1.0	0.8	1.6	1.5	1.9
Cum. Target	0.4	1.6	2.6	3.5	5.0	6.5	13.8
Mo. Actual	0.5	1.3					
Cum. Actual	0.5	1.8					
Diff. fm Mo. Target	0.2	(0.0)					
Diff. fm Cum. Target	0.2	0.2					
<u>Purchase & Use</u>							
Mo. Target	2.2	4.2	4.3	4.6	3.5	3.9	7.3
Cum. Target	2.2	6.3	10.6	15.2	18.7	22.5	49.6
Mo. Actual	2.9	5.1					
Cum. Actual	2.9	8.0					
Diff. fm Mo. Target	0.7	1.0					
Diff. fm Cum. Target	0.7	1.7					
<u>Other Taxes</u>							
Mo. Target	0.0	0.1	0.2	0.3	0.2	0.1	0.2
Cum. Target	0.0	0.2	0.3	0.6	0.8	0.9	1.6
Mo. Actual	0.0	0.2					
Cum. Actual	0.0	0.2					
Diff. fm Mo. Target	(0.0)	0.1					
Diff. fm Cum. Target	(0.0)	0.1					
<u>DMV Fees</u>							
Mo. Target	2.5	3.2	2.9	2.9	2.3	2.4	4.8
Cum. Target	2.5	5.7	8.7	11.6	13.8	16.2	39.7
Mo. Actual	2.7	3.2					
Cum. Actual	2.7	5.9					
Diff. fm Mo. Target	0.2	0.0					
Diff. fm Cum. Target	0.2	0.2					
<u>Other Revenue</u>							
Mo. Target	0.2	0.6	0.7	0.8	0.7	1.2	1.1
Cum. Target	0.2	0.9	1.6	2.4	3.1	4.3	9.3
Mo. Actual	0.3	0.4					
Cum. Actual	0.3	0.7					
Diff. fm Mo. Target	0.1	(0.2)					
Diff. fm Cum. Target	0.1	(0.2)					
<u>Total Revenue</u>							
Mo. Target	9.2	13.5	13.8	14.0	11.8	13.8	19.8
Cum. Target	9.2	22.7	36.5	50.5	62.3	76.1	163.2
Mo. Actual	10.6	14.1					
Cum. Actual	10.6	24.7					
Diff. fm Mo. Target	1.4	0.6					
Diff. fm Cum. Target	1.4	2.0					

Comparison of Actual Receipts to FY '99 E-Board Forecast

Education Fund Targets		(July Forecast)					
	Jul	Aug	Sep	Oct	Nov	Dec	Jun
<u>Lottery Receipts</u>							
Mo. Target	1.0	1.7	2.3	2.0	2.0	2.0	3.6
Cumulative Target	1.0	2.7	5.0	7.1	9.1	11.1	24.5
Mo. Actual	1.0	1.2					
Cumulative Actual	1.0	2.2					
Diff. From Mo. Target	(0.0)	(0.6)					
Diff. From Cum. Target	(0.0)	(0.6)					
<u>Telecomm. Sales Tax</u>							
Mo. Target	0.9	0.9	0.9	1.0	0.9	0.9	0.8
Cumulative Target	0.9	1.8	2.7	3.7	4.6	5.5	11.0
Mo. Actual	0.9	1.1					
Cumulative Actual	0.9	2.0					
Diff. From Mo. Target	(0.0)	0.2					
Diff. From Cum. Target	(0.0)	0.2					
<u>Corporate Income</u>							
Mo. Target	0.3	0.2	1.7	0.3	0.1	1.6	1.3
Cumulative Target	0.3	0.4	2.1	2.4	2.6	4.2	9.0
Mo. Actual	0.1	0.2					
Cumulative Actual	0.1	0.3					
Diff. From Mo. Target	(0.1)	0.0					
Diff. From Cum. Target	(0.1)	(0.1)					
<u>Meals & Rooms</u>							
Mo. Target	1.0	1.4	1.4	1.6	1.2	1.0	1.1
Cumulative Target	1.0	2.4	3.8	5.4	6.6	7.6	15.2
Mo. Actual	0.7	2.0					
Cumulative Actual	0.7	2.6					
Diff. From Mo. Target	(0.4)	0.6					
Diff. From Cum. Target	(0.4)	0.2					
<u>Bank Franchise</u>							
Mo. Target	0.8	0.0	0.2	0.9	0.0	0.2	0.2
Cumulative Target	0.8	0.9	1.1	2.0	2.0	2.2	4.3
Mo. Actual	1.0	0.0					
Cumulative Actual	1.0	1.0					
Diff. From Mo. Target	0.1	(0.0)					
Diff. From Cum. Target	0.1	0.1					
<u>Gasoline</u>							
Mo. Target	1.0	1.1	1.3	1.2	1.0	1.2	1.2
Cumulative Target	1.0	2.1	3.4	4.6	5.6	6.8	13.1
Mo. Actual	0.9	1.2					
Cumulative Actual	0.9	2.1					
Diff. From Mo. Target	(0.1)	0.1					
Diff. From Cum. Target	(0.1)	0.0					
<u>Purchase & Use</u>							
Mo. Target	0.4	0.8	0.9	0.9	0.7	0.8	1.5
Cumulative Target	0.4	1.3	2.1	3.0	3.7	4.5	9.9
Mo. Actual	0.5	0.9					
Cumulative Actual	0.5	1.4					
Diff. From Mo. Target	0.1	0.1					
Diff. From Cum. Target	0.1	0.1					
<u>Registration Fees</u>							
Mo. Target	0.2	0.2	0.2	0.2	0.2	0.2	0.2
Cumulative Target	0.2	0.4	0.5	0.7	0.9	1.1	2.1
Mo. Actual	0.1	0.2					
Cumulative Actual	0.1	0.3					
Diff. From Mo. Target	(0.1)	0.1					
Diff. From Cum. Target	(0.1)	(0.0)					
<u>Total Revenue</u>							
Mo. Target	5.7	6.3	8.8	8.1	6.1	7.9	9.9
Cumulative Target	5.7	12.0	20.9	29.0	35.0	42.9	89.1
Mo. Actual	5.2	6.8					
Cumulative Actual	5.2	12.0					
Diff. From Mo. Target	(0.5)	0.5					
Diff. From Cum. Target	(0.5)	(0.0)					



State of Vermont

Department of Personnel

Commissioner's Office
110 State Street
Montpelier, VT 05620-3001
(802) 828-3491 (voice)
(802) 828-5580 (fax)

MEMORANDUM

TO: Members of the Joint Fiscal Committee
FROM: Eileen M. Boland, Commissioner
DATE: 9/3/98
SUBJECT: Request for Positions

A handwritten signature in cursive script, appearing to read "Eileen M. Boland".

The Department of Personnel is requesting that the Joint Fiscal Committee at its September 16th meeting **create additional limited service positions** for Fiscal Year 1999 under the authority granted in Section 275 of the 1999 Omnibus Appropriations Act. The relevant portions of that section are below:

Sec. 275. LIMITED SERVICE POSITIONS

(a) The commissioner of personnel may establish up to 30 limited service positions, excluding those limited service positions which are fully funded through federal funds, grants, or other nonstate funds, not to exceed 10 in any one quarter, to meet the short-term supplemental staffing needs of the state. Consistent with the provisions for negotiating the impact of workweeks or schedules under the collective bargaining agreement, and with the approval of the commissioner of personnel, the appointing authority may prescribe, for such positions, full or part-time schedules and flexible work hours as is deemed appropriate. The authorized use of such positions shall be limited to:

(1) providing for staffing needs expected to last less than three years, including, but not limited to, capital improvement and transportation projects, or

(2) providing an ongoing fill-in capacity, in lieu of hiring temporary employees, in institutions or where it is deemed appropriate to provide coverage for temporary and intermittent absences of regular staff.

(b) Such authorized limited service positions shall not be created until the appointing authority has certified to the secretary of administration that there exists equipment and housing for the positions.

(c) The commissioner of personnel shall notify the joint fiscal office when such positions are established or abolished and shall report on their usage to the legislature by January 15 each year. **Upon request of the commissioner of personnel, the joint fiscal committee may authorize the establishment of positions under this section in excess of 10 during any fiscal quarter. (Emphasis added)**

September 4, 1998

The positions we are requesting will be supported by state dollars and they represent **core functions** of state government. The functions and supporting positions were **considered and approved in recent legislative sessions**. New positions were **not created** during those sessions, rather they were approved as **"transfer and convert."**

It was expected that the Department of Personnel would transfer current vacancies into the new positions. Indeed, in the past few years we have transferred numerous vacancies to positions under this standard. However, we do not have sufficient vacant positions to transfer and convert to meet these remaining staffing obligations. Therefore, we propose the following action:

JFC create the 41 positions identified in the attached chart, under the authority outlined in Section 275 (c), to address these urgent staffing needs.

The attached chart outlines the positions and identifies the legislative acts where the functions and positions were authorized.

Position summary:

1998 Session (for FY'99)	15	various positions
1997 Session (for FY'98)	22	E 911
1997 Session (for FY'98)	4	Tax Department
Total	41	Positions

Thank you for your time and consideration of this request. We look forward to addressing your questions and concerns regarding this request on September 16.

c.c.: Kathy Hoyt, Secretary of Administration

TRANSFER AND CONVERT POSITIONS

ACT	BILL	POSITIONS	AGENCY/DEPARTMENT	COMMENTS	HOW CREATED
FY '99					
159	H.163 Sec. 13	1 Administrative Assistant B	BISHCA	Classified	T & C
159	H.163 Sec. 13	1 Staff Attorney IV	BISHCA	Classified	T & C
120	H.278 Sec. 10	1 Position	Housing & Community Dev.	Classified	T & C
71	H.577 Sec. 48	1 Executive Director	Economic Advancement Board	Exempt (they have position)	T & C
71	H.577 Sec. 48	1 Staff Assistant	Economic Advancement Board	Classified	T & C
71	H.577 Sec. 55	1 Executive Director	Commerce	VT Economic Progress Council	T & C
71	H.577 Sec. 55	1 Administrative Staff Member	Commerce	VT Economic Progress Council	T & C
71	H.577 Sec. 55	1 Staff Position	Tax	Classified	T & C
147	H.755 Sec. 33	1 Retirement Services Specialist	Treasurer	Classified	T & C
147	H.755 Sec. 50	1 Assistant Attorneys General	Attorney General	Exempt	T & C
147	H.755 Sec. 50	1 Paralegal Investigator	Attorney General	Classified	T & C
147	H.755 Sec. 50	1 Administrative Secretary	Attorney General	Classified	T & C
147	H.755 Sec. 59	1 Environmental Engineer C - Haz.	Military	Classified	T & C
147	H.755 Sec. 98	1 Test & Exam Correction Clerk	VCJTC	Classified	T & C
147	H.755 Sec. 98	1 Training Instructor Coordinator	VCJTC	Classified	T & C
FY '98					
60	Sec. 98 g	PVR Secretary C	Tax	Classified	T & C
60	Sec. 98 g	PVR Data Clerk	Tax	Classified	T & C
60	Sec. 98 g	Compliance Attorney	Tax	Classified	T & C
60	Sec. 98 g	Compliance Officer	Tax	Classified	T & C
61	Sec. 98	1 Clerical	Public Safety	Classified	T & C
61	Sec. 98	21 Telecommunicators	Public Safety	Classified	T & C

Total 41 Positions



State of Vermont

Department of Personnel

Commissioner's Office
110 State Street
Montpelier, VT 05620-3001
(802) 828-3491 (voice)
(802) 828-5580 (fax)

MEMORANDUM

TO: Members of the Joint Fiscal Committee
FROM: Eileen M. Boland, Commissioner
DATE: 9/3/98
SUBJECT: Request for Grant Funded Positions - JFO # 1819 and JFO #1821

Recently the Agency of Administration forwarded two "Grant Acceptance" requests to the Joint Fiscal Committee, JFO # 1819 and JFO #1821, which incorrectly described the position requests. We are asking for a reconsideration of those requests amended as follows:

JFO #1821 Agency of Human Services, Department of Social Welfare
Grant: Medicare/Medicaid Integration Project
Donor: The Robert Wood Johnson Foundation
Amount: \$183,025 grant funds in FY 1999
\$ 59,824 grant funds in FY 2000

Positions Requested (Limited Service):

One Managed Care Administrator and
One Agency Planning Specialist

The Department of Personnel expected to have vacancies to meet this staffing need, but that is not the case. We therefore propose the following:

That the Joint Fiscal Committee authorize two positions (a managed care administrator and an agency planning specialist) in connection with grant request JFO #1821.

JFO#1819 Vermont Department of Health, Alcohol and Drug Abuse
Grant: Combating Underage Drinking
Donor: U.S. Department of Justice
Amount: #360,000 in fiscal year 1999, 100% federal funds

Positions Requested (Limited Service):

One Administrative Assistant

September 4, 1998

The Department of Personnel does not have vacancy it expected earlier to meet this staffing need. We therefore request the following:

That the Joint Fiscal Committee authorize one position (one administrative assistant) in connection with grant request JFO #1819.

We appreciate your consideration of these amended position requests. We look forward to addressing your questions and concerns regarding this request on September 16.

c.c.: Kathy Hoyt, Secretary of Administration



State of Vermont

Department of Personnel

Commissioner's Office
110 State Street
Montpelier, VT 05620-3001
(802) 828-3491 (voice)
(802) 828-5580 (fax)

MEMORANDUM

TO: Members of the Joint Fiscal Committee
FROM: Eileen M. Boland, Commissioner
DATE: 9/4/98
SUBJECT: Position Category Plan -- 9/16/98 JFC agenda

Please find attached a copy of the Department of Personnel's proposal for a new method of categorizing state government positions by funding source. It is similar to the outline shared with and supported by the **Government Operations and Appropriations Committees** in both houses and the **VSEA** (Vermont State Employees Association) during the last session.

This presentation replaces an earlier submission (7/15/98) and responds to the statutory directive in Section 272(a) of the 1999 Omnibus Appropriations Act for the Joint Fiscal Committee's "review and approval." (Statutory reference is in the attached plan).

A. Overview:

The position category plan proposes to **describe and categorize positions by funding source**. This human resource management model is not uncommon in the public sector and is similar to practices in other states. It allows the legislative and executive branches to manage human resources and their funding more effectively.

- Vermont's current practice of aggregating all positions and functions regardless of funding source is replaced by **smaller, more manageable groupings**. Positions do not move between categories without budget and strategic planning reviews.
- The new system will provide flexibility in meeting human resource needs and should **reduce reliance on temporary and contracted personal services**.
- **Data systems and reporting mechanisms** are key to successful implementation. The Department of Personnel is programming the human resource management system -- **HRMS** -- to facilitate this plan. Implementation of the proposed financial management information system -- **FMIS** -- in FY 2001 will provide a vital tracking and reporting tool for this position category plan.

Members of the **extended cabinet** support this proposal. They have worked closely with Personnel to sort positions by category, identify funding sources, and fine tune the system.

Specific types of employment in the executive branch , such as exempt, classified, limited service, temporary, and confidential are outlined by statute or regulation. Under this proposal, **these types of employment will remain unchanged.**

This proposal does not address those areas in 272(a) of the 1999 Omnibus Appropriations Act assigned to the secretary of administration and the **Blue Ribbon Commission**, i.e., a review of government functions, statutory responsibilities, citizen needs, and use of state positions. Members of the Commission, however, will be briefed on this proposal.

B. Authorization to Create Positions:

Under this position management system, the **authority to create positions in each category rests with the Legislature.** The authorization process varies by position category:

- **Sponsored positions are funded fully by non-state dollars** such as federal monies and foundation grants, and are generally related to a specific program or function, and are usually time limited. **The Joint Fiscal Committee already has the authority to create such positions** as outlined under 32 VSA 5 (b). We recommend that this process continue. (Statutory reference is in the attached plan).
- **Core positions are fully funded by state dollars**, including general, transportation, enterprise, special funds, and fees. **Partnership positions are funded by a combination of state dollars and federal monies or grant funds.** Supporting positions in both the core and partnership categories will have an impact on state appropriations. Traditionally, positions supported by state dollars are requested through the annual state appropriations procedure. We recommend that this process continue.

C. Managing the Position Categories:

The various funding sources will provide different opportunities and require distinct management strategies:

- Funding for **sponsored positions** would come from non-state sources, therefore the discussion would be recast from position caps to **seeking grant opportunities and encouraging economic expansion.** Positions would be eliminated when funding ceased.
- **Partnership positions** will require some level of state funding. Frequently grant funding varies from year to year, so **tracking, reporting, and budgeting** for these

September 7, 1998

positions will be more critical than for sponsored positions. Data and experience with administering this category will inform the most effective management strategy.

- Positions in the **core category** are fully funded by state dollars, including general, transportation, enterprise, special funds, and fees. Therefore, core positions will be managed and limited through **strategic planning and the annual appropriations process**.

D. Evaluation and Reporting:

Evaluation of this system will require tracking and reporting several data: performance, fiscal, and position management over time. The Legislature may identify additional data for consideration.

The Commissioner of Personnel provides an **annual workforce report** to the Legislature as specified in the Pay Act, 3 V.S.A. Section 11 § 309(a)(19) requires information regarding “developments in state employment.” Data and analysis of the position category plan will be included in the annual workforce report.

Attachments: Position Category Plan

c.c.: Kathy Hoyt, Secretary of Administration

Department of Personnel

Position Management Plan

A. Concerns:

During the mid-to-late 1990's several trends have complicated the smooth and effective management of the state's workforce:

- **Revenue shortfalls** prompted the reduction of the workforce through Early Retirement initiatives and position cuts without an equivalent reduction of workload
- A "**position cap**" was imposed to control future growth of the workforce
- Increased Federal and state **mandates** do not establish a corresponding increase in staffing
- **Low vacancy rates** in agencies and departments
- "**Transfer and convert**" practice has limited effectiveness and exhausts the suitable vacancy pool (creating a new position from an existing vacancy)
- Increased and/or inappropriate use of **temporary employees and personal service contracts** to meet critical staffing needs
- Primary emphasis is on budget rather than **Strategic planning**, i.e., prioritizing programs (or eliminating programs) and workforce needs
- **Federal monies and/or grant opportunities** for new or expanded projects are abandoned for lack of available positions

B. Objectives:

During Fall 1997 the Department of Personnel met with a Focus Group of interested managers and personnel officers from a variety of agencies to design a method of managing positions that would address these concerns and meet the following objectives:

- Outline a position management plan that will **control** the size of the state workforce while providing **flexibility** to managers to meet workforce needs and take advantage of various **funding opportunities**.
- Define new position categories or expand the existing categories to better identify, describe, and track positions by **funding** source.

C. Considerations:

The Focus Group met several times and helped draft a plan after considering relevant information and materials:

- Statutory Authority
- Rules, Regulations, and Personnel Policies
- Labor Contract and Employee Rights
- Funding Sources and Funding Opportunities
- Vermont's Current Position Status
- Existing Position Management Models in the Public Sector

D. Plan Elements Identified:

The Focus Group and other interested parties provided the Department of Personnel with additional information and range of ideas. There was general agreement on the following:

- **Design new position categories by funding source. Sort existing positions** into these new categories. Include a review of existing long-term limited service positions. Identify any temporary positions or personal service contracts suitable for inclusion in the new categories.
- Funding sources should **consider all funds**, state (general, transportation, special, etc.) as well as grant and federal monies. Provide a check and balance on funding type with the new **FMIS** (Financial Management Information System). Where there is a mix of funding (state and non-state dollars), use "**FTE** – full time equivalency" to track positions on an annual basis.
- Recast the focus from position counting to encouraging **economic expansion** through grant opportunities and federal monies.
- Outline a **process for creating positions** in the new categories, evaluating positions on a regular basis, and renewing, abolishing, or moving a position to another category as needed.
- Expand the current budget planning process to a broader **strategic planning process**, i.e., incorporating more workforce planning and programmatic review
- Work with the VSEA and the 1998 Legislature (primarily Government Operations and Appropriations committees) by providing testimony for plan design and outlining departments needs and considering labor's concerns

E. Plan Overview:

The position category plan that was proposed by the Department of Personnel to the Focus Group, the Legislature, and the VSEA **describes and categorize positions by funding source**. The Legislature gave a statutory directive to the secretary of administration to implement this plan pending the review and approval of the Joint Fiscal Committee. (See Attachment A: The 1999 Omnibus Appropriations Act, Section 272(a))

- This human resource management model is not uncommon in the public sector and is **similar to practices in other states**. It allows the legislative and executive branches to manage human resources and their funding more effectively.
- Vermont's current practice of aggregating all positions and functions regardless of funding source is replaced by **smaller, more manageable groupings**. Positions do not move between categories without budget and strategic planning reviews. The new system will provide flexibility in meeting human resource needs and should **reduce reliance on temporary and contracted personal services**.
- **Data systems and reporting mechanisms** are key to successful implementation. The Department of Personnel is programming the human resource management system – **HRMS** -- to facilitate this plan. Implementation of the proposed financial management information system – **FMIS** -- in FY 2001 will provide a vital tracking and reporting tool for this position category plan.

Members of the **extended cabinet** support this proposal. They have worked closely with Personnel to sort positions by category, identify funding sources, and fine tune the system.

Specific types of employment in the executive branch, such as exempt, classified, limited service, temporary, and confidential are outlined by statute or regulation. Under this proposal, **these types of employment will remain unchanged**. (See Attachment D)

This proposal does not address those areas in 272(a) of the 1999 Omnibus Appropriations Act assigned to the secretary of administration and the **Blue Ribbon Commission**, i.e., a review of government functions, statutory responsibilities, citizen needs, and use of state positions. Members of the Commission, however, will be briefed on this proposal.

F. Authorization to Create Positions:

Under this position management system, the **authority to create positions in each category rests with the Legislature**. The authorization process varies by position category:

- **Sponsored** positions are **funded fully by non-state dollars** such as federal monies and foundation grants, and are generally related to a specific program or function, and are usually time limited. The **Joint Fiscal Committee already has the authority to create such positions** as outlined under 32 VSA 5 (b). (See Attachment B). We recommend that this process continue.
- **Core** positions are **fully funded by state dollars**, including general, transportation, enterprise, special funds, and fees. **Partnership** positions are funded by a **combination of state dollars and federal monies or grant funds**. Supporting positions in these categories will have an impact on state appropriations. Traditionally, positions supported by state dollars are requested through the annual state appropriations procedure. We recommend that this process continue.

G. Managing the Position Categories:

The various funding sources will provide different opportunities and require distinct management strategies:

- Funding for **sponsored positions** would come from non-state sources, therefore the discussion would be recast from position caps to **seeking grant opportunities and encouraging economic expansion**. Positions would be eliminated when funding ceased.
- **Partnership positions** will require some level of state funding. Frequently grant funding varies from year to year, so **tracking, reporting, and budgeting** for these positions will be more critical than for sponsored positions. Data and experience with administering this category will inform the most effective management strategy.
- Positions in the **core category** are fully funded by state dollars, including general, transportation, enterprise, special funds, and fees. Therefore, core positions will be managed and limited through **strategic planning and the annual appropriations process**.

H. Sample Model:

The sample provided below illustrates redefining positions and separating them into categories. Partnership positions are supported by a mix of state and non-state funds. "**Partnership FTE**" identifies that portion of a partnership position funded by state dollars. (This sample uses HRMS data and information provided by agencies and departments as of February 6, 1998.) For purposes of state appropriations, the number of **core positions and partnership FTE should be considered together**.

Redefined Positions as of February 6, 1998

AGENCY/DEPARTMENT	CORE POSITIONS	PARTNERSHIP POSITIONS	PARTNERSHIP FTE*	SPONSORED POSITIONS	TOTAL POSITIONS
Administration	9	0	0	0	9
Aging & Disabilities	11	140	33	1	152
Agriculture	53	31	19	1	85
Attorney General	36	10	3	0	46
Auditor of Accounts	13	0	0	0	13
Banking, Ins., Sec. & HCA	83	0	0	0	83
Building & General Services	309	0	0	0	309
Child Support	0	103	35	0	103
Commerce & Community Dev.	100	33	14	12	145
Corrections	808	0	0	1	809
Defender General	52	0	0	0	52
Economic Opportunity	0	9	3	0	9
Education	44	57	29	19	120
Employment & Training	4	0	0	338	342
Enhanced 911 Board	6	0	0	0	6
Environmental Conservation	128	120	25	2	250
Executive Office	19	3	0	0	22
Finance & Management	30	0	0	0	30
Fish & Wildlife	50	73	23	0	123
Forests, Parks & Recreation	84	36	17	0	120
Governor's Commis. On Women	4	0	0	1	5
Health	16	362	171	34	412
Human Rights Commission	4	0	0	0	4
Human Services Central Office	1	57	23	4	62
Labor & Industry	65	12	5	0	77
Libraries	25	14	8	0	39
Lieutenant Governor's Office	2	0	0	0	2
Liquor Control	51	0	0	0	51
Lottery Commission	20	0	0	0	20
Mental Health & VSH	0	258	98	4	262
Military	29	15	4	59	103
Natural Resources Central Office	32	7	5	0	39

Redefined Positions as of February 6, 1998

AGENCY/DEPARTMENT	CORE POSITIONS	PARTNERSHIP POSITIONS	PARTNERSHIP FTE*	SPONSORED POSITIONS	TOTAL POSITIONS
Personnel	53	0	0	0	53
Public Safety	426	12	6	13	451
Public Service Board	23	0	0	0	23
Public Service Department	39	1	1	2	42
Racing Commission	0	0	0	0	0
Secretary of State	48	0	0	0	48
Social & Rehab. Services	29	289	165	30	348
Social Welfare	0	388	155	8	396
State's Attorney/Sheriffs	129	3	1	12	144
Tax	172	0	0	1	173
Transportation	354	854	483	2	1210
Treasurer	26	0	0	0	26
VT Criminal Justice Trg. Council	8	0	0	0	8
VT Labor Relations Board	3	0	0	0	3
Vermont Veterans' Home	0	189	19	0	189
TOTALS	3398	3076	1345	544	7018

* counted as part of partnership positions

I. Evaluation and Reporting:

Evaluation of this system will require tracking and reporting several data: performance, fiscal, and position management over time. The Legislature may identify additional data for consideration.

The Commissioner of Personnel provides an **annual workforce report** to the Legislature as specified in the Pay Act, 3 V.S.A. Section 11 § 309(a)(19) requires information regarding “developments in state employment.” Data and analysis of the position category plan will be included in the annual workforce report. (See Attachment C for statutory reference to workforce reporting.)

J. Concepts Requiring Further Development

The Department of Personnel and members of the Focus Group also identified areas that need further consideration and development. It was generally felt that additional data and experience with the new position management plan and processes would be key to addressing these issues and refining the model:

- Working with the Legislature to initiate a **dialog with the citizens of Vermont** regarding the scope of government, the services offered, and the size of the State workforce. Use this information to achieve **better strategic planning**.
- Capping the **number of positions in the core** category or allowing them to increase by some indicator of the economy, the budget, or population growth. Considering those core **positions supported by fees** and special funds as a separate category
- Managing partnership positions where the **mix of funds changes over time** or where the state’s funding is strictly an **“in kind” match**
- Implementing better **electronic data systems**, particularly an interface between the human resource and financial systems (HRMS and FMIS)

Conclusion:

The Department of Personnel believes the position category plan is a reasonable first step towards achieving the goals of workforce sustainability and flexibility. The legislative and executive branches will have at their disposal an additional tool to evaluate current and future initiatives and the resources needed to achieve them.

This model as described is a pilot program and may need further refinements other than those outlined. We welcome comments and ideas towards that end.

Attachment A: 1998 Omnibus Appropriations Act

Séc. 272a. PERSONNEL; POSITION MANAGEMENT SYSTEM; COMMISSION

(a) *The secretary of administration shall implement a system of position management for state government under which **positions are categorized and managed in accordance with the nature of their funding sources**. Prior to the implementation of the plan for a system of position management and the application of any position caps or other position limitations thereunder, the secretary shall present the plan to the **Joint Fiscal Committee for its review and approval** of the plan and the appropriateness of any position caps or other position limitations. The secretary shall present the plan to the Joint Fiscal Committee for its review and approval at its July 1998 meeting.*

(b) *The system of position management shall provide at least three categories of positions, which are generally defined as follows:*

(1) **Core positions:** *Positions that are **fully funded by state dollars**, including general, transportation, enterprise, special funds, and fees.*

(2) **Partnership positions:** *Positions that are funded by a **combination of state dollars and federal or grant funds** if the federal or grant funds are reasonably expected to continue. The funding sources of these positions shall be reviewed annually.*

(3) **Sponsored positions:** *Positions that are **funded fully by nonstate dollars** such as federal grants and foundation grants, and are generally related to a specific program or function, and are usually time limited.*

(c) *The position category definitions set forth in subsection (b) of this section may be modified by the secretary of administration as is deemed necessary for the operation of the system.*

Attachment B:

32 VSA 5(b) refers to the acceptance of grants by the joint fiscal committee, in part:

(b) In accordance with subsection (a) of this section, in conjunction with a grant, a limited service position request for a position explicitly stated for a specific purpose in the grant, may be authorized. The position shall terminate with the expiration of the grant funding unless otherwise funded by an act of the general assembly. Such authorized limited service positions shall not be created until the appointing authority has certified to the joint fiscal committee that there exists equipment and housing for the positions or that funds are available to purchase equipment and housing for the positions. (Emphasis added)

Attachment C: 1997 Pay Act

Sec. 11. 3 V.S.A. § 309(a)(19) is added to read:

(19) Annually on or before January 15, the commissioner of personnel shall submit to the general assembly a report on the status of the state employee work force. The report shall consolidate reports mandated by the general assembly, as well as other information regarding developments in state employment including:

(A) Use of temporary employees.

(B) Use of limited service positions.

(C) Vacancies of more than six months' duration.

(D) Use of emergency volunteer leave under section 265 of this title.

(E) Development of compensation plans.

(F) Developments in equal employment opportunity.

Which is further amended in 1998 Omnibus Appropriations Act:

Sec. 273. WORKFORCE REPORT

The commissioner of personnel shall include in the annual workforce report a listing of the classified and exempt state positions that were abolished and those that were transferred between organizational units.

Attachment D: *Position Types*

A position in the **classified service** is filled in accordance with merit principles as administered by the Department of Personnel, and paid a salary for work performed in a position in the State classification plan.

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.

A **confidential** employee is a classified employee having responsibility for, knowledge of, or access to information relating to collective bargaining, personnel administration, or budgetary matters that would make membership in or representation by an employee organization incompatible with his or her official duties.

Exempt service positions are excluded from the classified service by State statute. These positions include State Police, temporary positions, elected and appointed positions.

There are six (6) categories of **temporary employees**: seasonal; fill-in; bona-fide emergency hires; intermittent; sporadic; or ongoing part-time (that averages less than twenty (20) hours per week during any one calendar year, not to exceed 1040 hours in one calendar year).



State of Vermont

Department of Personnel

Commissioner's Office
110 State Street
Montpelier, VT 05620-3001
(802) 828-3491 (voice)
(802) 828-5580 (fax)

MEMORANDUM

TO: Anne Noonan, VSEA Director
FROM: Eileen M. Boland
DATE: 9/16/98
SUBJECT: Amended language

A handwritten signature in black ink, appearing to read "Eileen M. Boland", written over the "FROM:" line.

E. Plan Overview:

Second dot point

Vermont's current practice of aggregating all positions and functions regardless of funding source is replaced by **smaller, more manageable groupings**. Positions do not move between categories without budget and strategic planning reviews. The new system will provide flexibility in meeting human resource needs and should **reduce reliance on temporary and contracted personal services**. Temporary positions or personal service contracts that are performing the ongoing and continued work of state government will be converted into positions in the classified service that are either limited service or permanent positions.

J. Concepts Requiring Further Development:

New bullet after second dot point.

Converting temporary positions or personal service contracts that are performing the ongoing and continued work of state government into positions in the classified service that are either limited service or permanent positions.



9/16/98 - Item 4

Mailing Address

1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295

Fax: (802) 828-2483

**STATE OF VERMONT
JOINT FISCAL COMMITTEE**
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee

From: Stephen Klott, Joint Fiscal Officer

Date: September 8, 1998

Subject: Fiscal Office Update

The Joint Fiscal Office staff continues work on a variety of projects and issues:

1. Staff Issues:

(a) *Transportation Analyst:* We have hired Chris Cole of South Hero, Vermont as our transportation analyst. He will start the week of September 21. Chris spent five years working with the New York Assembly including one session staffing their transportation committee. He will be a strong addition to our staff and should be able to hit the ground running. Office space remains a problem; making space for Chris in an accessible downstairs location at 1 Baldwin Street means foregoing interns and law students during the 1999 session.

(b) *Maternity Leave:* Catherine Benham had her baby (a boy) on September 3 and will be on maternity leave until December. In the interim Mark Perrault will be fielding property tax reform issues with an assist from Doug and I and all the staff as necessary.

(c) *Office Evaluations/staff training:* We have begun to review our legislator evaluations that have been sent to us to date. We have received 28 as compared to the 36 that came in two years ago. If you haven't filled one out please do so in order that our sample size can be a little better. The ones that have come in so far are consistent with

past responses. The only area where responses are not as positive is in “timeliness of response.” In this area respondents have moved us from between “good” and “excellent” closer to “good.” Hopefully with the added staff resources being brought on line we can improve in this area. We will present a statistical comparison to the committee at the November meeting and will include it with our office budget submissions. We are continuing the process of individual evaluations on an annual basis. Our staff have used this summer to attend a variety of NCSL seminars and training sessions. We have also moved to Microsoft Word and Excel and are in the process of learning the new system.

2. Kavet Contract: Pursuant to the Joint Fiscal Committee action during the July meeting we have negotiated a new two year contract with Tom Kavet which will be considered for approval at the Committee’s September meeting. The key changes in the contract are: (1) an hourly rate increase from \$40 to \$50 an hour, bringing him in line with the rate paid to Deb Brighton under her contract with us; and (2) expansion to new areas of work. The new contract includes the Joint Fiscal Office responsibilities to perform estimation work related to the grand list and statewide property tax revenues. In past years this was funded from a special property tax reform related appropriation. By statute this will be an ongoing Fiscal Office responsibility and is therefore being built into his contract. Also the contract includes some funds to improve the quality of our understanding of personal income tax estimates - a need discussed by Tom Kavet and identified by the Committee during the last Fiscal Committee meeting.

Due, in part, to the expanded work contained in the new contract and the economic modeling being done as a result of Act 60 which will utilize the REMI Vermont state model, I am recommending that the Joint Fiscal Office drop its subscription to the REMI model. Our ability to use the model and maintain it would be minimal and somewhat redundant, making it difficult to justify the expense (between \$5,000-12,000).

3. Education/Property Tax reform: Staffing the education reform oversight committee and questions around Act 60, its impacts and possible changes to the law still represent a sizable part of our office workload. Deb Brighton and Tom Kavet are beginning to develop the estimating tools we will need to provide financial information for legislative decision making next session.

4. The Blue Ribbon on State Government Performance and Workforce Needs: This group continues to look at personnel and agency performance issues. Maria Belliveau has provided staff support including preparation and presentation of an excellent comparative document of other states’ efforts in performance budgeting and strategic planning. Copies are available if you have interest in this.

5. Health Care Reform and the Health Care Access Committee: Mark Perrault

and Stephanie Barrett are involved in various staff work in the area of health care reform. As the House Special Committee continues its work and issues with state Medicare spending emerge, this is likely to be an increasing area of staff activity in the next few months.

A number of staff support activities and studies are underway including a look at a methodology for analyzing criminal justice policy cost implications; work with the Tax Department on the definition of household income in Act 60 income sensitivity and tax expenditures analysis; a telecommunications study and a study of state house television broadcasting; and support for the Blue Ribbon Commission on Higher Education.

Feel free to contact me with any questions you might have.



9/16/98 - Item 8.a.

STATE OF VERMONT

DEPARTMENT OF TAXES
109 STATE STREET
MONTPELIER, VERMONT 05609-1401

September 2, 1998

Representative Sally Fox, Chair
Joint Fiscal Committee
State House
Montpelier, VT 05609

Dear Representative Fox:

Section 41 of the 1998 Capital Bill requires me to report to the Joint Fiscal Committee by September 15, 1998 the results of a committee set up to study the possibility of "expanding the Tax Department revenue system to accommodate the revenue needs of state government .." (setting up a Revenue Department).

I respectfully request an extension of time beyond September 15th for the following reasons:

1. The Blue Ribbon Commission studying the efficiency of our state government will be addressing issues which will impact this matter, I believe, and they have yet to report their findings.
2. We have held several productive meetings and gathered basic data to determine the size of any hardware expansions. One of the key players in this (the Department of Employment and Training) has lost their Commissioner. This Department is a perfect candidate for this type of consolidation because they require information from the same business taxpayers as the Tax Department. We expect the new commissioner will have a different philosophy on this matter and we need to work through the planning process with the new commissioner.
3. The Tax Department has yet to fully implement its new computer system (estimated end-date is late, 1999) and it is not possible to determine additional requirements until we know how our system will handle the Tax Department load.

Because of the significant scope of this process, I feel we will be ready to report to the Joint Fiscal Committee by mid-summer, 1999.

Thank you for considering this request.

Sincerely,

A handwritten signature in black ink, appearing to read "Edward W. Haase", written over a horizontal line.

Edward W. Haase
Commissioner of Taxes

c/c: Stephen Klein, Legislative Fiscal Officer
Brian Searles, Deputy Secretary of Administration

9/16/98 - 8(b)(1)

State of Vermont
Vermont Economic Progress Council

National Life Building
Drawer 20
Montpelier, VT 05620-0501

Tel: (802) 828-5256
Fax: (802) 828-3383
e-mail: vepc@gate.dca.state.vt.us

September 2, 1998

Mr. Steve Klein
Joint Fiscal Committee
1 Baldwin, Drawer 33
Montpelier, VT 05633-5701

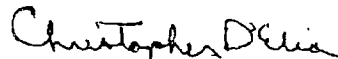
Dear Steve,

I understand you made a request for information relating to the work of the Economic Progress Council, specifically the development of the cost-benefit model. Enclosed for the committee's review are copies of the assessment of regional I/O models, a recommendation for the regional I/O based model, and a strengths and weaknesses document pertaining to REMI.

The committee should be aware that on Thursday, August 27, the Council met to discuss the recommendation of our contractor and at that time approved the purchase of a statewide REMI model. We are currently working with the Public Service Department to finalize a contract that would authorize VEPC as a secondary user. The Council anticipates having a final model ready for Joint Fiscal review by the first or second week of October. Quite a bit of development still needs to take place in order to adapt the model for specific use with the economic incentives.

If you have any questions please feel free to contact my office.

Sincerely,



Christopher D'Elia
Executive Director

Cc: Representative Sally Fox

TABLE 1
ASSESSMENT OF
REGIONAL I/O BASED MODELS
FOR USE IN VEPC COST-BENEFIT MODEL

	IMPLANpro	REMI	BEA-RIMS II	Andersen INSIGHT	RSRC	DRI/McGraw-Hill
Systems	<i>PC Windows, MS Access Database structure</i>	<i>PC Windows with cut/paste links to MS Excel, et.al.</i>	<i>Tape or Diskettes, PC Windows, Virtual Basic</i>	<i>PC, MS Excel file, optional customization</i>	<i>PC, DOS-based</i>	<i>Customized PC or mini/mainframe system</i>
Multiple User Licensing	<i>Fair</i>	<i>Poor</i>	<i>Excellent</i>	<i>Fair</i>	<i>Excellent</i>	<i>Poor</i>
Technical Support	<i>Good</i>	<i>Excellent</i>	<i>Fair</i>	<i>Good</i>	<i>Fair-Good</i>	<i>Excellent</i>
Economic Sophistication	<i>Good</i>	<i>Excellent</i>	<i>Good</i>	<i>Unknown - Probably Good</i>	<i>Good</i>	<i>Excellent</i>
Public Credibility	<i>Good</i>	<i>Excellent</i>	<i>Good</i>	<i>Fair</i>	<i>Good</i>	<i>Excellent</i>
Model Structure	<i>Based on static I/O model, flexible user inputs allow model modification and customization</i>	<i>Based on dynamic behavioral econometric and conjoined I/O model</i>	<i>Based on static I/O model, unique proprietary data for I/O regionalization</i>	<i>Based on RIMS II I/O data, relatively new product with scant track record and documentation</i>	<i>Based on static I/O model with customized regionalization</i>	<i>Based on dynamic behavioral econometric and conjoined I/O model, unique data for regionalization</i>
Cost	<i>Very Low (circa \$2K, \$8K with multiple licensing)</i>	<i>Low (normally \$55K for State, but about \$5K/year due to VT PSD purchase)</i>	<i>Very Low-Moderate (from \$0.6-\$9K)</i>	<i>Low-Moderate (from \$2-\$30K)</i>	<i>Moderate (from \$8-\$14K)</i>	<i>Very High (\$50-\$150K plus annual charge)</i>
Overall Assessment	<i>Excellent value for basic I/O model</i>	<i>Excellent system, widely used for target application. Exceptional value, given prior Public Service Department purchase.</i>	<i>Good low cost input but requires substantial additional software and economic inputs</i>	<i>New and untested system, requires further exploration and testing to determine relative quality and applicability</i>	<i>Good theoretical credentials, but co. in flux due to recent death of founder. May be sold to Rutgers U. group or other.</i>	<i>Top-of-the-line customized system, but prohibitively expensive</i>

Vermont Economic Progress Council
Economic Development Incentives - Benefit/Cost Model
August 27, 1998 - Rutland, Vermont

Issue

Determine the most appropriate economic input/output model to drive the benefit/cost calculations required by the economic development incentive legislation.

Process

Review and evaluation six separate input/output models for appropriate criteria and make recommendation for best overall model choice.

Recommendation

- ✓ Recommend purchase and use of the REMI (Regional Economic Modeling, Inc) model to provide economic input to the economic incentive benefit/cost model.

- ✓ **Strengths:**

- ✂ REMI model more accurately measures economic cost and benefits of changes in the economy:

- Adjustable to official state economic view.

- More defensible results.

- ✂ REMI model has a recognized track record and public credibility.

- ✂ REMI model is more inclusive of regional benefits and costs.

- ✂ REMI allows for secondary user license at state level for \$4,600.

- ✓ **Weaknesses:**

- ✂ REMI model complexity requires a higher skill level to operate and manage model inputs and use.

- ✂ REMI model licensing restrictions limit usage to a single site – model must be maintained and operated in a central location or must incur added cost of \$4,600 per site.

- ✓ **Possible Solutions to Weaknesses:**

- ✂ Provide application pre-screening model to regional entities.

- ✂ Contract model maintenance and operation to third party vendor with responsibility for maintaining trained staff and oversight.

RECOMMENDATION FOR REGIONAL INPUT-OUTPUT BASED ECONOMIC MODEL FOR USE IN VEPC COST-BENEFIT MODEL

**Prepared by Thomas E. Kavet and Economic & Policy Resources, Inc.
August 27, 1998**

OVERVIEW AND RECOMMENDATION

The choice of the regional I/O-based economic model to be used as an integral component of the VEPC cost-benefit model is critical to the integrity, performance and credibility of the VEPC model. For this reason, we have surveyed a wide range of potential regional I/O-based economic models and focused on six of the best known such models in greater depth (see Table 1). These six models - IMPLAN, REMI, RIMS II, INSIGHT, RSRC and DRI - have all been used in comparable economic impact applications, are available in an electronic format allowing customized PC-based model construction, and are based on U.S. Department of Commerce, Bureau of Economic Analysis, national input-output data. Following review and discussion of these models at the VEPC Advisory Group meeting on August 5, we further narrowed our focus to REMI and IMPLAN.

Based on more extensive analyses and discussions with senior personnel at REMI and IMPLAN, we recommend use of REMI as the primary economic driver for the VEPC cost-benefit model.

ECONOMIC MODEL COMMENTARY: REMI VS. IMPLAN

As summarized below, the choice of REMI as the primary economic model is based on a confluence of important technical economic and software advantages over IMPLAN, its superior public credibility for this type of application, and last, but not least, the fact that we can purchase REMI at a very competitive rate, due to previous and ongoing Vermont Public Service Department contracts with REMI. The only disadvantages to REMI are in its regional licensing restrictions and higher ongoing operational costs.

Economic Sophistication: The REMI model is fundamentally different from and superior to the IMPLAN model in that it is a dynamic econometric model conjoined to a regional I/O model and not simply a static regional I/O model. There are many benefits to this enhanced economic sophistication, including comprehensive economic feedback effects and detailed economic and demographic output that allows for significantly better revenue and cost estimation. However, while the REMI model complexity renders its output much more accurate and defensible, it also requires a significantly higher skill level to operate and maintain. The REMI model may also be calibrated for consistency with the official State economic forecasts, used for both Administration and Legislative revenue estimation purposes.

Public Credibility: One of the most important advantages to REMI is its widespread use in the target application—what we are trying to accomplish with VEPC. REMI is currently employed by a number of state and local government entities in evaluating economic development incentives and, as illustrated in the handouts from the State of Florida distributed at the August 5 Advisory Group meeting, has endured the kind of intense public scrutiny that is likely to accompany this type of application.

Access to and Quality of Technical Support: The tight development schedule required for the VEPC cost-benefit model will demand frequent and timely technical support from the model vendor during both development and the first few months (at least) of operation. Our recent experience with access to senior REMI personnel and their physical proximity to Vermont (Amherst, MA) represents a distinct advantage in effecting an operational VEPC cost-benefit model at the earliest possible date.

Operational Software: REMI Insight v.1.0 MS Windows-based software, beta tested by the Vermont the PSD and Vermont Legislative JFO earlier this year, and released about a month ago, is tailored to the type of use envisioned by the VEPC model. Accordingly, there will be less (though still significant) time and effort required to customize this for VEPC use. We expect that VEPC model and software enhancements will be continuous throughout the first year or two of operation, as working experience dictates.

Multiple Licensing Restrictions: Both REMI and IMPLAN limit usage to a single site (though REMI does have a contract provision for a single secondary site “primary user assistant” at no extra cost). However, IMPLAN is inexpensive enough so that a 13 user license would only cost about \$8K. Multiple REMI sites would cost about \$4,600 per site, prohibitively expensive for all 12 RDC locations. The REMI model is also considerably more complex to run, and thus would require significantly greater ongoing technical support and training in order to be useable in multiple sites. With REMI, we recommend distribution of an MS-based model “screening system” to the RDCs with a more detailed application form that could be submitted electronically to a central processing location housing the full REMI model and complete VEPC cost-benefit model. For the largest economic incentive applicants, model input and oversight by a senior economist will be required.

Cost: The REMI State model for Vermont would normally cost \$46,000 plus an annual maintenance and support fee of \$9,200. Because the Vermont Public Service Department has purchased the State model previously and currently pays an annual maintenance fee of \$10,200, another State agency may use the same model for an additional \$4,600 annual maintenance fee. The final annual cost to VEPC may include a portion of the \$10,200 fee paid by the PSD, subject to negotiation with the PSD. In 1998, the JFO paid \$500 of the PSD fee plus \$4,600 for access to the REMI model. Thus, assuming a similar arrangement with the PSD, we might expect to pay about \$5,100 per year for the REMI model. In the unlikely event that the PSD discontinued its use of REMI, the annual maintenance cost to VEPC could rise to \$9,200. Because the PSD contract with REMI is on a calendar year basis, we will need to pay an additional \$2,300 (50% of the annual maintenance fee) for use of the REMI model from 9/98 through 12/98.

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National Life Building
Drawer 20
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Tel: (802) 828-5256
Fax: (802) 828-3383
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September 2, 1998

Mr. Steve Klein
Joint Fiscal Committee
1 Baldwin, Drawer 33
Montpelier, VT 05633-5701

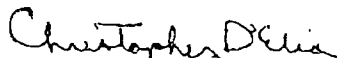
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Sincerely,



Christopher D'Elia
Executive Director

Cc: Representative Sally Fox



STATE OF VERMONT
AGENCY OF ADMINISTRATION


August 20, 1998

Representative Sally Fox
Chair, Joint Fiscal Committee
One Baldwin Street
Montpelier, Vermont 05633

Dear Representative Fox:

As required by Act 61 of 1997, §252, attached is the report of excess receipts approved by the Secretary of Administration for the four quarters of fiscal year 1998 (July 1, 1997 – June 30, 1998).

Sincerely,


for Kathleen C. Hoyt
Secretary of Administration

Attachment
KH:kdo

EXCESS RECEIPTS APPROVED FOR FY 1998: July 1, 1997 - June 30, 1998

DEPARTMENT	DATE RECEIVED	DATE APPROVED	FEDERAL FUNDS	SPECIAL FUNDS	INTERNAL SVC FUNDS	INTER DEPT'L TRANSFERS	OTHER	TOTAL	DEPT TOTAL	SOURCE OF RECEIPTS	PURPOSE
GENERAL GOVERNMENT:											
Secretary of Administration	4/10/98	4/14/98					9,550	9,550		Transfer from Tax Dept.	Contractual cost
	4/2/98	4/10/98		307,384				307,384		School and government user receipts for GovNet	Internet access for schools, government data circuitry capacity
	6/19/98	6/23/98		101,000				101,000		Government Users Surcharge	Phone and Internet bills
									417,934		
Buildings & General Services	8/15/97	8/20/97					7,336	7,336		Engineering services performed for Johnson	Purchase of personal computers used for engineering services.
	1/29/98	2/10/98						32,935		GF Bond-Fed Crime Leg Grants held by Correction	Engineering work for converting Waterbury hospital to women's prison
	2/11/98	2/20/98		50,000				50,000		"Friends of the Statehouse" funds for renovations	Renovations to first floor of the Statehouse
	2/17/98	2/20/98					41,156	41,156		Engineering for AOT-rest areas, NE Correc. Facility	Personal Computers and Laptops , and additional P/S cost
	3/26/98	5/14/98		275,000				275,000		Sale of Brandon Training School	Costs associated with BTS sale
	5/8/98	5/15/98		40,000				40,000		BGS - Public/Vital Records	CD-ROM technology
	5/14/98	5/27/98			188,000			188,000		Property management receipts	Maintenance costs
	5/14/98	5/19/98			9,000			9,000		Property management receipts	Personal services costs
	5/14/98	5/19/98			54,000			54,000		Copy Center receipts	Personal services costs
	5/14/98	5/19/98		80,000				80,000		Donations - State House Restoration	Restoration costs
	6/24/98	6/25/98		40,000				40,000		BGS - Public/Vital Records	Equipment replacement
	6/24/98	6/25/98					20,000	20,000		AOT	Work at interstate rest areas
									837,427		
Libraries	10/29/97	10/31/97		1,892				1,892		Surplus Property-closing of Southwest Regional	Books for Midstate Regional Library
	4/13/98	4/21/98		500				500		Smith Children's Endowment	Pass through grant for children's books
									2,392		
Auditor of Accounts	6/16/98	6/19/98			70,200			70,200		Single audit receipts	Single audit contract
									70,200		
Vermont Labor Relations Board	5/6/98	5/12/98		3,624				3,624		Transcripts/publications	Operating expenses
									3,624		
Executive Office	5/13/98	5/19/98		365				365		Surplus property	Operating expenses
									365		
Sergeant at Arms	5/6/98	5/12/98		960				960		Surplus property	Operating expenses
									960		
Joint Fiscal Office	6/19/98	6/23/98				18,127		18,127		Electric restructuring transfer from Public Service	Utility restructuring contract and operating expenses
									18,127		
PROTECTION:											
Attorney General	3/25/83	4/22/98		30,400				30,400		Consumer fraud penalties	Taxes for property
	6/22/98	6/30/98	14,000			61,000		75,000		Professional Licensing Board & Medicaid	Services to Board and to prosecute Medicaid fraud case
									105,400		
Center for Crime Victim Services	4/17/98	4/23/98		20,000				20,000		Subrogation receipts	Payment claims to crime victims
	4/17/98	4/23/98		28,000				28,000		Traffic fine receipts	Payment claims to crime victims
									48,000		
Military	7/21/97	7/31/97	413,000					413,000		National Guard Bureau	To repair and maintain 100% federal facilities
	8/22/97	12/30/97	1,899,767					1,899,767		National Guard Bureau	To repair and maintain 100% Federal facilities
	3/13/98	3/16/98					12,909	12,909		Bldg. maint receipts-Energy Efficient prog w/ Guard	Electrical retrofitting of the two main facilities of the Guard
	5/16/98	5/19/98	228,293					228,293		FEMA	Expenses of 1998 ice storm
									2,553,969		
Labor and Industry	4/30/98	5/27/98	32,200	221,626				253,826		Various special funds and VOSHA	Personal service; pay act cost, overtime, operating; travel and training
									253,826		
Secretary of State	5/20/98	5/27/98		41,000				41,000		Regulatory fee funds	Legal expense and pay act related

DEPARTMENT	DATE RECEIVED	DATE APPROVED	FEDERAL FUNDS	SPECIAL FUNDS	INTERNAL SVC FUNDS	INTER DEPT'L TRANSFERS	OTHER	TOTAL	DEPT TOTAL	SOURCE OF RECEIPTS	PURPOSE
									41,000		
VT Criminal Justice Training Cncl	5/4/98	5/12/98		95,000				95,000		Training fees	Personal services and operating
									95,000		
Liquor Control	10/21/97	11/20/97				2,877		2,877		Dept of Health - Office of Alcohol & Drug Abuse	Administration of DARE program at 7 VT elementary schools
	12/30/97	2/2/98				19,989		19,989		Governor's Highway Safety Program	Random alcohol compliance surveys on second class licensees (stores)
	6/29/98	7/6/98			48,750			48,750		L.C. receipts	Personal service expenses
									71,616		
Agriculture, Food and Markets		7/28/97	7,000					7,000		US EPA	Production of Farmer's Guide to Environmental Programs in Vt.
	8/26/97	8/29/97	35,700					35,700		Pesticide Enforcement Grant	Plant industry lab equipment upgrade
	8/26/97	8/29/97		14,000				14,000		Vermont Dairy Promotion Council	Administration of the dairy promotion program.
	9/12/97	10/3/97		15,000				15,000		Northeast Dairy Export Council - MA and PA	Promotion of the export of dairy cattle
	9/12/97	10/3/97	13,750					13,750		Northeast Dairy Export Council - USDA	Promotion of the export of dairy cattle
	9/22/97	1/14/98		38,675				38,675		Vermont Dairy Promotion Council	Promotion of agricultural prod.; School Lunch Milk Temperature Project
	4/10/98	4/21/98		25,000				25,000		Eastern States Building Fund	Revenue to operate the Eastern States Building
	5/18/98	5/19/98	2,165					2,165		Pest Disposal II/USDA	Administration operating expenses
	5/19/98	5/27/98	794					794		Dairy export/USDA	Grant indirect expenses
	5/20/98	6/1/98	3,032					3,032		Dairy export/USDA	Operating expenses in Ag. Development
									155,115		
E-911 Board	8/19/97	8/26/97		23,233				23,233		Universal Service Fund	Payments to town that completed qualifying for funds.
	1/26/98	2/13/98		2,500,000				2,500,000		Universal Service Fund	Contract delayed - Funds for Bell Atlantic, system implementation
									2,523,233		
Judiciary	11/18/97	12/30/97				176,025		176,025		Office of Child Support	Development and test electronic data transfer of OCS case information and post OCS information on the internet
									176,025		
Banking, Ins, Sec & HCA	4/13/98	4/30/98		56,000				56,000		Various department special funds	Personal service costs
	4/13/98	4/30/98		55,000				55,000		Captive Insurance special fund	Personal service costs for relocated position
	6/1/98	6/5/98		37,500				75,000		Transfer of Medicaid funds from DSW, HCA SF	Contract to survey medically uninsured
	6/1/98	6/5/98		100,000				100,000		HCA special fund accounts	Review of managed care plans
									286,000		
Public Safety		2/2/98	1,162,770					1,162,770		Fed funds for tri-state NCHIP project	Automated Fingerprint Identification System contract w/Printrak Int'l.
	1/8/98	1/29/98		107,000				107,000		Hazardous Chemicals Emergency Response Fund	Equip and misc operating exp. in RERC & grants/commissions in SERC
	4/7/98	4/14/98	212,687					212,687		Law Enforcement Block Grant	SP Overtime and pass through grants to local police departments
	4/7/98	4/14/98	2,065					2,065		Grant to encourage Arrests	SP overtime related to program in St. Albans
	4/7/98	4/14/98	53,500					53,500		Federal Boating Safety	Auxiliary personal services
	4/7/98	4/14/98	28,000					28,000		Federal MERT	Marijuana eradication personal services
	4/7/98	4/14/98		260,407				260,407		Special projects funds	Personal services overtime for SP special projects
	4/7/98	4/14/98	35,000					35,000		U.S.Customs	Personal services overtime for SP assisting Customs agents
	4/7/98	4/14/98	68,500					68,500		FEMA	Emergency Management operating expenses
	4/7/98	4/14/98	63,000			49,000		112,000		FEMA and ACCD transfer	Emergency Management pass through grants for ice storm
	4/7/98	4/14/98	6,000					6,000		FEMA	Emergency Management personal services
	5/8/98	5/21/98				62,500		62,500		VT Center for Criminal Justice Research	Criminal Justice personal services.
	5/8/98	5/21/98				20,000		20,000		E-911 Board	Criminal Justice personal services and operating expenses
	5/8/98	5/21/98		39,114				39,114		Evidence forfeiture	Criminal Justice operating expenses
									2,169,543		
Fire Service Training Council	12/9/97	2/13/98	30,000					30,000		Grant for enhancement to Pittsford Trng. Facilities	Enhancements to training facilities at Pittsford
	6/22/98	6/30/98				30,000		30,000		Emergency Management	Instructors expenses
									60,000		
Public Service	3/5/98	3/30/98		800,000				800,000		Billback Reimbursement	Payment of Contractors
	4/16/98	5/5/98		12,800				12,800		Petroleum Violation escrow	Grants to low income Vermonters
	5/19/98	6/1/98		270,000				270,000		Billback Reimbursement	Payment of Contractors
	6/1/98	6/8/98	21,614					21,614		Previous year federal receipts	Personal service costs and grants
	6/1/98	6/8/98		505				505		Surplus property	Operating expenses
	6/1/98	6/30/98		73,790				73,790		Gross revenue tax receipts	P/S costs for temporaries for Chittenden Building problems
	6/6/98	6/15/98		6,800				6,800		Billback Reimbursement	Personal service costs

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									1,185,509		
Public Service Board	6/1/98	6/5/98		205,000				205,000		Rate case reimbursement	Payroll, contractor and operating costs
	7/5/98	7/8/98		8,400				8,400		Rate case reimbursement	Payroll costs
									213,400		
State's Attorneys	2/5/98	2/13/98	2,278					2,278		Ctr Crime Victim Svcs-Victim of Crime Acts Assist.	Computer for Northwest Unit for Specialized Investigations
	5/13/98	5/27/98		41,109				41,109		Women Helping Battered Women grant	P/S and operating expenses
	5/13/98	5/27/98	43,209					43,209		Byrne grant	P/S and operating expenses
	5/13/98	5/27/98		7,357				7,357		DUI Resource Attorney grant	P/S expenses
	5/13/98	5/27/98				87,978		87,978		Transfer form CCVS, re: STOP grant	P/S and operating expenses
	5/13/98	5/27/98				32,009		32,009		Transfer form CCVS, re: VOCA grant	P/S and operating expenses
									213,940		
HUMAN SERVICES:											
AHS - Central Office	5/12/98	5/19/98	87,605	87,605				175,210		Earned federal & special funds pursuant to Act 59	Contract for provider reimbursement
	6/16/98	6/23/98	73,600					73,600		TANF	Routine operating
	6/16/98	6/23/98	89,100					89,100		TANF	Personal service contracts and non-GF payact expense
	6/16/98	6/23/98	21,894					21,894		Federal indirects	Operating to pay higher than anticipated single audit bill
	6/16/98	6/23/98	24,815					24,815		Miscellaneous federal	Federal share of payact
	6/16/98	6/25/98	66,962					66,962		Earned federal funds from previous years	Capital expenditures from FY 1995
	7/2/98	7/8/98	357,000			96,000		453,000		Federal match for Succ. beyond 6 and IT from Educ	Success Beyond 6 grants
	7/9/98	7/9/98	31,000					31,000		Federal match for FY 96 capital funds expenditure	Support of capital commitments
									935,581		
AHS - Human Service Board	5/7/98	5/13/98	4,500					4,500		Earned federal receipts	Operating expenses
	6/18/98	6/23/98	3,400					3,400		TANF	Federal share of payact
	6/18/98	6/23/98	2,056					2,056		Miscellaneous federal funds	Federal share of payact
									9,956		
Aging & Disabilities	1/8/98	1/27/98		312,313				312,313		Act 160 Special Fund	Community commitments for alternative community services
									312,313		
Corrections	8/28/97	12/10/97				227,885		227,885		Grant received by Ctr. For Crime Victim Svcs.	Intensive Domestic Abuse Intervention Project
	12/17/97	2/6/98				73,875		73,875		Fed. Carl Perkins funding to Education Dept.	Ed. of young offenders for transfer from institution, etc. to unsub. emplmt.
	1/16/98	1/22/98			250,000			250,000		Correctional Industries receipts	Operating Costs of VCI, Incl. costs for installers of school contracts
	4/1/98	6/1/98			150,000			150,000		Correctional Industries receipts	Materials for VCI products
	4/16/98	4/27/98		50,000				50,000		Supervision fees from Correctional Services	Costs associated with fee collection - operating expenses
	4/16/98	4/27/98		75,000				75,000		Correctional Facilities Recreation fund	Additional hours for Recreation Coordinator for increased population
									826,760		
Social & Rehabilitation Services	4/24/98	5/5/98	84,636					84,636		Child Care Development fund	Personal service and operating expenses
	4/24/98	5/5/98				6,518		6,518		Transfer from Department of Education	Routine operating and replacement appliances
	4/24/98	5/5/98	97,629					97,629		Social Security Administration	Payroll cost
	6/9/98	6/10/98	1,015,000					1,015,000		Medicaid IV-E	Closeout expenses
									1,203,783		
Developmental & Mental Health S	12/17/97	3/30/98	89,818	135,891		42,166		267,875		Self determination project	Support and training for the developmentally disabled
	4/1/98	6/16/98	565,475	38,219		309,836		913,530		Medicaid, SRS transfer, school receipts	Support for clients with developmental disabilities
	6/1/98	6/16/98	495,125	24,584		282,016		801,725		Medicaid, SRS transfer, school receipts	Support for clients with developmental disabilities
									1,983,130		
Health	3/19/98	3/20/98					40,785	40,785		Unused previous year funds	Pentop technology/laptop computers for sanitarians-food & lodging prog.
	5/8/98	6/3/98				15,000		15,000		IT from DEC for air quality work	Grant for employee training
	5/8/98	6/3/98	11,000					11,000		Indoor Radon grant	Grants to Fairbanks Museum
	5/8/98	6/3/98	81,179					81,179		USDA Food Stamps	One-time grants to non-profits for nutrition programs
	5/8/98	6/6/98				25,000		25,000		IT from DEC for air quality work	Operating expense for computers
	5/8/98	6/6/98	260,000	36,500				296,500		WIC Food grant and Dairy Compact rebates	WIC food products
	5/8/98	6/16/98	50,000					50,000		Federal EMS grant	EMS expenses and grant
	5/8/98	6/16/98	291,928					291,928		Medicaid Administration	Operating expense for computers in Admin, Health Imp., & CPH
	5/8/98	6/16/98	146,000					146,000		Cancer registry grant	Operating expense for computers in Administration and Surveillance
	5/8/98	6/16/98	167,930					167,930		WIC Administration grant	Routine operating expenses
	5/8/98	6/16/98	500,000					500,000		Part H - Families, Infants and Toddlers grant	Grants to statewide non-profits to run the part H FIT program
	5/8/98	6/16/98	180,500					180,500		Alcohol and Drug Abuse block grant	Operating expenses in ADAP and Administration, including computer

DEPARTMENT	DATE RECEIVED	DATE APPROVED	FEDERAL FUNDS	SPECIAL FUNDS	INTERNAL SVC FUNDS	INTER DEPT'L TRANSFERS	OTHER	TOTAL	DEPT TOTAL	SOURCE OF RECEIPTS	PURPOSE
	5/8/98	6/16/98	95,000					95,000		OSHA grant	Pay act, non-general fund share in Health Protection
	5/8/98	6/16/98	90,000					90,000		OSHA grant	Operating - computers and related in Administration and Protection
									1,990,822		
Office of Economic Opportunity	3/5/98	3/30/98		123,446				123,446		Weatherization Trust Fund	Pmts to grantees for admin of programs to assist low income Vermonters
	3/5/98	3/30/98		111,468		34,624		146,092			Admin & install. of energy efficiency measures for low-income rental units
	3/5/98	3/30/98		258,884		80,413		339,297			Energy efficiency measures targeted to low-income rental units
									608,835		
Social Welfare	1/19/98	1/20/98		500,524				500,524		LIHEAP Grants	Home Heating Assistance Benefits
	4/16/98	4/21/98		500,000				500,000		FEMA - Ice Storm	Disaster relief grants
	6/15/98	6/23/98	185,000					185,000		TANF	General assistance grants
									1,185,524		
EDUCATION											
Education	5/18/98	6/4/98	108,000					108,000		Medicaid	Contractual services for processing Medicaid claims
	5/18/98	5/28/98	60,000					60,000		Adult Education	Cash requests for sub-recipients
	5/18/98	5/28/98		26,800				26,800		Teacher licensing fees	Unbudgeted expenses
									194,800		
NATURAL RESOURCES:											
Admin, Management & Planning	3/11/98	3/17/98		22,000				22,000		EPA Lake Champlain Basin Program Grant	Grant to Monitor Internat'l-Lake Toba /Champlain Sister Lakes Exch.
	3/8/98	4/27/98		15,000				15,000		Solid Waste Management Assistance	Operating expenses related to fully staffing enforcement unit
									37,000		
Forest, Parks and Recreation	8/14/97	8/28/97		75,000		115,000		190,000		Donation, Vt Recreational Trails fund, interdep	Additional VYCC crews.
	4/23/98	5/19/98	387,000	69,000		124,000		580,000		FEMA, Parks Special Fund, JTPA transfer from DET	Ice storm clean up
	3/12/98	3/19/98	130,000	118,695				248,695		FEMA and snowmobile registrations	Repair of flood damaged trails (FEMA)- trail maintenance (registrations)
									1,018,695		
Environmental Conservation	5/11/98	5/14/98	44,000					44,000		Federal grants	Grants and contracts as part of federal work plan
	5/21/98	5/27/98	152,000					152,000		Water - Performance Partnership grant	Pass through grants
	5/27/98	6/1/98				165,000		165,000		AOT transfer (80% federal ISTEa)	Air emissions reduction project operating expense
	6/25/98	6/26/98	10,000					10,000		Federal indirect cost recoveries	Payroll cost in water programs
									371,000		
COMMERCE & COMM DEVELOPMENT:											
Economic Development	4/8/98	4/10/98		9,000				9,000		ISO 9000 fees	ISO 9000 training
Tourism and Marketing	11/19/98	6/1/98				49,000		49,000		AOT transfer	Operating expenses for Information Centers
									58,000		
Housing & Community Affairs	7/10/97	7/16/97	1,091,825					1,091,825		FEMA	Floods - August, 1995, January, 1996, June, 1996
	8/11/97	8/17/97		9,500		6,500		16,000		ISTEA Grant, Mt Independence Coalition fundraisin	Archeological planning project for trails & devel. of Mount Independence
	10/17/97	11/12/97	289,990					289,990		Housing and Urban Development (HUD)	Community Development Block Grants to municipalities
	2/20/98	3/4/98				50,000		50,000		Fed. Dept of Trans. - AOT ISTEa Program	Engineering & supervision of Highgate Lenticular Arch Bridge
	2/20/98	3/4/98	1,775					1,775		Fed. Institute of Museum Svcs. Grant	Advise DHP on improvement of operation at Bennington Monument
	3/17/98	3/25/98	99,000					99,000		HUD-CDBG 1% tech assistance carryforward	Consultant fee for producing "Grants Management Guide", etc.
	7/8/98	7/9/98	48,020					48,020		HUD-CDBG	Close-out grant requests
	5/11/98	5/19/98	26,845					26,845		Federal Historic Preservation	Historic preservation grants to local governments
	5/15/98	5/19/98	4,500					4,500		Federal Battlefield Protection Program	Mirror Lake Shot from Civil War
	5/15/98	5/19/98				22,438		22,438		ISTEA from AOT and VT Rec. Trails from ANR	Mt Independence
	6/10/98	6/11/98	15,000					15,000		FEMA	Expenses related to the 1997 flood
									1,665,393		
TRANSPORTATION:											
AOT-Paving	12/4/97	12/5/97	7,000,000					7,000,000		Federal Highway Administration	Various paving projects already under contract
	6/9/98	6/11/98	1,500,000					1,500,000		FHWA	Paving contracts
AOT-RAPT	12/29/97	12/30/97	2,000,000					2,000,000		Federal Highway Administration	Burlington International Airport
	1/6/97	10/12/97					5,533	5,533		Town/local community share of projects	RAPT projects
	2/12/98	2/20/98	2,000,000					2,000,000		Federal Aviation Administration	Burlington International Airport
	4/6/98	4/7/98	600,000					600,000		FHWA	Public transit projects
	4/28/98	4/29/98	1,500,000					1,500,000		Federal Transit Administration	Rutland multi-modal transit center
	6/11/98	6/16/98	750,000					750,000		Federal Transit Administration	Rutland multi-modal transit center

DEPARTMENT	DATE RECEIVED	DATE APPROVED	FEDERAL FUNDS	SPECIAL FUNDS	INTERNAL SVC FUNDS	INTER DEPT'L TRANSFERS	OTHER	TOTAL	DEPT TOTAL	SOURCE OF RECEIPTS	PURPOSE
	6/29/98	7/6/98		240,000				240,000		Local Match	Rutland multi-modal transit center
AOT - Administration	6/9/98	6/11/98	14,000					14,000		FHWA	Civil Rights Program
AOT - Planning	6/18/98	6/23/98	150,000					150,000		FTA	Regional Planning Commission grants
AOT - Maintenance	5/14/98	5/19/98	1,500,000					1,500,000		FHWA	Flood and ice storm damage
AOT - Federal Technical Assistan	4/14/98	4/21/98	30,000					30,000		FHWA	VT Local Roads program
Department of Motor Vehicles	6/22/98	6/23/98	100,000					100,000		FHWA	MCSAP program equipment
									17,389,533		
TOTALS			29,158,430	8,872,870	769,950	2,400,318	92,162	41,293,730	41,293,730		

Sept 16, 1998 mtg.
mailed 9/8/98

DISTRIBUTION LIST **Joint Fiscal Committee Agenda Material**

	<u>Full</u> <u>Packet</u>	<u>Agenda +</u> <u>Approp.</u> <u>Item[s]</u>	<u>Minutes</u>
✓ JFC members	10 [1 each]		10 [1 each]
JFO: <i>Stephanie/mark (share)</i>			
Catherine	1		1
Doug	1		1
Maria	1		1
Steve	1		1
Ginny	1		1
Thak permanent file	1		2
Others: ✓ <i>Brian Seales</i>			
Secretary of Admin.:			
✓ Secretary	1		1
✓ Asst. to Secretary	1		1
✓ Bill Russell	1		
✓ Herb Olson	1		
Finance & Management:			
✓ Commissioner & Deputy Comm.	2		2
✓ Otto Trautz	1		1
Larry Masterson			1
✓ Personnel Commissioner	1		1
Agencies/depts. [with item(s) on agenda]		*Agenda for each dept.; 1-2 full sets to be distributed item-by-item to dept. [& super-agency head] as appropriate	
Personnel [Rossi Noyes]			1
Legislators/others:			
✓ -Rep. Pembroke		1 + Transp. item(s)	
✓ -Rep. Vincent		1 + Education item(s)	
✓ -Speaker Michael Obuchowski	1		
✓ -Rachel Levine		1 + restructuring item(s)	
✓ -Commission on Women		1	
✓ -VSEA (Nicole Dewing)		1	
-extras [press, meeting]	<u>5</u>		
	30		24+
✓ <i>Carl Soundiff</i>			



Mailing Address
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee Members

From: Rebecca Buck, Staff Associate

Date: September 14, 1998

Subject: Grant Requests

Enclosed please find two (2) requests which the Joint Fiscal Office recently received from the Administration.

JFO #1831 - \$100,000 grant from the U.S. Department of Housing and Urban Development to the Human Rights Commission. These funds will be used to expand the Commission's fair housing outreach, education, enforcement and conciliation activities. The Commission is requesting Joint Fiscal Committee approval for one (1) part-time, limited service position – State Investigator—Human Rights.
[JFO received 9/14/98]

JFO #1832 - \$50,000 grant from the U.S. Environmental Protection Agency to the Department of Environmental Conservation. The Department is requesting Joint Fiscal Committee approval for one (1) limited service position – TMDL Coordinator – for the duration of the grant. This Total Maximum Daily Load (TMDL) grant will support the requested position to carry out the necessary water quality assessments, studies and reviews for the purpose of completing 12 to 15 "total maximum daily loads" of pollution in selected waters of the state.
[JFO received 9/14/98]

The Joint Fiscal Office has reviewed these submissions and determined that all appropriate forms bearing the necessary approvals are in order.

In accordance with the procedures for processing such requests, we ask you to review the enclosed and notify the Joint Fiscal Office if you would like any items held for Joint Fiscal Committee review and action at the November meeting. Unless we hear from you to the contrary by Monday, September 28 we will assume that you agree to consider as final the Governor's acceptance of these requests.

cc: Kathleen Hoyt, Secretary
Thomas Pelham, Commissioner
Michael Clasen, Analyst
Harvey Golubock, Executive Director
John Kassel, Secretary
Canute Dalmasse, Commissioner

STATE OF VERMONT
GRANT ACCEPTANCE FORM

JFO# 1831

GRANT SUMMARY:

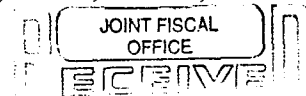
DATE: September 8, 1998

DEPARTMENT: Human Rights Commission

GRANT / DONATION: Cooperative Agreement for Fair Housing Assistance
Program Comprehensive Funding

GRANTOR / DONOR: U.S. Department of Housing and Urban Development

AMOUNT / VALUE: \$100,000 For the period 10/1/98-9/30/99
\$100,000 For the period 10/1/99-9/30/00
Thereafter, \$18,000 annually for training and \$1,700 - \$2,200
per housing case completed



POSITIONS REQUESTED (LIMITED SERVICE):

One part-time Limited Service Position for the duration of the grant.

COMMENTS:

SEP 14 1998

This grant, provided under the Fair Housing Assistance Program, provides funds to state fair housing agencies, which operate in a manner substantially equivalent to federal law. The funds will be used to expand the Vermont Human Rights Commission fair housing outreach, education, law enforcement and conciliation activities.

In addition to the limited service position above, the Human Rights Commission will retain, on a contract basis, a private attorney to handle some litigation on a case by case basis. The contract will be funded solely with grant funds. It is anticipated the Commission will also hire occasional temporary clerical assistance as needed to handle the typing and paperwork associated with grant activities and as a result of the federal reporting requirements.

No state matching funds are required to support the activities under this grant.

DEPARTMENT OF FINANCE AND MANAGEMENT:
SECRETARY OF ADMINISTRATION
SENT TO JOINT FISCAL OFFICE:

(INITIAL) MS
(INITIAL) KCH
DATE: 9-14-98

STATE OF VERMONT
REQUEST FOR GRANT ACCEPTANCE
(use additional sheets as needed)

AUG 27 1998

FORM AA-1
(Rev. 9-90)

1. Agency: Human Rights Commission
2. Department:
3. Program:
4. Legal Title of Grant: HUD Fair Housing Assistance Program Comprehensive Funding
5. Federal Catalog No.: HUD Appropriation No. 868/90144
6. Grantor and Office Address: U.S. Department of Housing & Urban Development,
Fair Housing Office, 10 Causeway Street, Room 321, Boston, MA 02222-1092
7. Grant Period: From: 10/1/98 To: 9/30/99
8. Purpose of Grant: (attach additional sheets if needed)
Expand Human Rights Commission's fair housing outreach, education, enforcement, and conciliation. See attached contract documents.
9. Impact on Existing Programs if Grant is not Accepted:
Commission will be able to do less of the activities described in item #8 above if it does not accept the grant.

0. Budget Information:	(1st State FY) FY 1999	(2nd State FY) FY 19	(3rd State FY) FY 19
EXPENDITURES:			
Personal Services	\$ 75,000 *	\$	\$
Operating Expenses	\$ 25,000 *	\$	\$
Other	\$	\$	\$
	* Not all funds will be spent during contract period. Some will be spent in subsequent years.		
TOTAL	\$ 100,000	\$	\$
EVENUES:			
State Funds:			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
Federal Funds:			
(Direct Costs)	\$ 90,000	\$	\$
(Statewide Indirect)	\$ 5,000	\$	\$
(Department Indirect)	\$ 5,000	\$	\$
Other Funds:			
(source) _____	\$	\$	\$
TOTAL	\$ 100,000	\$	\$

Grant will be allocated to these appropriation expenditure accounts:	Appropriation Nos.	Amounts
Human Rights Commission-	0102900801	\$75,000
	0102900801	\$25,000

Will grant monies be spent by one or more personal service contracts?

☒ YES ☐ NO

If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

x Emily Joselson
Emily Joselson, Commission Chair

2a. Please list any requested Limited Service positions:

Titles	Number of Positions
State Investigator-Human Rights (part time)	One Position
TOTAL	

2b. Equipment and space for these positions:

☒ Is presently available.

☐ Can be obtained with available funds.

3. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.

Emily Joselson
(Signature)
Emily Joselson, Commission Chair
(Title)
8/26/98
(Date)

4. Action by Governor:

☒ Approved

☐ Rejected

Karl Dean
(Signature)
9/1/98
(Date)

5. Secretary of Administration:

☐ Request to JFO

☐ Information to JFO

(Signature) (Date)

6. Action by Joint Fiscal Committee:

(Dates)

☐ Request to be placed on JFC agenda

☐ Approved (not placed on agenda in 30 days)

☐ Approved by JFC

☐ Rejected by JFC

☐ Approved by Legislature

(Signature) (Date)

U.S. Department of Housing
and Urban Development
Office of Administration

AUG 24 1998

1. Instrument Cooperative Agreement <input type="checkbox"/> Grant		2. Type of Action <input checked="" type="checkbox"/> Award <input type="checkbox"/> Amendment	
3. Instrument Number FF201K981005		6. Control Number 98-05	
4. Amendment Number		5. Effective Date of this Action	
7. Name and Address of Recipient State of Vermont Human Rights Commission 135 State Street, Drawer 33 Montpelier, VT 05633-6301		8. HUD Administering Office U.S. Department of HUD, Office of Fair Housing and Equal Opportunity 10 Causeway Street, Room 321 Boston, MA 02222-1092	
10. Recipient Project Manager Harvey Golubock, Executive Director		9. HUD Government Technical Representative Timothy M. Robison	
11. Assistance Arrangement <input type="checkbox"/> Cost Reimbursement <input type="checkbox"/> Cost Sharing <input checked="" type="checkbox"/> Fixed Price		12. Payment Method <input checked="" type="checkbox"/> Treasury Check Reimbursement <input type="checkbox"/> Advance Check <input type="checkbox"/> Automated Clearinghouse	
13. HUD Payment Office HUD - Fort Worth Field Accounting Center P.O. Box 2905 Fort Worth, Texas 76113-2905		8a. Name of Administrator Timothy M. Robison	
8b. Telephone Number (617) 565-5305		14. Assistance Amount Previous HUD Amount \$ 0.00 HUD Amount this action \$ 100,000.00 Total HUD Amount \$ 100,000.00 Recipient Amount \$ Total Instrument Amount \$ 100,000.00	
15. HUD Accounting and Appropriation Data 15a. Appropriation Number 868/90144		15b. Reservation Number FHEOHUB-1-98-1005	
Amount Previously Obligated \$ 0.00		Obligation by this action \$ 100,000.00	
Total Obligation \$ 100,000.00			

16. Description
COOPERATIVE AGREEMENT FOR FAIR HOUSING ASSISTANCE PROGRAM COMPREHENSIVE FUNDING

1. Cover Page form HUD-1044
2. Schedule of Articles
3. Appendix A - Statement of Work
4. Attachments
 - A. Criteria for Processing
 - B. Part 115, Final Rule, August 1996
 - C. Section 3 Clause
 - D. Administrative Requirements See Paragraph J (Part 85 verified copy at Agency)
 - E. Instructions for Preparation and Submission of Direct Deposit Sign-up Form (SE1199A) & Instructions for the LOCCS Voice Response System Access

This award includes funding for first year capacity building.

7. <input checked="" type="checkbox"/> Recipient is required to sign and return three (3) copies of this document to the HUD Administering Office.		18. <input type="checkbox"/> Recipient is not required to sign this document.	
19. Recipient (By Name): Harvey Golubock		20. HUD (By Name): Marcella Brown	
Signature & Title: Executive Director	Date:	Signature & Title: Cooperative Agreement Officer	Date:

Previous editions are obsolete

form HUD-1044 (8/90)
ref. Handbook 2210.17

DRAFT - REVISED 8/20/98

STATEMENT OF WORK

The recipient, Vermont Human Rights Commission ("HRC"), agrees to undertake the following activities in accordance with its 1998 application for capacity building funding under the Fair Housing Assistance Program for twelve (12) months:

1. Within 120 days of the receipt of federal funds, provide Fair Housing Enforcement training to Commissioners and staff of the Human Rights Commission.
2. Design and implement education and outreach activities targeted at victims of discrimination. As part of this effort, take the following steps, among others:
 - a. Identify community organizations which work with potential victims of discrimination and offer to speak to them about the fair housing laws and the work of the Commission.
 - b. Within 120 days of the receipt of federal funds, prepare a brochure describing the fair housing laws and the work of the Commission. Have brochure translated and distributed.
 - c. Prepare news releases about and publicize cases in which the HRC has found reasonable grounds to believe discrimination in housing has occurred and the results of those cases.
 - d. Within 120 days of receipt of federal funds, install an "800" telephone number and voice mail.
3. Provide Fair Housing Enforcement Training to Champlain Valley Office of Economic Opportunity ("CVOEO"), which has received a FHIP grant to conduct fair housing testing. Assist CVOEO in design and implementation of testing program. Receive and process cases generated by testing program.
4. Process housing discrimination complaints arising within HRC's jurisdiction. Cooperate with HUD in the handling of housing discrimination complaints under Title VIII of the Civil Rights Law of 1968, as amended, and Vermont's fair housing law in accordance with the Interim Agreement signed by the HRC and HUD and any amendments or revisions thereto executed by the parties during the course of that Agreement.

5. Expand the HRC's complaint processing capability sufficiently to enable it to process all housing discrimination complaints in accordance with the Interim Agreement signed by the HRC and HUD and any amendments or revisions thereto executed by the parties during the course of that Agreement.
6. Recipient agrees to participate in mandatory annual HUD training for Fair Housing Assistance Programs, as well as other training throughout the year if requested by HUD.
7. Hire an additional investigator on a part-time basis.
8. Obtain clerical services on an as-needed basis to assist in expanded case load.
9. Retain a private attorney to assist in expanded litigation case load, on an as-needed basis.
10. Upgrade two computers for enhanced Internet access to facilitate electronic mail capability and connection to TEAPOTS.
11. Enhance research capabilities by subscribing to the Fair Housing-Fair Lending Reporter and other on-line/CD Rom research services, as needed.
12. Expand Commission Mediation Program for fair housing cases.
13. Recipient agrees to utilize the funds provided for this activity in accordance with the criteria established by HUD.

**STATE OF VERMONT
GRANT ACCEPTANCE FORM**

JFO #1832

GRANT SUMMARY

DATE: September 8, 1998

DEPARTMENT: Agency of Natural Resources, Department of Environmental Conservation

GRANT/DONATION: Total Maximum Daily Load (TMDL) Water Quality Coordination Program

GRANTOR/DONOR: U.S. Environmental Protection Agency, Region I
Grants Management Office
JFK Federal Building, Boston, MA 02203

AMOUNT/VALUE: \$50,000



SEP 14 1998

POSITIONS REQUESTED (LIMITED SERVICE):

One limited service position, for the duration of the grant

COMMENTS:

The inventory of impaired waters in Vermont is an essential component of the state's watershed planning program.

The TMDL grant will support one limited service position to carry out the necessary water quality assessments, studies and reviews for the purpose of completing 12 to 15 "total maximum daily loads" (TMDL) of pollution in selected waters of the state.

The inventory compiled, as a result of this grant will serve as a priority list for remedial activity funded by the federal Clean Water Act.

DEPT. FINANCE AND MANAGEMENT:
SECRETARY OF ADMINISTRATION:
SENT TO JOINT FISCAL OFFICE:

(INITIAL)
(INITIAL)
(DATE)

ME
RCH
9-14-98

STATE OF VERMONT
REQUEST FOR GRANT ACCEPTANCE
(use additional sheets as needed)

RECEIVED AUG 7 1999
FORM AA-1
(Rev. 9-90)

1. Agency: **Natural Resources**
2. Department: **Environmental Conservation**
3. Program: **Water Quality Division**
4. Legal Title of Grant: **TMDL Coordination Program**
5. Federal Catalog No.: **66.461**
6. Grantor and Office Address: **US Environmental Protection Agency, Region I**
Grants Management Office, MGM
JFK Federal Building, Boston, MA 02203-0001
7. Grant Period: **1 year** From: **07/01/98** To: **6/30/99**

8. Purpose of Grant (attach additional sheets if needed):

This grant will support 1 position to carry out and coordinate the necessary water quality assessments, studies, contracts, preparation of documents, and review by the public, the State and EPA for the purpose of completing 12 to 15 Total Maximum Daily Loads of pollution by 4/1/00 for waters selected by the State, the public and EPA. (See the attached scope of work.)

9. Impact on Existing Programs if Grant is not Accepted:

If this grant is not accepted and the position not authorized, in addition to losing 100% federal funding, the above stated work will not be completed. If this work is not completed, the State will not have sufficient information or ability for the remediation of impaired waters.

10. Budget Information:	(1st State FY) <u>FY 1999</u>	(2nd State FY) <u>FY 2000</u>	(3rd State FY) <u>FY 2001</u>
-------------------------	----------------------------------	----------------------------------	----------------------------------

EXPENDITURES:

Personal Services	\$	44,626.00	
Operating Expenses	\$	5,374.00	
Other			

TOTAL	\$	50,000.00	\$	-	\$	-
-------	----	-----------	----	---	----	---

REVENUES:

State Funds:

Cash
In-Kind

Federal Funds:

(Direct Costs)	\$	50,000.00	
(Statewide Indirect)			
(Department Indirect)			

Other Funds:

(source)

TOTAL	\$	50,000.00	\$	-	\$	-
-------	----	-----------	----	---	----	---

Grant will be	<u>Appropriation Nos.</u>		<u>Amounts</u>
allocated to these appropriation expenditure accounts:	0106630601	\$	44,626.00
	0106630602	\$	5,374.00

11. Will grant monies be spent by one or more personal service contracts?

☐ YES

☒ NO

If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

X _____

12a. Please list any requested Limited Service positions:

	Titles	Number of Positions
	TMDL Coordinator	1 Sponsored Position
	TOTAL	1

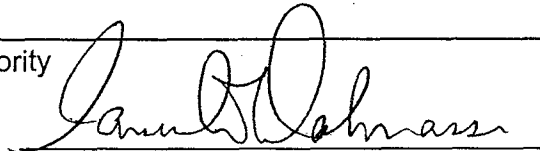
12b. Equipment and space for these positions:

☒ Is presently available.

☐ Can be obtained with available funds.

13. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.


(Signature)

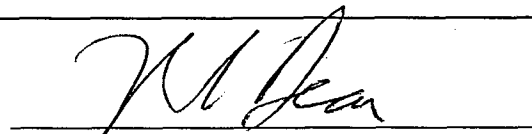
7/16/98
(Date)

Commissioner
(Title)

14. Action by Governor:

☒ Approved

☐ Rejected


(Signature)

7/11/98
(Date)

15. Secretary of Administration:

☐ Request to JFO

☐ Information to JFO

(Signature)

(Date)

16. Action by Joint Fiscal Committee:

(Dates)

☐ Request to be placed on JFC agenda

☐ Approved (not placed on agenda in 30 days)

☐ Approved by JFC

☐ Rejected by JFC

☐ Approved by Legislature

(Signature)

(Date)

U.S. ENVIRONMENTAL PROTECTION AGENCY
EPA ASSISTANCE AGREEMENT / AMENDMENT
PART I - ASSISTANCE NOTIFICATION INFORMATION

1. ASSISTANCE ID NO. CP991918-01-0	2. LOG NUMBER 01-CP-004
3. DATE OF AWARD 07/31/98	4. MAILING DATE 08/07/98

5. AGREEMENT TYPE <input checked="" type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Grant Agreement <input type="checkbox"/> Assistance Amendment	6. PAYMENT METHOD <input type="checkbox"/> Advance <input type="checkbox"/> Reimbursement <input checked="" type="checkbox"/> ACH Number 0114 Send Payment Request to: FINANCE SECTION, REGION I	7. TYPE OF ACTION NEW PROJECT
---	--	---

8. RECIPIENT VERMONT D.E.C. OFFICE OF WATER PROGRAMS WATER QUALITY 103 SOUTH MAIN ST. BLDG 1 SO. WATERBURY, VT 05671-0401		9. PAYEE VERMONT D.E.C. 103 SOUTH MAIN STREET, BLDG 1 SOUTH WATERBURY, VT 05671-0401									
EIN NO. 03-6000274	CONGRESSIONAL DISTRICT ALL	10. RECIPIENT TYPE STATE, COMMONWEALTH, TERR GOVT									
11. PROJECT MANAGER AND TELEPHONE NO. STEPHEN B. SYZ PROJECT MANAGER (802) 241-6764		12. CONSULTANT (WWT Construction Grants only) N/A									
13. ISSUING OFFICE (CITY / STATE) US ENVIRONMENTAL PROTECTION AGENCY OFF. OF ADMIN. & RESOURCE MGMT GRANTS MANAGEMENT OFFICE, MGM J.F.K. FEDERAL BLDG. BOSTON, MA 02203		14. EPA PROJECT / STATE OFFICER AND TELEPHONE NO. DOLORES LANDO, PROJECT OFFICER JFK FEDERAL BUILDING BOSTON, MA 02203 (617) 565-3489 MARY-ELLEN STANIS GRANTS SPECIALIST (617) 565-9316									
15. EPA CONGRESSIONAL LIAISON & PHONE PAT GASKINS, (202) 260-5184	16. STATE APPL ID (Clearinghouse) N/A	17. SCIENCE FIELD NA	18. PROJECT STEP (WWT Construction Grants Only) N/A								
19. STATUTORY AUTHORITY CLEAN WATER ACT: SEC. 104	20. REGULATORY AUTHORITY 40 CFR PART 31	21. STEP 2 + 3 & STEP 3 (WWT Construction Grants Only) <table border="1"> <tr> <td>a. Treatment Level</td> <td></td> </tr> <tr> <td>b. Project Type</td> <td>N/A</td> </tr> <tr> <td>c. Treatment Process</td> <td></td> </tr> <tr> <td>d. Sludge Disposal</td> <td></td> </tr> </table>		a. Treatment Level		b. Project Type	N/A	c. Treatment Process		d. Sludge Disposal	
a. Treatment Level											
b. Project Type	N/A										
c. Treatment Process											
d. Sludge Disposal											

2. PROJECT TITLE AND DESCRIPTION Total Maximum Daily Load (TMDL) Coordination.

23. PROJECT LOCATION (Areas Impacted by Project)									
City / Place STATEWIDE			County VERMONT			State VT		Congressional District STATEWIDE	
4. ASSISTANCE PROGRAM (CFDA Program No. & Title) 66.463: Includes Related State Program Grants				25. PROJECT PERIOD 07/31/98 - 06/30/99			26. BUDGET PERIOD 07/31/98 - 06/30/99		
7. COMMUNITY POPULATION (WWT Construction Grants Only) N/A			28. TOTAL BUDGET PERIOD COST \$50,000			29. TOTAL PROJECT PERIOD COST \$50,000			
FUNDS		FORMER AWARD		THIS ACTION		AMENDED TOTAL			
a. EPA Amount This Action		\$0		\$50,000					
b. EPA In-Kind Amount		0		0					
c. Unexpended Prior Year Balance		0		0					
d. Other Federal Funds		0		0					
e. Recipient Contribution		0		0					
f. State Contribution		0		0					
g. Local Contribution		0		0					
h. Other Contribution		0		0					
i. Allowable Project Cost		\$0		\$50,000					
Site Name	Document Control Number	FY	Approp.	Budget Organization	Program Element	Object Class	Site/Project	Cost Organization	Obligation / Deobligation
01)	LNA001	9899	B	01L	D2X	4183			50,000

State of Vermont
Grant Application
TMDL Coordinator
Clean Water Act Section 104 (b) 3

Scope of Work

Background

The inventory of impaired waters in Vermont and the assessment of sources of pollution has long been a keystone activity of the state's watershed planning program. This inventory has served as the priority list for remedial activity funded by Section 319 and Title Six of the Clean Water Act. The list has been previously contained in the State Clean Water Strategy and the parallel listing under section 303(d) of the Clean Water Act.

In response to increased public, State and EPA interest in planning the remediation of impaired waters, the State of Vermont wishes to become more systematic in scheduling the necessary monitoring and planning to complete a larger number of TMDLs. Careful scheduling and completion of pollutant assessment, source identification, load reduction modeling and source control design will assume a more prominent role in the activities of the Water Quality Division. This application for financial assistance is for funds to support a 'TMDL Coordinator' position to carry out the duties listed below.

Purpose

This grant will support a position to carry out and coordinate the necessary water quality assessments, studies, contracts, preparation of documents, and review of reports by the public, the State and EPA for the purpose of completing 12 to 15 TMDLs by April 1, 2000 for waters selected by the State, the public and EPA in the 303 (d) list preparation process. The position will also oversee and coordinate the completion of about 30 water quality assessments per year of Part C waters where the public and the State have determined that additional quantitative information is needed to determine the pollutant(s) present, if any, in waters selected for assessment.

Tasks

1. For each waterbody identified in the approved 303 (d) list develop a plan of work, including a schedule, listing the tasks necessary to create 12 to 15 completed TMDLs by April 1, 2000. Submit a copy of the plan of work to EPA.
2. Determine those tasks which can be performed by Department staff and those tasks which must be performed under contract.
3. Prepare budgets, negotiate funding, prepare RFP's and, ultimately, prepare contracts for those

necessary services which can not be completed by the Department.

4. Oversee the timely completion of Departmental and contractual work.
5. Prepare draft TMDL documents in conformance with EPA guidance and submit to EPA.
6. Develop and schedule appropriate public review of the draft TMDLs in a location convenient to the waterbody in question and in accordance with EPA guidance.
7. Prepare the final draft TMDL for formal submission to EPA.
8. Prepare scopes of work for the assessment of Part C waters (about 30 per year) in collaboration with the biology and chemistry laboratories.
9. Prepare assessment reports on waters studied

The aforementioned services will be conducted by the State of Vermont for \$50,000 per annum.



Mailing Address
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee Members

From: Rebecca Buck, Staff Associate

Date: September 14, 1998

Subject: Grant Requests

Enclosed please find three (3) requests which the Joint Fiscal Office recently received from the Administration.

JFO #1828 - \$1,219,587 grant from the U.S. Department of Housing & Urban Development to the Department of Housing and Community Affairs. This is a new grant with no match requirements. Funds will be used to provide assistance to municipalities in Caledonia, Franklin, Lamoille, Orleans and Washington Counties for recovery costs associated with the severe flooding during the summer of 1997.
[JFO received 9/14/98]

JFO #1829 - \$18,246 grant from the U.S. Department of Health and Human Services, Office of Minority Health, to the Vermont Department of Health. The department will utilize these funds by awarding grants to address the disparities in the health promotion education of minority Vermonters, specifically with respect to: cancer, cardiovascular disease and diabetes.
[JFO received 9/14/98]

JFO #1830 - \$10,921 U.S. Federal Emergency Management Agency grant to the Department of Environmental Conservation. These funds will be utilized by the Office of Water Program engineers for training, equipment and operating expenses associated with dam safety inspections.

[JFO received 9/14/98]

The Joint Fiscal Office has reviewed these submissions and determined that all appropriate forms bearing the necessary approvals are in order.

In accordance with the procedures for processing such requests, we ask you to review the enclosed and notify the Joint Fiscal Office if you would like any items held for Joint Fiscal Committee review and action at the November meeting. Unless we hear from you to the contrary by Monday, September 28 we will assume that you agree to consider as final the Governor's acceptance of these requests.

cc: Kathleen Hoyt, Secretary
Thomas Pelham, Commissioner
Michael Clasen, Analyst
Mollie Lambert, Secretary
Barbara Grimes, Commissioner
Con Hogan, Secretary
Jan Carney, Commissioner
John Kassel, Secretary
Canute Dalmasse, Commissioner

GRANT SUMMARY

DATE: September 2, 1998

JFO #1828

AGENCY: Commerce & Community Development

DEPARTMENT: Housing & Community Affairs

GRANT/DONATION: Grant

GRANTOR/DONOR: U.S. Department of Housing & Urban Development

AMOUNT/VALUE: \$1,219,587

SEP 14 1998

POSITIONS REQUESTED (LIMITED SERVICE): None

COMMENTS: Grant to provide assistance to municipalities in Caledonia, Franklin, Lamoille, Orleans and Washington counties for flood damage which occurred during the summer of 1997. This is a new grant with no match requirements.

This grant is supplementary to the FEMA and State funds previously made available for 1997 flood damage.

DEPT. FINANCE AND MANAGEMENT: (INITIAL)
SECRETARY OF ADMINISTRATION: (INITIAL)
SENT TO JOINT FISCAL OFFICE: (DATE)

ME
FOR
9-10-98

RECEIVED AUG 11 1998

2. Agency: **Commerce & Community Development**
3. Department: **Housing & Community Affairs**
4. Program: **HUD DRI**
6. Legal Title of Grant: **Disaster Recovery Initiative Grant**
8. Grantor and Office/Address:
US Dept. of Housing & Urban Development
Washington, DC

1. Date: **August 10, 1998**
5. Type of Grant:
[XX] New [] Supplemental
[] Renewal [] Modification
7. Federal Catalog No.: **14-228**
9. State Grant Administrator:
Dept. of Housing and
Community Affairs

10. Grant Period: From: **June 3, 1988**

To: **End.**

(Form prepared by: David A. Coburn, DHCA 5218)

11. Purpose of Grant: (attach additional sheets if needed)

To provide federal funds to assist with recovery from damage caused during the severe flooding which occurred in the summer of 1997. See attached pages.

12. Impact on Existing Programs if Grant is not Accepted:

The grant is to assist the municipalities in the five counties reconized in a Presidential Declaration on July 27, 1997. The funds will help pay for recovery costs not covered by other funds.

13. Budget Information:

FY99

FY00

EXPENDITURES:

\$

\$

Personal Services

0

Operating Expenses

0

Other: **Grant funds**

1,219,587

TOTAL

\$ 1,219,587

REVENUES

State Funds

\$ 0

Federal Funds:

(Direct Costs)

\$ 1,219,587

(State-wide Indirect)

(Departmental Indirect)

Other Funds:

0

TOTAL

\$ 1,219,587

Grant will be allocated to these
appropriation expenditure accounts:

Appropriation Nos.

Amounts

NEW.

TO BE ASSIGNED.

14. Will grant monies be spent on one or more personal service contracts?
☐ YES ☒ NO

If YES, signature of appointing authority here indicates intent to follow current guidelines for bidding. X Barbara Grimes

- 15a. Please list any requested Limited Service positions:

Titles	Number of Positions
NONE	
TOTAL	

- 15b. Equipment and space for these positions:
☐ Is presently available.
☐ Can be obtained with available funds.

16. Signature of Appointing Authority

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant.

Barbara Grimes 8/10/98
(Signature) (Date)

17. Action by Governor:

☒ Approved
☐ Rejected

M. Dea 9/9/98
(Signature) (Date)

18. Secretary of Administration:

☐ Request to JFO
☐ Information to JFO

(Signature) (Date)

19. Action by Joint Fiscal Committee:

(Dates)

- ☐ Request to be placed on JFC agenda
☐ Approved (not placed on agenda in 30 days)
☐ Approved by JFC
☐ Rejected by JFC
☐ Approved by Legislature

(Signature) (Date)



US Department of Housing and Urban Development

Office of Community Planning and Development
New Hampshire State Office
Norris Cotton Federal Building
275 Chestnut Street
Manchester, New Hampshire 03101-2487

"To Help People Create
Communities of Opportunity"
(603) 666-7642
FAX (603) 666-7644

JUN 8 1998

KC

Governor Howard Dean, M.D.
Office of the Governor
Pavilion Office Building
109 State Street
Montpelier, Vermont 05609

USE DUE

RECEIVED
GOVERNOR'S OFFICE

JUN 11 1998

MONTPELIER, VT 05609

Dear Governor Dean:

SUBJECT: Disaster Recovery Initiative Grant
Action Plan Approval
Project Number: B-98-DU-50-0001

I am pleased to transmit to you the approval of Vermont's Disaster Recovery Initiative Action Plan. The grant assistance being approved for your use in carrying out this Action Plan is noted as follows:

Disaster Recovery Initiative Grant: \$1,219,587

This assistance is being made available to Vermont to assist with recovery from damage caused during the severe flooding which occurred in the summer of 1997, which in turn was recognized in a Presidential Declaration of Disaster on July 27, 1997. These grant resources are to be used in the areas of the state which were the subject of the disaster declaration, namely the counties of Caledonia, Franklin, Lamoille, Orleans, and Washington.

Enclosed is the Disaster Recovery Grant Agreement (three copies - HUD 7082) for your signature. The 7082 constitutes the contract between the Department of Housing and Urban Development (HUD) and the State of Vermont. Please sign, and date all three copies, retain one copy for your records and return the other two copies to this office. In addition, please note that these funds will be accessed through the Line of Credit Control System (LOCCS) not the Integrated Disbursement and Information System (IDIS). You should also note the special contract conditions attached to the grant agreement.

**Vermont Disaster Response Initiative
Overall Plan for the Program
1998-1999**

(This document is the plan submitted to HUD to obtain agreement on the use of these funds.)

Action Plan

It is the goal of the Vermont Department of Housing and Community Affairs to award supplemental flood related CDBG funds to eligible recipients, enabling them to begin flood-related projects in a timely manner and complete the projects within the next 12 to 24 months. Consistent with statutory language and direction from the U.S. Department of Housing and Urban Development (HUD). DHCA will distribute funds exclusively to CDBG eligible towns and villages that were damaged by flooding associated with the severe storms which resulted in a Presidential disaster declaration (July 25, 1997) for flooding.

Eligible applicants are limited to towns and villages located in all the presidentially declared disaster counties (Caledonia, Franklin, Lamoille, Orleans, and Washington). In adhering to HUD guidelines, emphasis will be given to financing eligible buyouts, relocation, long-term recovery, and mitigation activities. (Note: In some cases these activities may be prioritized) Recovery needs resulting for this disaster were determined to be: Infrastructure replacement and repair; property acquisition and demolition and flood mitigation replacement, repair and construction. (See Citizen Participation Process for the method of determining these needs)

Method of Distribution

Introduction

The Vermont Disaster Recovery Initiative (VDRI) is funded under Title I of the Housing and Community Development Act of 1974, as amended [42 U.S.C. Section 5301 et seq.], herein referred to as the *Federal Act*. Eligible applicants are limited to towns and villages located in the presidentially declared disaster counties for July 25, 1997.

The VDRI is authorized under the Vermont Community Development Act [Title 10 V.S.A., Chapter 29], referred to in action plan as the *State Act*. It is administered by the Department of Housing and Community Affairs and referred to in the action plan as the "DHCA".

Funds Distribution

The State has received \$1,219,587 as the DRI Award from HUD for the 1998 program year (FFY98). These funds will be administered in conformance with the action plan in effect at the time of allocation.

FFY98 Distribution Plan

Available Funds	FFY98 HUD Award	\$ 1,219,587
Allocations	Implementation Grants	1,036,651
	Planning Grants ⁽¹⁾	146,350
	Technical Assistance ⁽²⁾	12,195
	State Administration	24,391

(1) Any unused planning funds will be reallocated to the Implementation Grants Category.

(2) FFY98 Technical Assistance funds not spent during the period of July 1, 1998 through June 30, 1999 will be spent in future periods.

NOTE: The figures in this Chart are based on the current Federal award. However, if the allocation is reduced, all of the amounts for allocation will also be reduced accordingly.

Program Limitations Public Service Limitation 25% of allocation: \$304,896. Federal 20% Cap for administration and planning: \$243,917.

Funds Distribution Limitations

The VDRI must meet the requirement that at least 50% of the HUD Award be for activities that principally benefit persons of low and moderate income.

Grants for activities which aid in the prevention or elimination of slums and blight (Slums and Blight) or that are designed to meet community development needs having a particular urgency (Urgent Need) are not required to provide a direct benefit to persons with low and moderate incomes. These, therefore, may not count toward the 50%. Grants for these activities combined will be limited to 30% of the total HUD Award.

The General Administration activity costs may not exceed 12% of a VDRI grant award. This limitation assures compliance with the federally imposed cap of 20% of the total HUD Award that may be used for all VDRI planning and general administrative purposes, including both state and local costs. Program management costs, those directly related to carrying out program activities, are not considered general administration and planning costs.

The *Federal Act* restricts the total funds that may be used to fund public service activities to 25% of the HUD Award that is allocated for assistance to municipalities. The maximum allowable for public service activities is \$304,896.

Distribution Schedule and Process

Grant Applications will be reviewed by a Selection Committee consisting of the Chair or designee of the CD Board, the DHCA Commissioner or designee, the VCDP Director and the Community Development Regional Coordinator. The Selection Committee will meet within six weeks of receipt of the applications.

VDRI Program Requirements

The VDRI must meet one of the three national objectives. The three national objectives are:

1. **Low and moderate income benefit**
The FEDERAL ACT requires that not less than 50% of VDRI funds be granted for eligible activities which principally benefit persons of low and moderate income.
2. **Slums and Blight**
A community development activity can be eligible for funding under the national objective of preventing or eliminating slums and blight in a clearly delineated geographic area or for a seriously substandard structure(s) or property.
3. **Urgent Need**
A community development activity can be eligible for funding under the national objective of meeting community development needs having a particular urgency.

VDRI Program Policies

Activities are eligible for funding within four broad program areas: economic development, housing, public facilities, and public services. For each of the program areas, the AGENCY has developed the following non-statutory, non-regulatory policies.

Public Facilities

1. **Extended Use:** Public facility acquisition projects which provide a community service, such as a parent-child development center, shall be required to serve a VDRI eligible activity for a minimum of five (5) years beyond the completion of the grant.

Public Services

1. The applicant must demonstrate that no other funding source is available and more appropriate to fund the service.
2. If funded, an evaluation must be performed at the end of the grant and provided to the AGENCY.

Application Criteria**Applicants must:**

1. meet all VDRI and HUD public hearing and citizen participation requirements prior to submitting an application; and
2. submit a Letter of Intent (LOI) within the LOI requirements.

Applications must meet the eligibility threshold established in this action plan and those set out in the Application Instructions and Forms. Applications which fail to meet the threshold criteria or fail to provide documentation requested by the AGENCY will be returned to the applicant with a written explanation of the reasons for rejection.

The AGENCY reserves the right to place a condition on the award or in the grant agreement stipulating that a project may be terminated if implementation does not proceed within a proposed time frame or funds are not drawn within a reasonable time period.

Eligibility Thresholds

All applications for VDRI funds must meet the following eligibility thresholds in order to be considered for review. Planning Grant applications will be reviewed against those thresholds that are applicable.

These eligibility thresholds are statutory and cannot be waived by the AGENCY. Failure to meet all eligibility thresholds will result in automatic rejection of the Application.

Eligible Applicant - The only eligible applicants are Vermont towns and cities and incorporated villages chartered to function as general purpose units of local government. A municipality may apply: as a single applicant, as the lead applicant of a consortium, as a member of a consortium, but not as a single applicant and as lead applicant of a consortium.

Eligible Activity - Only those activities eligible under the Federal Act may be funded under this program.

Federal Objective - Each proposed VDRI activity must meet at least one national objective. The national objective claim must be fully supported, and in some cases, the AGENCY should pre-approve your approach for meeting the national objective.

State Objective - Each proposed VDRI activity must meet at least one state objective.

Public Hearing - Each VDRI applicant must conduct at least one (1) public hearing with notice as required by the STATE ACT, prior to application submission.

Anti-Displacement Plan - Under the provisions of the Uniform Act [42 USC 4601 et seq.] each applicant, including all municipalities in joint applications, must submit a Residential Anti-Displacement and Relocation Assistance Plan (ADP) and state whether or not the proposed activity(ies) will result in displacement, relocation, property demolition, or property change of use. This requirement does not apply to Planning Grants.

In addition to these statutory thresholds, applications must meet the thresholds set out in the Application Instructions and Forms.

Selection Criteria

The staff and Community Development Board will use the following criteria to select the applications they will recommend for funding. The Application Instructions and Forms will define each in more detail.

1. **Project Description:** An applicant must fully describe the project/activity to be carried out, the amount of VDRI funds requested, and the other resources committed to the project. This is to include an identification of the anticipated results and the time frame in which these will be accomplished. A timeline for the proposal is also necessary.

Management Plan: Included as part of the Project Description is the management plan. An applicant must fully describe how the proposed activities will be carried out and who is responsible for managing them. A detailed plan including staffing needs for both program management responsibilities and the general administration responsibilities is required. Capacity and past performance are major factors.

2. **Project Development:** An applicant must fully describe the problem facing the community, the history of the project being proposed, including how the problem was identified, how the community, particularly potential beneficiaries, have been involved in the development of the project and how they will be involved in the implementation of the project if funded. This is to also include why this proposal is superior to other alternative strategies and funding sources including why it is being proposed now. The needs of low and moderate income persons must also be addressed.

3. **Project Benefit:** All projects, including slums and blight and urgent need, must provide a benefit. An applicant should demonstrate how this benefit will be achieved with the primary emphasis on direct benefit. The benefit claim must be fully supported, and in some cases, the Department should pre-approve your approach. This selection criterion comes into the funding decision once it has been determined that the project meets a national objective.

Benefit to persons with low and moderate incomes: Regardless of which national objective is being met, an applicant needs to describe the project's impact on low and moderate income persons. The application must provide specific documentation of how the project will directly benefit persons of low and moderate income; how special needs populations are targeted; and how other short-term, as well as more longer-term, benefits to the community at large will be realized and sustained.

Slums and Blight: Applications for projects addressing the Slums and Blight national objective will be assessed primarily on the impact to the community if the conditions of Slums and Blight are remediated. As stated above, the benefit impact on persons of low and moderate income is important to a funding decision.

Urgent Need: Applications for projects addressing the Urgent Need national objective will be assessed primarily on the impact to the community if the condition of urgent need is remediated. As stated above, the benefit impact on persons of low and moderate income is important to a funding decision.

Planning Grants: Planning grant applications must demonstrate the ability of the project, if later implemented, to meet one of the National Objectives. Applicants must also discuss how the planning activity complements the municipality's ongoing planning efforts.

Planning Grants (PG)

Specific Requirements:

The minimum request per application is \$10,000.

The maximum request for a single or consortium application is \$146,350.

The maximum grant period is two years; eighteen months is preferred.

Please note: Awarded Planning Grants do not necessarily lead to the award of an Implementation Grant.

Implementation Grants (IG)**Specific Requirements:**

The minimum request per application is \$50,000.

The maximum is \$1,036,651.

The maximum grant period is two years.

Urgent Needs Statement

For a community development activity to be eligible for funding under the national objective of meeting community development needs having a particular urgency, that activity must be designed to alleviate existing conditions which the applicant certifies:

- pose a serious and immediate threat to health or welfare;
- are of recent origin or recently became urgent;
- cannot be alleviated with the applicant's resources; and
- no other resources are available to the applicant.

A condition will generally be considered to be of recent origin if it developed or became critical within 18 months preceding the applicant's certification. An example of an urgent need activity would be a major catastrophe or emergency, such as a flood or earthquake.

The documentation of urgent need should include:

- records concerning the nature and degree of seriousness of the condition requiring assistance; evidence that the applicant certifies that the proposed activity is designed to address the urgent need;
- information on the timing of the development of the serious condition; and
- evidence confirming that other financial resources to alleviate the need are not available.

Citizen Participation Process

An Interagency Hazard Mitigation Team (IHMT) meeting to develop appropriate mitigation strategies and recommendations with respect to this flooding was held on August 13, 1997, in South Burlington, Vermont. The result of that meeting was the preparation of a *Mitigation Strategy Report*. This report has been adopted as Vermont's overall plan for recovery for the purposes of this application. Additional information used is based upon site visits, interviews with local public officials, and information provided by other Federal and State agencies. The recommendations are organized under four topic areas in the report: Public Infrastructure; Floodplain Management; Housing; and Agriculture and Business.

Following this process other public meetings were held to advise the public of the state and federal programs that were available for the recovery effort. Tours were taken of the affected regions, meeting were held with local elected officials and citizens. Two Regional Development Corporations have informed eligible applicants of the availability of funds through a variety of outlets. This has included direct mail as well as personal visits to explain the application process. This process generated the need for assistance in the following areas:

- Infrastructure replacement and repair;
- Property acquisition and demolition; and
- Food mitigation replacement, repair and construction

Priority Uses

The following uses will be prioritized for funding: projects that fund the 25% match for acquisition of structures such as: homes damaged in the flood; debris removal from stream banks where the debris

threatens a low/moderate income town or village; relocation or retrofitting of municipal offices or fire stations damaged by the flood; or elevating or repairing utilities which are owned by a local government.

Public Access to Records

These and all other records will be accessible to the public. DHCA will complete and publish a Performance Evaluation Report (PER) documenting the use of supplemental disaster related CDBG funds. Additionally, all records related to the use of the funds (except those protected by data privacy laws) are public records and are available to the public on demand.

Monitoring

The Department of Housing and Community Affairs will develop and implement a monitoring plan that will track the progress in meeting the priorities and goals of the Disaster Recovery Initiative grant and ensure compliance with all federal and State laws, regulations, and policies. Monitoring will be focused on three areas:

1. Progress being made in meeting the goals and priorities of the Disaster Recovery Initiative ;
2. Timeliness of distribution of the federal funds; and
3. Compliance with regulatory requirements.

Monitoring of Progress

The State's DRI grantees will submit progress reports to DHCA on a regular basis which outline how resources have been allocated in accordance with priorities, including timeliness of fund distribution.

Timeliness of Fund Distribution

Federal funds administered by the Department flow through accounts controlled by the Department with a requisition process being used to reimburse recipients. There will be a continual monitoring of each account using a computerized database to compare actual expenditures against spending plans. Other funding programs will report to the Department regarding timeliness of fund distribution.

Compliance with Regulatory Requirements

Generally, site visits and progress reports will be used to ensure that funds are being used in compliance with program requirements. For existing federal programs administered by the Department, the following activities will take place: one site monitoring visit will be made to each recipient. Progress reports are required on a regular basis, at a minimum, semi-annually. Progress of sub-recipients will be monitored by recipients in a similar manner. The Department may request copies of all progress reports from sub-recipients and will include a review of all monitoring activities of recipients in each site visit. The site visits will monitor compliance with requirements, such as national objectives, fair housing, equal opportunity, procurement, environmental review, labor standards, fiscal control, and record keeping. Recipients are required to submit certifications of their intent to comply with program requirements.

A *Grants Management Manual* produced by the Department is used in the CDBG Program and supplied to each recipient. This provides written quality standards and performance/production guidelines for all programs and contains copies of all pertinent laws, regulations, policies, and procedures.

Public/Private Leverage on CDBG Funds

The purpose of the recovery effort is to provide comprehensive recovery funding in a cooperative and coordinated manner. Federal, state and some private resources are available for distribution by member agencies. The supplemental CDBG funds also will leverage FEMA, HMGP funds and SBA funds. While the full amount of other public and private resources are unknown at this time, the DHCA allocation process will assure that public and private funds are directed to projects with the greatest need for assistance and with the concurrence of regulatory agencies.

STATE OF VERMONT
GRANT ACCEPTANCE FORM

JFO #1829

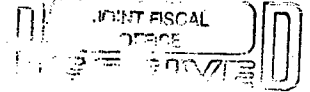
GRANT SUMMARY

DATE: August 31, 1998

DEPARTMENT: Vermont Department of Health, Health Improvement Division

GRANT/DONATION: Health Promotion Education of Minority Vermonters

GRANTOR/DONOR: U.S. Department of Health and Human Services
Office of Minority Health
Rockville, MD 20852



AMOUNT/VALUE: \$18,246 in fiscal year 1999,
\$ 9,124 in fiscal year 2000 (will be contained in the FY 2000
budget request), 100% federal funds

SEP 14 1998

POSITIONS REQUESTED (LIMITED SERVICE):

This grant will address the disparities in the health promotion education of minority Vermonters. The Health Department will solicit proposals from Vermont minority community based organizations to provide health information to their constituents, specifically with respect to three preventable diseases: cancer, cardiovascular disease and diabetes. The department plans to award three grants of approximately \$9,000 each.

The grant runs through July 30, 1999 and the partial payment on the grant will be received during state fiscal year 1999. The balance of the grant will be included in the Department's fiscal year 2000 budget request.

DEPT. FINANCE AND MANAGEMENT:
SECRETARY OF ADMINISTRATION:
SENT TO JOINT FISCAL OFFICE:

(INITIAL)
(INITIAL)
(DATE)

MC
BCH
9/10/98

1. Agency: Human Services
2. Department: Health
3. Program: Health Improvement
4. Legal Title of Grant: Health Promotion Education of Minority Vermonters
5. Federal Catalog No.: not applicable/contract
6. Grantor and Office Address: DHHS/Office of Minority Health
Rockville MD 20852

7. Grant Period: From: 8/1/98 To: 7/30/99

8. Purpose of Grant: (attach additional sheets if needed)

To address disparities in health promotion education of minority Vermonters. (see summary attached)

9. Impact on Existing Programs if Grant is not Accepted:

None

10. Budget Information:	(1st State FY) FY 19 ⁹⁹	(2nd State FY) FY 19 2000	(3rd State FY) FY 19
EXPENDITURES:			
Personal Services	\$	\$	\$
Operating Expenses	\$	\$	\$
Other	\$ 18,246	\$ 9,124	\$
TOTAL	\$ 18,246	\$ 9,124	\$
REVENUES:			
State Funds:			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
Federal Funds:			
(Direct Costs)	\$ 18,246	\$ 9,124	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
Other Funds:			
(source) _____	\$	\$	\$
TOTAL	\$ 18,246	\$ 9,124	\$

Grant will be allocated to these	<u>Appropriation Nos.</u>	<u>Amounts</u>
appropriation expenditure accounts:	0103471306	\$18,246

-over-

[] YES [xx] NO

X _____

Titles	Number of Positions
TOTAL	

☐ Is presently available.

☒ Can be obtained with available funds.

(Signature) _____ (Date) _____
Commissioner, Vermont Department of Health
(Title)

(Signature)

(Date)

(Signature)

(Date)

(Dates)

```
[ ] Request to be placed on JFC agenda
[ ] Approved (not placed on agenda in 30 days)
[ ] Approved by JFC
[ ] Rejected by JFC
[ ] Approved by Legislature
```

(Signature)

(Date)

ORDER FOR SUPPLIES OR SERVICES

PAGE OF PAGES

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

1 4

1. DATE OF ORDER 07/23/98		2. CONTRACT NO. (if any)		6. SHIP TO:	
3. ORDER NO. 98T26262701D		4. REQUISITION/REFERENCE NO. 98T262627		a. NAME OF CONSIGNEE DHHS/OFFICE OF MINORITY HEALTH	
5. ISSUING OFFICE (Address correspondence to) DHHS/PSC/AOS/DAM/GAB PARKLAWN BUILDING, ROOM 5-101 5600 FISHERS LANE ROCKVILLE, MD 20857				b. STREET ADDRESS ROCKWALL II BUILDING, ROOM 1000 5515 SECURITY LANE	
				c. CITY ROCKVILLE	e. ZIP CODE 20852
				d. STATE MD	
7. TO: Attn: LAUREEN CORBETT				f. SHIP VIA	
a. NAME OF CONTRACTOR VERMONT DEPARTMENT OF HEALTH				8. TYPE OF ORDER	
b. COMPANY NAME				<input checked="" type="checkbox"/> a. PURCHASE <input type="checkbox"/> b. DELIVERY Except for billing instructions on the reverse, this delivery order is subject to instructions contained on this side only of this form and is issued subject to the terms and conditions of the above-numbered contract.	
c. STREET ADDRESS P.O. BOX 70					
e. STATE VT				f. ZIP CODE 05402-0070	
9. ACCOUNTING AND APPROPRIATIONS DATA CAN: 1990123 OBJ CLASS: 2512 APPR: 7580120				10. REQUISITIONING OFFICE DHHS/OFFICE OF MINORITY HEALTH	

11. BUSINESS CLASSIFICATION (Check appropriate box(es))			
<input type="checkbox"/> a. SMALL	<input checked="" type="checkbox"/> b. OTHER THAN SMALL	<input type="checkbox"/> c. DISADVANTAGED	<input type="checkbox"/> d. WOMEN-OWNED
12. F.O.B. POINT Destination		14. GOVERNMENT B/L NO.	15. DELIVER TO F.O.B. POINT ON OR BEFORE (Date) 07/30/99
13. PLACE OF		16. DISCOUNT TERMS NET 30	
a. INSPECTION Destination	b. ACCEPTANCE Destination		

17. SCHEDULE (See reverse for Rejections)

ITEM NO. (A)	SUPPLIES OR SERVICES (B)	QUANTITY ORDERED (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)	QUANTITY ACCEPTED (G)
	Tax ID Number: 036000274 QUESTIONS CONCERNING THIS ORDER MAY BE REFERRED TO DELORIS AGEE ON 301-443-1198. PLEASE REFERENCE THE ORDER NUMBER IN BLOCK 3 WHEN CALLING. PROFESSIONAL SERVICES CONTRACT TO ADDRESS DISPARITIES IN HEALTH PROMOTION EDUCATION OF MINORITY VERMONTERS IN THREE OF THE FOUR GEOGRAPHIC LOCATIONS IN THE STATE. PERIOD OF PERFORMANCE: AUGUST 1, 1998 - JULY 30, 1999 (continued)					
18. SHIPPING POINT		19. GROSS SHIPPING WEIGHT		20. INVOICE NO.		
21. MAIL INVOICE TO:						17(h) TOT. (Cont. pages)
a. NAME PSC/FMS (301) 443-3020 PARKLAWN BUILDING, ROOM 16A-12						\$27370.00
b. STREET ADDRESS (or P.O. Box) 5600 FISHERS LANE						
c. City ROCKVILLE						\$27370.00
d. STATE MD						
e. ZIP CODE 20857						17. (i). GRAND TOTAL

22. UNITED STATES OF AMERICA

BY (Signature)

Margaret M. Kelly

23. NAME (Typed)

MARGARET M. KELLY

TITLE: CONTRACTING/ORDERING OFFICER

AUTHORIZED FOR LOCAL REPRODUCTION
Previous edition not usable

VENDOR

OPTIONAL FORM 347 (Rev. 6/95)
Prescribed by GSA; FAR (48 CFR) 53.213(e)

STATE PARTNERSHIP ACTIVITY VERMONT OFFICE OF MINORITY HEALTH PROPOSAL

STATEMENT OF WORK

The Vermont Office of Minority Health seeks \$27,370 for a project to be undertaken by the Vermont Department of Health-Office of Minority Health (VOMH) through subcontracted minority organizations.

- Ensure the capacities of three minority community-based organizations to serve their communities.

The proposal is designed to respond to a primary mission of the DHHS-OMH Office to strengthen and enlarge the national Minority Health Network.

BACKGROUND

Vermont Minority Advisory Process In the fall of 1997, the VOMH established a Minority Advisory Process on behalf of the Commissioner of Health. The Advisory Process began as a one-time activity to address the health needs of the minority populations in Vermont for the Healthy Vermonters 2000 document. The process included the establishment of an Advisory Committee for each racial and ethnic minority group (African American, Asian, American Indian, and Hispanic/Latino). Each committee was assigned a member of the Commissioner's senior management team. These senior managers (Division Directors within the VDH) adopted the role of facilitator for the committee they were assigned to. This created a communication conduit between the minority communities and the senior management team of the Department of Health (VDH). During the first year, each Advisory Committee prepared recommendations to the Commissioner (see attached report) for the Healthy Vermonter 2000 document. These recommendations have been circulated throughout the VDH and have been used to develop VDH activities regarding minority Vermonters.

It was soon evident that the Advisory Committees needed to be on-going so that minority community needs could be reflected in VDH activities in an on-going basis. The committees are continuing with the same senior manager as facilitator and the VOMH as staff for the activities. During the 1998-99 year, the Advisory Committees have been charged with creating objectives for the minority communities to be included in the Department's Healthy Vermonters 2010 activities and documents. These objectives will address the known health disparities within the Vermont minority population.

Vermont Minority Data The 1990 Census showed that approximately two percent of Vermont's population was found to be non-white. The racial/ethnic breakout according to the Census is: 3862 Hispanic/Latino, 2982 Asian, 2215 Native American, and 2194 African American. As with most rural states, Vermont has geographic concentrations of minorities in several counties:

County	Hispanic/ Latino	American Indian	Asian	African American
Addison	187	85	175	137
Bennington	147	106	206	144
Caledonia	105	142	60	74
Chittenden	1294	343	1348	1048
Essex	36	32	2	15
Franklin	184	758	89	25
Grand Isle	23	21	9	12
Lamoille	104	57	91	31
Orange	103	89	67	39
Orleans	98	104	29	33
Rutland	281	103	205	120
Washington	738	130	156	268
Windham	291	93	233	136
Windsor	271	152	310	112

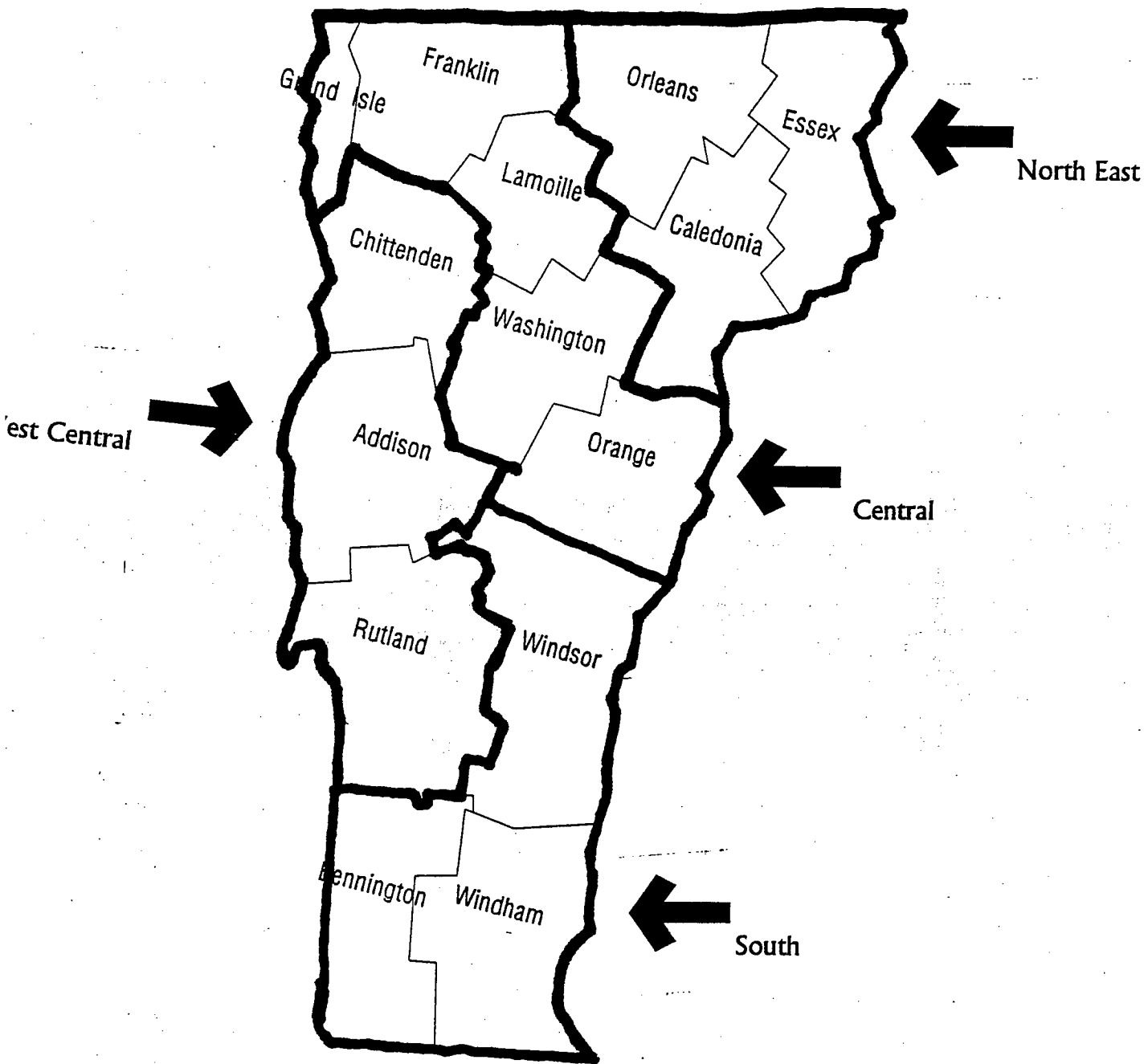
Table 1

Although viewing the Vermont minority population by county is helpful, due to the rural nature of the state it is more beneficial to view the populations by natural geographic boundaries. Thus, by dividing the state into four quadrants, a better picture of the minority population by geographic location is evident:

Geographic Local	Hispanic/Latino	American Indian	Asian	African American
Central (includes Franklin, Grand Isle, Washington, Orange, Lamoille)	1152	1055	412	375
West Central (includes Rutland, Addison, Chittenden)	1762	531	1728	1305
North East (includes Essex, Orleans, Caledonia)	239	278	91	122
South (includes Windsor, Windham, Bennington)	709	351	749	392

Table 2

COUNTIES OF VERMONT



Although the data from 1990 reflects a small population of color, since the Census a growing minority population has been witnessed in the state. Increases are expected in all counties due to migration, immigration, and refugee resettlement. Historically, the needs of the minority population in Vermont have not been specifically addressed by the Department of Health because the proportion and number were so low.

Vermont Office of Minority Health Recognizing that the minority population was increasing, the Vermont Commissioner of Health established the Office of Minority Health in 1994. The Commissioner of Health has charged the VOMH with three directives: to increase the cultural competency of the VDH staff and programs; to build the capacity of minority community-based organizations to serve their constituencies; to monitor the health status of Vermont's minority population. A top priority of the VOMH has been influencing VDH programs to address the health disparities experienced by minority Vermonters. This has resulted in some activities being targeted to minorities, but to date only the HIV/AIDS program and the Alcohol & Drug Abuse program have funded minority community-based organizations to carry out health activities within their own constituencies. This is due in part to programs' view that Vermont minority community-based organizations don't have the current capacity to develop public health programs for their respective minority community.

Health Disparities In Vermont's Rural Minority Populations Due to the historically small number of minorities in the state, the Department of Health has limited data to use for monitoring the health status of Vermonters of color. Recent changes have been made in how the department collects race/ethnic data that will make this easier in the future. Until a time when a critical mass of minority Vermonters is reached, the department must assume that most minority Vermonters reflect the national trends of health disparities. Primary, secondary, and tertiary prevention strategies in rural New England, on the other hand, will reflect specific Vermont needs.

The total Vermont population is 562,758, equivalent to the population size of a metropolitan city. This relatively small population is located primarily in small towns scattered throughout Vermont. Chittenden County is the only "urban" setting in Vermont, with a population of 131,761. More than half of Vermont's minority population is located outside Chittenden County. In discussions about minority health disparities at a national level, the focus of attention is often drawn away from minorities residing in rural New England and towards minorities from the frontier states and/or those found in the south. Rural African Americans are often assumed to be from the South (rather than from a predominately white Hinesburg, Vermont with a population of 3,780); Native Americans are considered to be those from federally recognized tribes residing on reservations in the West (rather than non-recognized Indian families in Essex County, VT with a population of 6,405); Asians are likely to be considered from large populations in California or Seattle (rather than a very small refugee community of Laotians located in Springfield, VT - a town with a population of 9,579); Hispanics/Latinos are frequently assumed to be from the Southwest and of Mexican decent (rather than an immigrant South American individual residing in Brattleboro, VT which has a population of 12,241).

Three Health Areas of Focus: Three disease areas have been chosen for this project. Each has been shown at the national level to have a disproportionate impact on minority populations.

Cancer: Recent national data has shown that African American youth are increasing their smoking behaviors and smoking minority adults have been dying of lung cancer at a higher rate than their white counterparts. Healthy People 2000 states that the smoking prevalence for the Hispanic population to exceed the national average. Vermont BRFSS data (combined for 5 years to get an appropriate sample size) has shown a significant difference between the Native American and the general population, with Native Americans smoking at a much higher rate. New Asian refugee populations (primarily Laotian and Vietnamese) appear to have a high incidence of tobacco addiction according to community leaders.

According to Healthy People 2000, minority women have less information about breast/cervical cancer screening and also have less access to screening. Lack of screening at early stages results in a higher incidence of death within the minority population.

Cardiovascular Disease: HP 2000 states that an increased risk of cardiovascular disease exists in the minority population, especially the rates of high blood pressure in the African American population. High blood pressure, tobacco use, physical inactivity, and diabetes all contribute to cardiovascular disease.

Diabetes: Healthy People 2000 states that the rate of diabetes among American Indian and African American populations is higher than that of the general population. Anecdotal information in Vermont suggests a similar trend.

Healthy People 2000 and Healthy Vermonters 2000 Objectives:

CANCER

HP 2000 16.11: Increase clinical breast exams and mammography every two years to at least 60% of women aged 50 and over.

HV 2000: Increase percent of women who have clinical breast exams and mammograms (age 40+ who have ever had both; age 50+ who have had both within past 1-2 years).

HP 2000 16.12: Increase pap tests every 1-3 years to at least 85% of women aged 18 and older.

HV 2000: Increase the percent of women who have Pap tests (age 18+ who have ever had a Pap test; age 18+ who have ever had one within past 1-3 years).

HP 2000 3.4: Reduce cigarette smoking prevalence to no more than 15% of adults.

HV 2000: Reduce percent of adults who smoke.

HP 2000 3.5: Reduce initiation of smoking to no more than 15% by age 20.

HV 2000: Reduce percent of youth that begin smoking by age 20.

Due to the disparities existing in the minority community regarding cancer, this project will

address this health issue by focusing on the following: (1) increasing awareness and knowledge about breast and cervical cancer screening education and/or self-management and general support; (2) delivering culturally appropriate smoking prevention and/or cessation information to youth and adults, including information of the dangers of second-hand smoke to children.

CARDIOVASCULAR DISEASE

HP 2000 15.5: Increase control of high blood pressure to at least 50% of people with HBP.

HV 2000: Increase percent of adults taking action to control high blood pressure.

HP 15.6: Reduce blood cholesterol to an average of no more than 200 mg/dL.

HV 2000: Increase the percent of primary care providers who use diet, and if necessary, drug therapy to control high cholesterol.

HP 1.3: Increase moderate daily physical activity to at least 30% of people.

HV 2000: Increase percent of adults who exercise regularly.

HP 1.5: Reduce sedentary lifestyles to no more than 15% of people.

Modifiable risk factors to be focused on in this project will include addressing at least one of the following: (1) high blood pressure care/maintenance; (2) high cholesterol and the importance of monitoring; (3) excessive body weight and sedentary lifestyle by increasing daily physical activity.

DIABETES

HP 2000 17.2: Reduce disability from chronic conditions to no more than 8% of people.

HV 2000: not addressed in 2000 document but will be added for 2010

HP 2000 17.9: Reduce diabetes-related deaths to no more than 34 per 100,000 people.

Health education projects addressing diabetes will address at least one of the following: (1) general community education about diabetes and how to lower individual risk; (2) education/support for those living with diabetes of self-management activities to lower risk of further health complications.

PURPOSE

In keeping with the DHHS-OMH Central Office and Region 1 OMH Office focus on developing and strengthening the Minority Health Network, funds from this agreement will be utilized by the VOMH to address disparities in health promotion education of minority Vermonters in three of the four geographic locations in the state (described above in Figure 2). This project directly ties into the mission of DHHS-OMH to "improve the health of racial and ethnic populations through the development of health policies and programs". In addition, this activity will strengthen the partnership across the public and private sectors in Vermont by creating a partnership between the VOMH and minority community-based organizations in the state. These activities will result in an increased capacity of the Vermont minority community-based organizations to provide health information to their constituencies resulting in an increased ability to compete for future Health Department

program funding. This directly addresses the charge to the VOMH to increase the capacity of minority community-based organizations in the state.

In response to the recommendations made to the Vermont Commissioner of Health by the 1997-98 Minority Advisory Committees, three preventable diseases will be addressed in Part I health promotion activities: cancer, cardiovascular disease, and diabetes (see section on 3 areas of focus). Cooperative agreements will be established between the VOMH and appropriate minority community-based organization(s). On behalf of the VOMH, these organization(s) will develop culturally competent health promotion activities to increase the knowledge and awareness of the behavioral changes needed to lower risk for these preventable diseases.

GOAL

To increase each minority population's awareness and knowledge of behaviors that will lessen the risk for one of three preventable diseases: cancer, cardio-vascular conditions, and diabetes through the development of a small health promotion program designed for each cultural community.

OBJECTIVES

1. 50% of those served will show an increase of knowledge and awareness about their population's specific health disparities regarding cancer, cardiovascular disease, and diabetes.
2. 50% of those reached with culturally specific health promotion messages will show an increase in knowledge and awareness of activities that can lower the risk for cancer, cardiovascular disease, and diabetes.
3. At least two minority community-based organizations will successfully plan, design, implement, and evaluate a small health promotion program for their respective constituency.

TASKS & DELIVERABLES

1. **Task:** A cooperative agreement will be made between the VOMH and each representative minority community-based organization.
Deliverable: A copy of each cooperative agreement will be kept on file to document activity.
2. **Task:** Health promotion activities targeting the Hispanic/Latino, African American, Native American, and Asian communities will be developed and delivered in the Central, West Central, and/or Southern sections of Vermont (as described in Figure 2). These activities will be provided by minority community-based organizations in which at least 50% of past organizational activities have been focused on serving the targeted population.
Deliverable: Written justification by each minority community-based organization establishing their history of service to the targeted population.
Deliverable: The health promotion activities are expected to differ between each cultural group. Examples of deliverables for this task are: copies of interpreted/translated verbal and written public announcements (such as posters, flyers, brochures, radio announcements) or curriculum(s) used in small group training sessions.
Task: Each organization will develop a written project design of their health

promotion activity following a format provided by the VOMH.

Deliverable: Each organization will provide the VOMH with a copy of the program design. This will be made available to the other programs within the Department of Health and the DHHS-OMH.

3. **Task:** An assessment tool will be developed by the VOMH to assess the knowledge and awareness of each racial/ethnic population of common health disparities experienced by that population in each disease of focus. This tool will be adapted to be culturally appropriate for each cultural community within the target population by the community-based organization.

Deliverable: A culturally appropriate knowledge and awareness assessment tool for each targeted population.

4. **Task:** Organizational capacity building training provided by the VOMH will be given to each organization depending on the strategy they choose to implement. For example, an organization which plans to provide a secondary intervention strategy regarding smoking may receive VT Lung Association and the VDH Tobacco Program training for facilitating smoking cessation workshops.

Deliverable: Trainer name/affiliation, curriculum and participant list will be kept on file.

5. **Task:** Each community-based organization will report regularly to the VOMH on their activities.

Deliverable: A quarterly report describing # people reached, type of health promotion activity conducted, location of activity, and any other pertinent information necessary to monitor contract activities and specified in the contract agreement will be submitted to the VOMH.

6. **Task:** The VOMH will report regularly to the Region 1 OMH office and the DHHS - OMH Central Office.

Deliverable: A report will be submitted each 6 month period by the VOMH addressing monitoring requirements as written in the agreement between the VOMH and the Federal DHHS/OMH.

EVALUATION

Each individual project will conduct the pre/post test evaluation method using the assessment tool developed by the VOMH and adapted for cultural appropriateness by the minority community-based organization. In addition to the use of this assessment tool, community-based organizations will include a scientifically sound form of evaluation method that addresses the specific activities of the health promotion activity being conducted. For example, to evaluate if a radio announcement in Spanish has reached the targeted audience, an organization may choose to methodically interview Hispanic/Latino people at a local Latino dance to find out if they heard it and understood it.

Time-line

July 1, 1998	⌚ VOMH finalizes contracts with minority community-based organizations.
	⌚ VOMH finalizes the knowledge and awareness assessment tool.
	— First contract payment to Community-based Organizations (CBOs) by VOMH.
July 31, 1998	⌚ Community-based organizations submit their project design to VOMH for approval.

COPY

August 15, 1998 ⌚ Anticipated CBO project start date.

September 15, 1998 ⌚ CBO 1st quarter report due to VOMH.
 _ Second contract payment to CBOs.

December 31, 1998 ⌚ CBO 2nd quarter report due.
 _ Third contract payment to CBOs.

January 15, 1999 ⌚ VOMH submits 1st 6-month activity report to DHHS-OMH.

March 31, 1999 ⌚ CBO 3rd quarter report due.
 _ Fourth contract payment to CBOs.

June 30, 1999 ⌚ CBOs final report due to VOMH.

July 15, 1999 ⌚ VOMH submits final report to DHHS-OMH.

ESTIMATED PROJECT BUDGET

(3) Community Health Awareness Contracts \$ 27,370

Expenses for each CBO contract will be based on the activities performed. An example budget follows:

-CBO staff (200 hrs)	\$ 6,250
-Training expenses	423
-Activity Supplies	1,000
-Mileage	1,000
-Administrative (5%)	450

Total per CBO \$ 9,123

PAYMENT SCHEDULE The Vermont Department of Health will submit request for payment to DHHS-OMH when agreement activities have been completed. The VOMH will provide payment to CBOs quarterly.

VOMH CONTACT and VENDOR TAX ID NUMBER

Lauren Corbett, MSW
Public Health Specialist
VT Office of Minority Health
PO Box 70
Burlington, VT 05402
phone: 802.863.7273
fax: 802.651.1634
e-mail: lcorbet@vdh.state.vt.us
Vendor Tax ID Number: 03-6000274

**STATE OF VERMONT
GRANT ACCEPTANCE FORM**

JFO #1830

GRANT SUMMARY

DATE: August 31, 1998

DEPARTMENT: Agency of Natural Resources, Department of Environmental
Conservation, Office of Water Programs

GRANT/DONATION: State Dam Safety

GRANTOR/DONOR: United States Federal Emergency Management Agency (FEMA)
Flood, Fire and Mitigation Branch
500 C Street, S.W., Room 350
Washington, D.C. 20472

AMOUNT/VALUE: \$10,921

POSITIONS REQUESTED (LIMITED SERVICE):

SEP 14 1998

None

COMMENTS:

The FEMA dam safety grant will be utilized for training, equipment and operating expenses to assist Office of Water Program engineers in dam safety inspections. Some of the materials to be purchased includes a small lightweight rowboat, update reference library publications and computer software. The entire grant is expected to be spent in fiscal year 1999.

DEPT. FINANCE AND MANAGEMENT:
SECRETARY OF ADMINISTRATION:
SENT TO JOINT FISCAL OFFICE:

(INITIAL)
(INITIAL)
(DATE)

ME
FGH
9-10-98

STATE OF VERMONT
REQUEST FOR GRANT ACCEPTANCE
(use additional sheets as needed)

FORM AA-1
(Rev. 9-90)

1. Agency: **Natural Resources**
2. Department: **Environmental Conservation**
3. Program: **Water Quality Division**
4. Legal Title of Grant: **State Dam Safety Grant Program**
5. Federal Catalog No.:
6. Grantor and Office Address: **Federal Emergency Management Agency**
Acquisition Operations Division
Flood, Fire & Mitigation Branch
500 C Street, S.W., Room 350
Washington, DC 20472
7. Grant Period: **1 year** From: **9/01/98** To: **8/31/99**

8. Purpose of Grant (attach additional sheets if needed):

To encourage the establishment and maintenance of effective State dam safety programs which are in the interest of improving dam safety for non-Federal dams.

9. Impact on Existing Programs if Grant is not Accepted:

This grant will be used to develop and perform dam safety inspections; without this grant, these inspections cannot be done. This is 100% federal funding.

10. Budget Information:	(1st State FY) <u>FY 1999</u>	(2nd State FY) <u>FY 2000</u>	(3rd State FY) <u>FY 2001</u>
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EXPENDITURES:

Personal Services			
Operating Expenses	\$ 10,921.00		
Other			
<hr/>			
TOTAL	\$ 10,921.00	\$ -	\$ -

REVENUES:

State Funds:

Cash

In-Kind

Federal Funds:

(Direct Costs) \$ 10,921.00

(Statewide Indirect)

(Department Indirect)

Other Funds:

(source)

TOTAL	\$ 10,921.00	\$ -	\$ -
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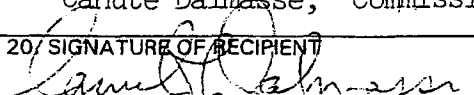
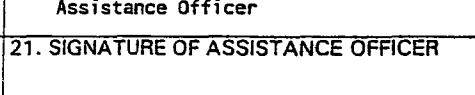
Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u> 0106630602	\$	<u>Amounts</u> 10,921.00
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ASSISTANCE AWARD/AMENDMENT

1. ASSISTANCE INSTRUMENT <input type="checkbox"/> COOPERATIVE AGREEMENT <input checked="" type="checkbox"/> GRANT		2. TYPE OF ACTION <input checked="" type="checkbox"/> AWARD <input type="checkbox"/> AMENDMENT	
3. INSTRUMENT NUMBER EMW-1998-GR-0307	4. AMENDMENT NUMBER	5. EFFECTIVE DATE See Block 21	6. CONTROL NUMBER W345086Y
7. RECIPIENT NAME AND ADDRESS State of Vermont Dept. of Environmental Conservation 103 South Main Street Waterbury VT 05671-0406		8. ISSUING/ADMINISTRATION OFFICE Federal Emergency Management Agency Acquisition Operations Division Flood, Fire & Mitigation Branch 500 C Street, S.W., Room 350 Washington DC 20472 Specialist: Scott Drega (202) 646-3756	
9. RECIPIENT PROJECT MANAGER Peter Barranco, Jr.		10. FEMA PROJECT OFFICER Rita Henry (202) 646-2704	
11. ASSISTANCE ARRANGEMENT <input checked="" type="checkbox"/> COST REIMBURSEMENT <input type="checkbox"/> COST SHARING <input type="checkbox"/> FIXED PRICE <input type="checkbox"/> OTHER	12. PAYMENT METHOD <input checked="" type="checkbox"/> TREASURY CHECK REIMBURSEMENT <input type="checkbox"/> ADVANCE CHECK <input type="checkbox"/> LETTER OF CREDIT	13. PAYMENT OFFICE Federal Emergency Management Agency Financial Operations Division Disbursement Processing Branch 500 C Street, S.W., Room 723 Washington DC 20472	
14. ASSISTANCE AMOUNT PREVIOUS AMOUNT \$.00 AMOUNT THIS ACTION \$10,921.00 TOTAL AMOUNT \$10,921.00		15. ACCOUNTING & APPROPRIATION DATA 98-3-2530-2100-2580D (P) \$10,921.00	

16. DESCRIPTION OF PROJECT

State Dam Safety Grant Program

17. RECIPIENT REQUIREMENT <input checked="" type="checkbox"/> RECIPIENT IS REQUIRED TO SIGN AND RETURN THREE (3) COPIES OF THIS DOCUMENT TO THE ISSUING/ADMIN OFFICE IN BLOCK 8. <input type="checkbox"/> RECIPIENT IS NOT REQUIRED TO SIGN THIS DOCUMENT.			
18. RECIPIENT (Type name and title) Canute Dalmasse, Commissioner		19. ASSISTANCE OFFICER (Type name and title) Chandra Lewis Assistance Officer	
20. SIGNATURE OF RECIPIENT 		21. SIGNATURE OF ASSISTANCE OFFICER 	
DATE 8/21/98		DATE	

NATIONAL DAM SAFETY PROGRAM

1998 State Financial Assistance Submittal

The primary purpose of the National Dam Safety Program is to encourage the establishment and maintenance of effective State dam safety programs and to provide financial assistance incentives to States that are moving toward improved safety of non-Federal dams in their States. Public Law 104-303 provides for a two-tiered assistance program: primary assistance and advanced assistance.

For each fiscal year, amounts made available to carry out Section 8 of Public Law 104-303 will be allocated among the States as follows: (1) one-third among States that qualify for primary assistance (Section 8(f)); and two-thirds among States that qualify for primary assistance (Section 8(f)), to each State in proportion to (a) the number of dams in the State that are listed as State-regulated dams on the National Inventory of Dams; and (b) the number of dams in all States that are listed as State-regulated dams on the National Inventory of Dams.

At the first meeting of the National Dam Safety Review Board, which is charged with advising the Director of the Federal Emergency Management Agency (FEMA) on the State assistance program and evaluating State progress, it was decided that all Fiscal Year (FY) 1998 funds will be allocated to primary assistance. Funding in future years will be allocated to both primary and advanced assistance.

For States to receive funding under Section 8, the State dam safety office must complete this application, sign it, and return all appropriate documentation. FEMA will mail a notice of receipt to each State that has submitted an application. The National Dam Safety Review Board will review the applications and recommend the approval or denial of each application received. On receipt of a recommendation from the National Dam Safety Review Board, FEMA will review the recommendation and prepare a letter for the Director of FEMA's signature signifying approval of the application and identifying the amount of assistance to be provided.

I. COMPLIANCE WITH BASIC CRITERIA IN PUBLIC LAW 104-303, SECTION 215, SUBSECTION 8(f)(2)(A)

Please indicate whether your State Dam Safety Program meets the following criteria authorized by State legislation:

(i) the authority to review and approve plans and specifications to construct, enlarge, modify, remove, and abandon dams;

YES x

NO

If Yes, submit statute or regulation and identify as complying with criteria (i).

COMMENTS: Not "abandon" at present. Seeking this as part of proposed legislation (H-596) to upgrade dam safety statute. Did not pass this year, plan to reintroduce next year. (10 VSA Section 1082).

(ii) the authority to perform periodic inspections during dam construction to ensure compliance with approved plans and specifications;

YES x

(10 VSA Section 1086
and Section 1090)

NO

If Yes, submit statute or regulation and identify as complying with criteria (ii).

COMMENTS: Authority but no resources. We require as part of all permit to construct/alter a dam, that the dam owner's professional engineer perform close inspection during construction, submit daily reports, as-built and certify project built in accordance with approved plans & specs.

(iii) a requirement that, on completion of dam construction, State approval must be given before operation of the dam;

YES x

NO

If Yes, submit statute or regulation and identify as complying with criteria (iii).

COMMENTS: Standard permit conditions (10 VSA Section 1086).

(iv)(I) the authority to require or perform the inspection, at least once every 5 years, of all dams and reservoirs that would pose a significant threat to human life and property in case of failure to determine the continued safety of the dams and reservoirs; and

YES X

NO

If Yes, submit statute, regulation, and/or department policy and identify as complying with criteria (iv)(I).

COMMENTS: Authority but inadequate resources. We inspect all ANR and other state owned High and Significant hazard dams at least once every five years. Seeking statutory revisions to require owner to hire PE to inspect. Utility dams follow State PSB and FERC (10 VSA Section 1105) rules..

(iv)(II) a procedure for more detailed and frequent safety inspections;

YES

NO -X

If Yes, submit statute, regulation, and/or department policy and identify as complying with criteria (iv)(II).

COMMENTS: Seeking this under proposed legislation (H-596).

(v) a requirement that all inspections be performed under the supervision of a State-registered professional engineer with related experience in dam design and construction:

YES X

NO

If Yes, submit statute, regulation, or departmental policy.

COMMENTS: "Yes" for state inspections. Seeking this for non-state inspections under proposed legislation. Utility dams follow PSB and FERC requirements. (10 VSA Section 1105).

(vi) the authority to issue notices, when appropriate, to require owners of dams to perform necessary maintenance or remedial work, revise operating procedures, or take other actions, including breaching dams when necessary;

YES

NO X

If Yes, submit statute or regulation and identify as complying with criteria (vi):

COMMENTS: Not unless found to be "unsafe" under the statute. Seeking this authority under proposed legislation. (10 VSA Section 1095).

(vii) regulations for carrying out the legislation of the State described in this subparagraph;

YES X

NO

If Yes, submit regulation or other department documentation and identify as complying with criteria (vii).

COMMENTS: Only PSB has inspection regulations now; DEC does not. DEC is seeking authority under proposed legislation for broad authority to adopt dam safety regulations.

(viii) provisions for necessary funds--

(I) to ensure timely repairs or other changes to, or removal of, a dam in order to protect human life and property; and

YES

NO X

(II) if the owner of the dam does not take action described in subclause (I), take appropriate action as expeditiously as practicable;

YES

NO X

If Yes to (viii)(I) and (II), submit the source of the funds and the statutory authority that created the fund as well as the procedures to obtain emergency funds. Submit the amount of the fund and identify as complying with criteria (viii)(I) and (II).

COMMENTS: State can take action in an emergency. (10 VSA Section 1095(c)) but no funds provided for this.

(ix) a system or emergency procedure to be used if a dam fails or if the failure of a dam is imminent; and

YES

NO X

If Yes, submit a description of the emergency procedures and their authority and identify as complying with criteria (ix).

COMMENTS: Proposed legislation would require EAPs and notifications of problems (including imminent failure) by owner of dam. At present we can only act if a dam is "unsafe" and an emergency exists where there is not time to go through normal statutory procedure for an "unsafe" dam. (10 VSA Section 1095(c)).

(x) an identification of--

(I) each dam the failure of which could be reasonably expected to endanger human life;

YES X

NO

(II) the maximum area that could be flooded if the dam failed; and

YES X

NO

(III) necessary public facilities that would be affected by the flooding.

YES X

NO

COMMENTS: State currently classifies dams in accordance with the Corps system (PL92-367) and is proposing to change classification system similar to that proposed by ICODS and the Model law.

- All new or reconstructed dams are required to have breach analysis and inundation map. Many of the high and significant hazard dams have breach analysis -- some new and some from the Phase I inspections. Some of the older studies need to be updated. Some low hazard dams also have breach analysis. As part of the ~~immediate~~ plan, affected structures are included but all may not be individually identified.

inundation

II. EXISTING STATE DAM SAFETY PROGRAM

A. List the number of Full-Time Equivalents (FTE's) including engineers, geologists, hydrologists, technicians, inspectors, and administrative support.

Engineers	<u>1.1 +/-</u>
Geologists	<u> </u>
Hydrologists	<u> </u>
Planners	<u> </u>
Technicians	<u> </u>
Inspectors	<u> </u>
Administrative/Clerical	<u>0.1 +/-</u>
Others	<u> </u>
 Total FTE's	 <u>1.2 +/-</u>

B. Submit the State's current (Fiscal Year 1998) dam safety program budget.

\$ 76,000

COMMENTS: Two PE's are assigned to the program, however, other duties, e.g. capital construction, dam operation and maintenance, recreation facility management and special projects reduce FTE's actually available for dam safety program functions.

C. Submit the State's dam safety program expenditures for the past two fiscal years (FY 1996 and FY 1997).

FY 1996 \$ 71,000

FY 1997 \$ 73,000

COMMENTS: See B.

D. List the number of dams that meet the Federal definition of a dam and are listed as State-regulated dams on the National Inventory of Dams. A "State-regulated dam" is defined as a dam meeting the National Inventory of Dams criteria for which the State executes one or more of the following general responsibilities: (a) inspection; (b) enforcement; or (c) permitting.

High Hazard Potential Dams	<u>47</u>
Significant Hazard Potential Dams	<u>132</u>
Low Hazard Potential Dams	<u>159</u>

E. Indicate the frequency of inspections for:

High Hazard Potential Dams:	every <u>SEE #3 and #4</u> BELOW
Significant Hazard Potential Dams:	every _____
Low Hazard Potential Dams:	every _____

Comments in our current program:

1. Downstream hazard clarifications are based on the Corps of Engineers Guidelines under PL92-367. Under both High and Significant hazard, loss of life is a possibility ("up to a few" and "more than a few") as well as property damage consideration.
2. Under our proposed legislation we will attempt to meet the Model Programs (ICODS) definitions but may have to modify those or phase those in over many years.
3. Under our current programs, our goals for inspection frequency are:

High	Annually
Significant	1 - 3 years
Low	5 - 10 years
4. Under proposed legislation we will probably adopt similar frequencies directly or as a result of rule making.
5. For utility dams, inspection frequency set by FERC and PSB.

III. STATE PROPOSAL

Describe in detail your State's proposal for the expenditure of FY 1998 funds. The proposal should describe (1) the area in which your State will apply the funds, *i.e.*, public awareness, research, or training; (2) the final product or outcome to be realized with the funds; and (3) how the product or outcome will improve or enhance the State dam safety program. Please note that in FY 1999, you will be asked to provide an accounting of FY 1998 funds and to report on the success of your State in meeting the outcomes described in this proposal.

SEE ATTACHMENT

National Dam Safety Program Act
PL 104-303

1998 State Financial Assistance Submittal

VERMONT

III STATE PROPOSAL.

Vermont's Dam Safety Program proposes to spend FY 1998 assistance funds to enhance its dam safety program in one or more of the following ways:

1. The primary emphasis will be on staff training and participation in seminars, conferences and work shops. Taking courses on inspecting dams, the NWS Dam Break and Floodwave computer models, seepage and stability analysis models and attendance at regional technical seminars and the ASDSO annual conference will all be high priorities. It is felt that on-going training for dam safety program staff is essential to improving and maintaining program effectiveness.
2. We plan to publish and distribute to all dam owners an owner's guide to dam safety issues similar to that of Pennsylvania but adapted where needed to Vermont requirements. We feel this will be an important public awareness activity.
3. We plan to add to our reference library of dam safety publications and computer software to keep abreast with the technical issues affecting the program and to improve our knowledge and effectiveness in matters relating to dam safety.
4. The program's dam inventory that is on topographical maps needs to be upgraded. The maps are old and worn and most date from the Corps Phase I inventory in the late 1970s. We plan to purchase new and up-to-date maps and have a summer intern begin working towards updating these maps.
5. We need a car top 12 foot aluminum row boat for dam inspections. There are many times that the only practical access to a dam or appurtenances is by boat, soundings are needed or an inspection of the reservoir area is needed. A small light weight row boat is more practical and safer for inspections than a canoe.
6. Major dam safety statute revisions (H-596) were introduced in the past legislative session but were defeated. These revisions incorporated many of the provisions of the Model State Dam Safety Program developed by ASDSO. We will be resubmitting this legislation during the next legislative session and would use the money to supplement this effort such as preparations of supporting documents.

Submitted by:

VERMONT

State

A. Peter Barranco, Jr., P.E.

Dam Safety Official Name -- Typed or Printed

Dam Safety Engineer

Title

Signature

May 19, 1998

Date

Item 8.a. - Tax Department revenue system - deferral of timetable and budget

Proposed motion for JFC consideration:

The Committee accepts the request from Edward Haase, Commissioner of Taxes (as outlined in his September 2, 1998 letter to the JFC Chair) for an extension to mid-summer 1999 of the date for submission of a timetable and budget with respect to expansion of the Tax Department revenue system. *[Reference: Sec. 41 of Act 62 of the 1997 legislative session]*



Mailing Address
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee

From: Stephen Klein, Legislative Fiscal Officer

Date: September 11, 1998

Subject: Additional materials for the meeting on September 16, 1998

The Administration has forwarded to us two items related to the meeting on the 16th:

1. A request for the use of the Environmental Contingency Fund for Windsor Cleanup

An additional \$500,000 spending authority, bringing the total cleanup authorization to \$1,150,000 in order to pay for additional remedial action.

2. A withdrawal of item 5. A. (1) - Limited Service Positions request

Item being withdrawn due to concerns about the Joint Fiscal Committee authority to approve such a request.

The final agenda will reflect these items for committee consideration.



STATE OF VERMONT
AGENCY OF ADMINISTRATION

September 10, 1998

Sally Fox, Chair
Joint Fiscal Committee
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

**Re: Use of the Environmental Contingency Fund for Windsor School
Cleanup**

Dear Representative Fox:

At the Joint Fiscal meeting of September 11, 1997, the Committee agreed to authorize a spending limit of \$650,000 from the Environmental Contingency Fund (ECF) for soil contamination clean-up of property owned by the Windsor School District in Windsor, Vermont. The property is the site of the former Windsor State Prison. It was important, at that time, that the work proceed quickly, as the Windsor students had just returned to school. That work has been completed.

Since that time, confirmatory sampling, geared to the evaluation of the effectiveness of the 1997 cleanup, demonstrated that soil contamination was more widespread than the original testing had indicated. Two athletic fields are among the other affected areas, a football field and a softball field. The estimated cost of this additional remedial action is \$530,000. There is about \$48,000 of unused authority in the Environmental Contingency Fund from the Joint Fiscal Committee's action from last year.

In non-emergency situations, the Secretary of Natural Resources may make disbursements from the ECF above \$100,000 for a project only with the approval of the Legislature "or the Joint Fiscal Committee, in case the general assembly is not in session." (10 V.S.A. §1283(b)). Any further expenditure of funds from the ECF above the \$650,000 already authorized requires additional JFC action.

For the Committee's consideration, I recommend the following draft motion authorizing an additional \$500,000 authority from the Environmental Contingency Fund:

Representative Sally Fox, Chair
September 10, 1998
Page 2

Pursuant to 10 V.S.A. § 1283(b), motion is hereby made to approve the disbursement of \$1,150,000 from the Environmental Contingency Fund for contamination cleanup and related activities at the Windsor School District site.

The ECF statute also requires that a \$100,000 balance be retained in the fund, except in emergency situations. The current balance of the ECF is \$961,112, so this request does not place the fund in danger of falling below the required balance.

Also attached, for your information, is an outline of expenditures made and projected on the Windsor cleanup project.

Secretary of Natural Resources John Kassel will be present at the Joint Fiscal Committee meeting on September 16, 1998 to answer any questions that the Committee may have relative to the specifics of this phase of the cleanup work.

In the meantime, if you should have any questions, please feel free to call me.

Sincerely,

Bill Stawley, Rep. Sec.

for

Kathleen C. Hoyt
Secretary of Administration

Attachment

KCH/kdo

UPDATE ON WINDSOR

8-Sep-98

	<i>Paid-to-date</i>	<i>Estimated Outstanding</i>	<i>Total</i>	<i>Notes:</i>
Windsor School Cleanup Fund (Department of Corrections, special fund)	507,833		507,833	Authorized in Section 110b of No. 61 of 1997. Emergency Board Action (9/11/97) authorized limit of \$697,500. Fund is managed by the Department of Corrections.
Department of Corrections (contract cost, general fund)	360,000	141,700	501,700	Payments to DoC consultant; Ogden Engineering. Amendment to contract is in process.
Environmental Contingency Fund (Agency of Natural Resources, special fund)	602,308	530,000	1,132,308	Limit of \$650,000 was authorized by JFC on 9/11/97 (revised from earlier \$722,000 which received preliminary phone approval). Administered by ANR. There is currently a proposal to request additional authority from the JFC.
	1,470,141	671,700	2,141,841	



STATE OF VERMONT
AGENCY OF ADMINISTRATION

MEMO TO: Members of the Joint Fiscal Committee

FROM: Kathleen C. Hoyt, Secretary of Administration *Ky B. Mearns*

DATE: September 11, 1998

SUBJECT: Withdrawal of Request for Positions

On your agenda for Wednesday, September 16, 1998 there is a request for forty-one Limited Service Positions to be authorized under your authority set forth in Sec. 275 of the FY-99 Appropriations Act. I am, through this memo, withdrawing that request which appears as Item 5. a. (1).

The forty-one positions in question, although approved by the full legislature, were stipulated to be "transfer and converts" from existing state positions. The request for authorization of new positions by the Joint Fiscal Committee was made in recognition that the vacancy rate in state government is very low and the "transfer and convert" strategy was no longer a viable option. We still feel that way.

However, there has developed a difference of opinion among attorneys familiar with this issue concerning the authority of the JFC to effect this change. We do not want any confusion on the issue of authority so we will wait for the return of the full legislature to submit this request.

KCH/brs

CC: Eileen Boland, Commissioner, Dept. of Personnel
Stephen Klein, Legislative Fiscal Officer

LEGEND

EXISTING ROAD
 APPROXIMATE EDGE OF BROOK
 APPROXIMATE EDGE OF PLAYING FIELD
 APPROXIMATE EDGE OF WOODS
 APPROXIMATE FLOODWAY LIMITS
 (ESTIMATED FROM FLOOD
 INSURANCE RATE MAP)

SITE OF FORMER WOOD
 PRESERVING OPERATIONS
 (GROSSLY CONTAMINATED
 SOILS REMOVED IN 1997
 REMEDIAL ACTION)

NEW PLAY FIELD
 (COVERED WITH 2"
 CLEAN SOIL IN 1997
 REMEDIAL ACTION)

WINDSOR SCHOOL

STATE STREET

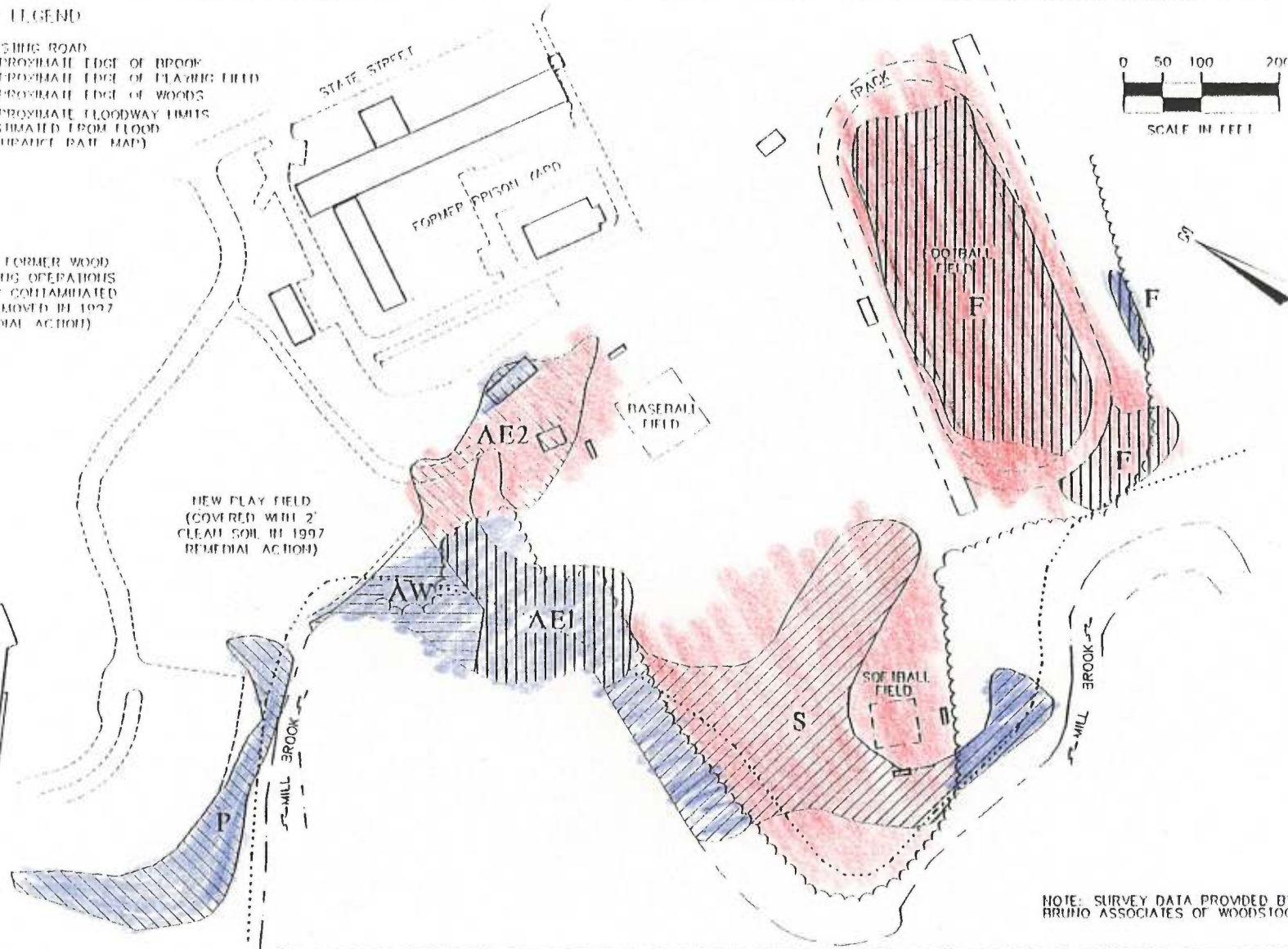
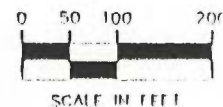
FORMER PRISON (APP)

BASEBALL FIELD

TRACK

FOOTBALL FIELD

SOFTBALL FIELD



NOTE: SURVEY DATA PROVIDED BY
 BRUNO ASSOCIATES OF WOODSTOCK, VT

FIGURE 2: AREAS OF POTENTIAL CONCERN
 WINDSOR SCHOOL SITE
 WINDSOR, VERMONT

CONCERN.dwg

THE JOHNSON COMPANY, INC.
 Environmental Sciences and Engineering
 100 STATE STREET MONTPELIER, VT 05602
 DATE: 8/17/98 PROJECT: 1-2277-7
 DRAWN BY: TJK SCALE: 1"=200'




Mailing Address:
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

**STATE OF VERMONT
JOINT FISCAL COMMITTEE**
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

TO: Joint Fiscal Committee Members

FROM: Maria Belliveau 

DATE: September 14, 1998

SUBJECT: Human Services Caseload Reserve Report

Attached please find a copy of the Human Services Caseload Reserve Report. Section 119a of Act No. 147 of 1998 requires that the Secretary of Administration report to the Joint Fiscal Committee at its first meeting following September 1 of each year on the carry-forward to the reserve fund. This report will be added to the Joint Fiscal Committee meeting agenda on September 16. Secretary of Administration Kathy Hoyt will be available to discuss the report with the Committee.



STATE OF VERMONT
AGENCY OF ADMINISTRATION

Date: September 14, 1998
To: Joint Fiscal Committee
From: *Kathleen C. Hoyt*
Kathleen C. Hoyt, Secretary of Administration
Subject: Human Services Caseload Reserve

Pursuant to 1998 Act 147 Sec 119a (adding 32 V.S.A. Sec 308 (b)), I am reporting that the amount of \$7,388,308 was transferred to the Human Services Caseload Reserve as part of the SFY-1998 close out procedures.

This amount was achieved as a result of the caseload reduction in the aid to needy families with children program and through effective management of related federal receipts under the SSBG and CCDF programs.

As of June 30, 1998, a balance of \$5,037,558 of TANF funds remains at the federal level for future caseload needs. Combined with the state Human Services Caseload Reserve mentioned above, a total of \$12,425,866 is available to Vermont for future caseload growth.

handout 9/16/98



Mailing Address
1 Baldwin Street
Drawer 33
Montpelier, Vermont 05633-5701

Tel.: (802) 828-2295
Fax: (802) 828-2483

STATE OF VERMONT
JOINT FISCAL COMMITTEE
1 Baldwin Street
Montpelier, Vermont 05633-5701

MEMORANDUM

To: Joint Fiscal Committee, Other interested parties

From: Stephen A. Klein, JFO

Date: July 16, 1998

Subject: Reserve funds and counter cyclical funds

Attached please find the summary of state reserve and counter cyclical funds that we discussed at the Joint Fiscal Committee meeting. You will note that nine states have set up more extensive revenue stabilization funds or economic uncertainty funds including Alabama, Alaska, California, Iowa, Michigan, Mississippi, Nevada, Oklahoma, and Texas.

As of last November, at least six of these states had percentages of general funds at 7.5% or more. Alaska's reserves are legendary and a constitutional budget reserve. Iowa's Economic Emergency Fund, and Michigan's Counter Cyclical Budget and Economic Stabilization Fund are interesting models. Mississippi, Nevada, Oklahoma have higher stabilization reserve thresholds.

I trust you will find this interesting.

CC Commissioner Pelham
Secretary Hoyt

Table: State Budget Stabilization Funds				
State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions)	Percent of General Fund Appropriations
ALABAMA				
<i>Education Proration Prevention Fund (S)</i>	Automatic appropriation of \$21M in the first year (following the fund's depletion) and \$8M thereafter up to \$75M. Automatic appropriation can be waived via emergency resolution.	Declaration of proration by governor, or declaration of emergency by legislature with a 2/3 vote.	0	0
ALASKA				
<i>Budget Reserve Fund (S)</i>	By appropriation.	By appropriation.	3,135.90	129.7
<i>Constitutional Budget Reserve Fund (C)</i>	Mineral litigation/dispute settlements.	1) If the amount available for appropriation for a fiscal year is less than the amount appropriated for the previous fiscal year; 2) for any public purpose with a 3/4 vote.		
ARIZONA				
<i>Budget Stabilization Fund (S)</i>	By appropriation (amount determined by formula comparing real, adjusted Arizona personal income growth to 7 year trend); fund capped at 5% of prior year GF revenue.	By appropriation (amount determined by formula); 2/3 vote is required to waive formula-determined withdrawal.	243	4.9
CALIFORNIA				
<i>Special Fund for Economic Uncertainties (S)</i>	Year-end surplus or by appropriation.	1) Transfer by controller to cover revenue shortfall or other GF deficiency; 2) Director of finance can allocate funds for disaster relief (with notification to the Joint Legislative Budget Committee).	408	0.8
COLORADO				
<i>Required Reserve (S)</i>	4% of GF appropriations.	Automatic expenditure when revenue estimates fall below targets; fund can only be used to cover appropriations already authorized. ¹	166.7	3.9
CONNECTICUT				
<i>Budget Reserve Fund (S)</i>	Year-end surplus; fund capped at 5% of net GF appropriations for the fiscal year in progress.	Automatic appropriation to cover budget deficit to the extent that funds are available.	241	2.60%
DELAWARE				
<i>Budget Reserve Account (C)</i>	Automatic deposit from previous year's unencumbered funds; fund capped at 5% of estimated GF revenues.	By appropriation to cover budget deficit or to compensate for revenue reductions; requires 3/5 vote.	92.9	5.3
FLORIDA				
<i>Working Capital Fund (S)</i>	Year-end surplus until fund reaches minimum level of 5% of net GF revenue for the previous fiscal year; fund capped at 10%.	By appropriation when governor declares an emergency.	686	4.4
<i>Budget Stabilization Fund (S)</i>	Automatic deposit beginning in FY 1995 equal to 1% of previous year's GF revenue collections, increasing each year until the reserve reaches minimum level of 5% (in FY 1999); principal fund balance capped at 10%.	By executive transfer when revenue collections in the general revenue fund will be insufficient to meet general revenue fund appropriations.		

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
GEORGIA				
Revenue Shortfall Reserve (S)	Year-end surplus; fund capped at 3% of net revenue collections.	By appropriation.	315	2.9
IDAHO				
Budget Reserve Account (S)	By appropriation.	By appropriation.	28.5	2
INDIANA				
Counter-Cyclical Revenue and Economic Stabilization Fund (S)	Statutory formula triggered when the annual growth rate in adjusted personal income exceeds 2%; fund capped at 7% of state GF revenue.	Statutory formula triggered when the annual growth rate in adjusted personal income is less than a negative 2%.	466.2	5.9
IOWA				
Cash Reserve Fund (S)	By appropriation when there is a year-end GF surplus; fund capped at 5% of the adjusted GF revenue estimate for the current fiscal year.	By appropriation for non-recurring emergency expenditures; requires 3/5 vote if the fund's balance drops to less than 3% of the adjusted revenue estimate for the year in which the appropriation is made.	430	10.4
Economic Emergency Fund (S)	By appropriation when there is a year-end GF surplus; fund capped at 5% of the adjusted revenue estimate for the current fiscal year.	By appropriation for emergency expenditures.		
KANSAS				
Budget Stabilization Fund (S)	Funded by a one-time federal disproportionate share windfall; fund expected to be depleted by the end of FY 1996.	By appropriation.	0	0
KENTUCKY				
Budget Reserve Trust Fund (S)	By appropriation; fund capped according to provisions in the biennial budget act.	Allotted by governor to meet a revenue shortfall; ² governor must notify legislature.	200	3.5
LOUISIANA				
Revenue Stabilization - Mineral Trust Fund (C)	Automatic deposit of revenues exceeding \$750M from taxes on the production of, or exploration for, minerals. With some limitations, the \$750M base may be increased every 10 years, beginning in the year 2000, by a law enacted by a 2/3 vote.	By appropriation, not to exceed one-third of the fund and requiring a 2/3 vote when: 1) the official forecast for a fiscal year is less than revenues received by the state in the preceding fiscal year; 2) If a deficit for the current fiscal year is projected due to a decrease in the official forecast.	0	0
MAINE				
Rainy Day Fund (S)	Transfer from the GF unappropriated surplus; fund capped at 4% of total GF revenues received in the immediately preceding fiscal year.	Subject to annual legislative deliberations. ¹	43.5	2.5
MARYLAND				
Revenue Stabilization Account (S)	By appropriation. Beginning in FY 1995, the governor shall include in the budget bill an appropriation equal to at least the lesser of \$50M or the amount necessary for the fund balance to exceed 5% of estimated GF revenues for the fiscal year.	Transferred by governor if authorized by an act of the General Assembly or specifically authorized in the state budget bill as enacted; amount of transfer is reduced by amount of general fund budget reductions made by legislature.	489.3	6.6

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions	Percent of General Fund Appropriations
MASSACHUSETTS				
<i>Commonwealth Stabilization Fund (S)</i>	After the year-end GF consolidated net surplus is determined, a portion can be used as general revenue in the current fiscal year. Of the remaining surplus, 60% is transferred to the stabilization fund; fund capped at 5% of current fiscal year revenues.	By appropriation: 1) to make up any difference between actual state revenues and allowable state revenues when actual revenues fall below the allowable amount; 2) to replace the state and local loss of federal funds; 3) for any event that threatens the health, safety or welfare of the people or the fiscal stability of the state.	794.1	4.5
MICHIGAN				
<i>Countercyclical Budget & Economic Stabilization Fund (S)</i>	Statute requires appropriation of an amount equal to (annual growth rate in real personal income in excess of 2%) X (total GF revenues for the fiscal year ending in the current calendar year). Fund is capped at 25% of GF revenues.	If annual growth rate in real personal income is negative, withdrawal equals (deficiency) X (total GF revenues for the fiscal year ending in the current calendar year), but no more than needed to balance budget.	1,212.50	14.6
MINNESOTA				
<i>Budget & Economic Stabilization Fund (S)</i>	By surplus until the total amount in the account equals 5% of total GF appropriations for the current biennium. Restoration of the reserve should occur when objective measures, such as increased growth in total wages, reflect upturns in the state's economy.	By transfer authorized by the commissioner of finance, with approval of the governor and in consultation with the Legislative Advisory Commission, when: 1) a negative budgetary balance is projected and when objective measures (such as reduced growth in total wages) reflect downturns in the state's economy; 2) probable receipts for the GF will be less than anticipated and the amount available for the rest of the biennium will be insufficient.	697.3	7.2
MISSISSIPPI				
<i>Working Cash Stabilization Reserve Fund (S)</i>	Year-end surplus until the fund reaches \$40M; thereafter, 50% of the unencumbered GF cash balance until the fund reaches 7.5% of GF appropriations.	Transfer by the executive director of the Department of Finance & Administration: 1) to meet cash-flow needs (borrowed funds must be repaid within the same fiscal year); 2) to cover deficits (up to \$50M in any one fiscal year); 3) to provide funds for disaster assistance.	209	7.5
MISSOURI				
<i>Budget Stabilization Fund (S)</i>	By appropriation; fund is not to exceed 5% of the receipts into the GF for the proceeding fiscal year.	By appropriation to the governor to meet budget shortfalls.	120	1.9
NEBRASKA				
<i>Cash Reserve Fund (S)</i>	Transfer by state treasurer when actual GF net receipts for the preceding 3 months exceed estimated receipts for the 3-month period.	Transfer is made to the GF when the cash balance in the GF is inadequate to meet current obligations.	40.9	2.2

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance (\$ millions)	Percent of General Fund Appropriations
NEVADA				
<i>Fund to Stabilize Operation of State Government (S)</i>	Transfer by controller of 40% of revenues in excess of required fund balance, which is 10% of GF appropriations; fund capped at \$100M.	By appropriation only if: 1) the total actual revenue of the state falls short by 5% or more of the total anticipated revenue for the biennium in which the appropriation is made; 2) the legislature and governor declare a fiscal emergency.	129	8.3
NEW HAMPSHIRE				
<i>Revenue Stabilization Reserve Account (S)</i>	With some limitations, transfer by comptroller of any surplus at the end of each biennium; fund capped at 5% of actual GF unrestricted revenues for the most recently completed fiscal year.	Transfer by comptroller with the approval of fiscal committee and governor when: 1) GF operating deficit occurred for most recently completed fiscal year; and 2) unrestricted GF revenues in the most recently completed fiscal year were less than budget forecast. Fund cannot be used for any other purpose without a 2/3 vote and governor's approval.	20	2.3
NEW JERSEY				
<i>Surplus Revenue Fund (S)</i>	50% of actual revenue collections in excess of governor's certification of revenues; fund capped at 5% of anticipated revenues.	By appropriation only: 1) upon certification by the governor that anticipated GF revenues are estimated to be less than those certified upon approval of appropriations act; 2) upon findings by the legislature that to offset anticipated GF revenue declines, an appropriation from the fund is more prudent than a tax increase; 3) when the governor declares an emergency and notifies the Joint Legislative Budget Oversight Committee.	327.7	2.1
NEW MEXICO				
<i>Operating Reserve Fund (S)</i>	Transfer from GF.	By specific authorization of the legislature only in the event that GF revenues and balances are insufficient to meet authorized levels of appropriations.	122.2	4.1
NEW YORK				
<i>Tax Stabilization Reserve Fund (S)</i>	Year-end surplus up to 0.2% of aggregate GF disbursements; reserve fund cannot exceed 2% of GF disbursements for the fiscal year.	By transfer at the end of a fiscal year when GF receipts fall below the aggregate amount disbursed from the GF. The fund also can be temporarily loaned to the GF to assist with cash flow.	317	1
NORTH CAROLINA				
<i>Savings Reserve Account (S)</i>	Transfer of 1/4 of any unreserved credit balance at the end of the fiscal year; fund capped at 5% of previous year's GF appropriations.	The fund cannot be tapped unless approved by an act of the General Assembly.	501	4.8

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions)	Percent of General Fund Appropriations
NORTH DAKOTA				
Budget Stabilization Fund (S)	Transfer of GF surplus in excess of \$70M at the end of the biennium.	Governor may transfer for revenue shortfall in excess of 2 1/2% of the estimate made by the most recently adjourned Assembly.	0	0
OHIO				
Budget Stabilization Fund (S)	Transfer from GF by the director of Budget & Management; a written report on the transfer must be submitted to the Controlling Board; fund capped at 4% of GF revenues for the preceding fiscal year.	By appropriation.	828.3	6.2
OKLAHOMA				
Constitutional Reserve Fund (C)	Transfer by the state treasurer of surplus GF revenue; fund is capped at 10% of GF revenue for the preceding fiscal year.	Up to 1/2 of the balance may be appropriated if: 1) forthcoming fiscal year GF revenue is certified to be less than that of current fiscal year certification; or 2) emergency declaration by governor with concurrence by Legislature with a 2/3 vote; 3) joint emergency declaration by speaker and president pro tempore with concurrence by Legislature with a 3/4 vote.	307.8	7.5
PENNSYLVANIA				
Tax Stabilization Reserve Fund (S)	By appropriation; fund capped at 3% of GF revenue estimates.	By appropriation with 2/3 vote when governor declares an emergency or to counterbalance downturns in the economy that will result in significant unanticipated revenue shortfalls.	221	1.3
PUERTO RICO				
Budgetary Fund (S)	Not less than 1/3 % of the Budget Joint Resolution (the governor or director of OMB may order depositing a larger amount); fund capped at 6% of the appropriated funds of the Budget Joint Resolution in any year.	OMB director may transfer funds to cover appropriations when resources are insufficient, to provide for payment of public debt service, to address any unexpected situation in the public service, or to honor obligations of programs funded with contributions or grants from the U.S. government that have not been received.	16.8	0.3
RHODE ISLAND				
Budget Reserve and Cash Stabilization Account (S)	By transfer; fund capped at 3% of total fiscal year resources.	By appropriation when the budget officer declares that actual GF revenue will not equal the original estimates upon which appropriations were based. ⁷	53.4	3

Table: State Budget Stabilization Funds

State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions)	Percent of General Fund Appropriations
SOUTH CAROLINA				
Capital Reserve Fund (S)	By appropriation an amount equal to 2% of GF revenue of the latest completed fiscal year.	By appropriation when revenues at the end of the fiscal year are projected to be less than expenditures authorized by appropriation for that year. If the fund is not tapped for that reason, it can be used for other purposes with 2/3 vote of members present and voting, but not less than 3/5 vote of total membership. ⁹	127	2.7
General Reserve Fund (C)	Transfer of GF revenues in excess of annual operating expenditures; fund is capped at 3% of GF revenue of the latest completed fiscal year.			
Carnell-Felder Set-Aside Account (S)	By appropriation for non-recurring purposes.	By appropriation to prevent a year-end deficit. ⁹		
SOUTH DAKOTA				
Budget Reserve Fund (S)	Transfer of prior year unobligated cash balance; fund capped at 5% of GF appropriations for the prior fiscal year.	By appropriation.	24.6	3.8
TENNESSEE				
Reserve for Revenue Fluctuations (S)	By appropriation.	By transfer by the commissioner of Finance and Administration to offset revenue shortfalls, with notification to the chairs of the Finance, Ways & Means Committees of the Senate and House. ⁹	101	1.8
TEXAS				
Economic Stabilization Fund (C)	Transfer of 1/2 of any unencumbered general revenue fund balance at end of each biennium plus portions of oil and natural gas production tax collections. The Legislature also may appropriate additional funds; fund capped at 10% of general revenue fund deposits (excluding interest and investment income) during the preceding biennium. ¹⁰	By appropriation with a 3/5 vote of members present if: 1) the comptroller certifies that appropriations from general revenue made by the preceding legislature for the current biennium exceed available general revenues for the remainder of the biennium; 2) an estimate of anticipated revenues for a succeeding biennium is less than the revenues estimated to be available for the current biennium; 3) for any purpose with 2/3 vote of members present.	8.5	0
UTAH				
Budget Reserve Account (S)	25% of GF surplus; fund capped at 8% of the GF appropriation for the fiscal year in which the surplus occurred.	By appropriation to cover operating deficits or retroactive tax refunds.	71.8	2.4
VERMONT				
Budget Stabilization Trust Fund (S)	Undesignated GF surplus; fund is capped at 5% of GF appropriations for the prior fiscal year; also any additional amounts as may be authorized by the General Assembly.	Transfer by the commissioner of Finance and Management to the extent necessary to offset a GF deficit.	35.1	4.9

Table: State Budget Stabilization Funds				
State	Method for Deposit	Method for Withdrawal	Estimated FY97 Ending Balance \$ millions)	Percent of General Fund Appropriations
VIRGINIA				
Revenue Stabilization Fund (C)	By formula as specified in the state's constitution; fund capped at 10% of the average annual tax revenues for the three fiscal years immediately preceding.	By appropriation (up to 1/2 of the fund's balance) with specific provisions"	160	2
WASHINGTON				
Budget Stabilization Account ¹ (S)	By appropriation based on statutory formula.	By appropriation, with 60% vote, to provide of continuation of agency programs when revenues fall below forecast, for labor force training, or for any purpose the Legislature determines would reduce unemployment caused by the state's economic cycle.	none	none
Emergency Reserve Fund ^{1a} (S)	Beginning in FY 1996, transfer by state treasurer of all state revenues in excess of the state expenditure limit for that fiscal year; fund capped at 5% of biennial GF state revenues.	By appropriation, with 2/3 vote required, only if the appropriation does not cause total expenditures to exceed the state expenditure limit.		
WEST VIRGINIA				
Revenue Shortfall Reserve Fund (S)	Beginning in FY 1995, transfer of the first 50% of all surplus revenues accrued during the fiscal year just ended; fund capped at 5% of GF appropriations for the fiscal year just ended.	By appropriation to meet any anticipated revenue shortfall.	71.5	2.9
WISCONSIN				
Budget Stabilization Fund (S)	By appropriation.	By appropriation.	0	0
WYOMING				
Budget Reserve Account (S)	Year-end surplus plus appropriations.	By appropriation.	0	0

The states of Arkansas, Hawaii, Illinois, Montana and Oregon and the District of Columbia do not have budget reserve funds.

Abbreviation Key:

C = Constitutional S = Statutory
GF = General Fund FY = Fiscal Year
M = Million

Sources: Fund Descriptions—NCSL compilation, April 1995
Fund Balances—NCSL State Budget Actions, November 1994

Notes:

1. Colorado: If economic conditions require expenditures from the fund, the governor must develop a plan that would maintain the reserve at no less than 2%. The plan is subject to legislative modification.
2. Kentucky: Conditions governing the use of the fund are attached to its appropriation every two years. At the end of the biennium, the fund lapses and has to be recreated. The state also has created in the general fund the Surplus Fund Account. No expenditures may be made from the account unless appropriated by the legislature, or unless required by the budget reduction provisions of the budget bill.
3. Maine: According to statute, appropriations may be made by a 2/3 vote of the legislature upon recommendation of the governor, but only for prepayment of outstanding GF bonds or for major construction. In practice, however, the legislature has enacted exceptions to the statute to use the funds as needed for emergencies, disasters, or other expenditures deemed necessary.

- 4 Minnesota: Beginning July 1, 1993, forecast unrestricted budgetary CF balances are first appropriated to restore the budget reserve and cash flow account to \$500M. Effective July 1, 1995, \$180M of the account shall be dedicated to elementary and secondary education.
- 5 Missouri: The General Assembly may appropriate to the governor any portion of the existing balance to cover budget shortfalls. Also, in any year in which the governor finds it necessary to withhold appropriated funds, the governor may order the commissioner of administration to make transfers from the fund to fulfill expenditures authorized by appropriation. The governor must notify the General Assembly of his intent to make such an authorization; and, if not disapproved by concurrent resolution within 30 days of the receipt of such notice by the General Assembly, the authorization is considered valid. Further, the General Assembly shall not appropriate money from the fund without authorization from the governor.
- 6 New York: Once borrowed, fund must be paid back within six years in three equal installments. Repayments to the Tax Stabilization Reserve Fund shall be stipulated in annual budget bills.
- 7 Rhode Island: State statutes call for the fund to be repaid in the second fiscal year following the fiscal year in which a transfer was made from the fund and, when necessary, in subsequent fiscal years.
- 8 South Carolina: Funds withdrawn from the General Reserve Fund must be restored annually at a rate of not less than 1% of the general fund revenue of the latest completed fiscal year until the fund is restored to 3%. If the Capital Reserve Fund is not tapped to address a budget deficit, the Legislature (with a 2/3 vote of members present and voting, but not less than 3/5 of the total membership) can appropriate money from the fund: 1) to finance in cash previously authorized capital improvement bond projects; 2) to retire interest or principal on bonds previously issued; or 3) for capital improvements or other non-recurring purposes. The Carnell-Felder Set-Aside Account was authorized beginning in FY 1995 to cushion the state's budget against unforeseen revenue shortfalls stemming from inaccurate revenue estimates. By the end of FY 1995, the account is projected to contain \$54.5 million.
- 9 Tennessee: The statute declares legislative intent to be that, to the extent possible, revenue shortfalls will be offset by reductions in expenditures before using amounts in the reserve fund.
- 10 Texas: The constitutional amendment creating the fund mandates the following revenue transfers to it: 1) one-half of any unencumbered general revenue fund balance at the end of each fiscal biennium; 2) an amount of general revenue equal to 75% of the amount by which oil production tax collections in any future fiscal year exceed oil production tax collections in fiscal year 1987; 3) an amount of general revenue equal to 75% of the amount by which natural gas production tax collections in any future fiscal year exceed oil production tax collections in the fiscal year 1987. (For purposes of calculating the transfer, natural gas tax collections would be adjusted to reflect 12 months of collections in each fiscal year.)
- 11 Virginia: The General Assembly may appropriate an amount for transfer from the fund to compensate for no more than one-half of the difference between the total general fund revenues appropriated and a revised general fund revenue forecast presented to the General Assembly prior to or during a subsequent regular or special legislative session. However, no transfer shall be made unless the general fund revenues appropriated exceed such revised general fund revenue forecast by more than 2% of certified tax revenues collected in the most recently ended fiscal year.

STATE	Name of Program	Performance Budgeting and Strategic Planning Authority	Coordinating Entity	Conversion to Performance Measures and/or Strategic Plan	Performance Measures In Signed Budget	On-going Evaluation of Performance Measures	Dedicated Staff	Legislative Oversight	Employee Involvement	Policy on Number of State Employees	Problems/ Opportunities	Special Attributes of program
FLORIDA	Performance Based Program Budgeting (PB)2	In Statute - Government Accountability Act of 1994	Governor's Office of Planning and Budgeting	Legislation passed in 1994 requiring that initially several agencies be piloted and all agencies be participating by year 2002.	Yes. The performance measures appear in the budget signed by the Governor	Legislative Office of Program Policy Analysis and Government Accountability (OPPAGA) evaluates, justifies and audits agency programs that are in the PBB system. Legislature has final authority to approve all performance measures.	The OPPAGA has a staff of 88 primarily dedicated to review and analysis of performance measures. This staff was formerly part of Auditor General's Office. No new staff added for (PB)2.	Both the standing and money committee review the performance measures.	Employees of various levels are involved with strategic planning at the agency level	No cap on positions. Performance budgeting determines how many staff people are appropriate to achieve department's goals	Some department's have had problems developing outcome measures	The Commission of Government Accountability to the People conducts a survey of the general population to determine priorities. A new State Council on Competitive Government considers privatization initiatives. Created a State Innovation Commission to assess innovative projects.
INDIANA	Indiana Commitment to Quality	No statute. Effort is directed by Governor on a voluntary basis. Previous Governor initiated perf measures in '94	Central staff in Governor's Office. Developed teams to assist with training.	Departments had the option of converting over last four years	No. Measures in detailed budgets submitted by agencies to the legislature. Not in budget bill.	Not routinely evaluated	One full time staff person in Governor's Office, Governor's Executive Assistant for Government Performance. About 150 employees have been trained in agencies.	The performance measures are primarily looked at by the appropriations committees	The amount of staff involvement varies buy department.	No cap on the number of state employees. The Governor would like to shrink government by eliminating programs and becoming more efficient.	The quality of performance measures varies by department, there is a need to tighten connection between perf. measures and spending decisions, more departments need to sign onto project.	
IOWA	Strategic Planning for Results and Budgeting for Results	In statute passed in 1994	Planning teams across agencies	Phased in from 1994 through 2000 when all agencies will be involved	Yes. State policy objectives appear in budget act as signed by the Governor	Requirement for teams to report to Governor on a quarterly basis	Added two new staff positions. Created two task forces out of existing staff which were then trained in planning and developing performance measures	Measures reviewed primarily by appropriation committees	Rank and file involved in planning at agency level. Goals are reflected in individual employee evaluations at end of each year.	There is no cap on the number of state employees. There is a third party private entity that administers all contracts, including personal service contracts.	The new system gives legislators more accountability to constituents, they love it. However, there needs to be more dialog between approp. committees and the agencies on perf. measures.	Council of State Governments has given Iowa an award for having system of polling Iowans about priorities. These priorities set the Governor's agenda and are reflected in agencies performance measures.
LOUISIANA	The Louisiana Government Performance and Accountability Act of 1997	In statute, HB 185 of 1997. Have had performance measures for many years but no link previously made to spending decisions.	Governor's Office of Planning and Budget	All departments required to participate in year one but elements of program being phased in over 4 years	Yes. The measures appear in the final Act as signed by the Governor.	Quarterly reports showing progress towards achieving annual goals required to be submitted to Joint Legislative Comm on Budget, Legislative Fiscal Office, Legislative Auditor, and Gov Office. LFO reviews measures and reports to legislature.	Six new staff people were hired as a result of House Bill 185 in the Governor's Office of Planning and Budget.	Fiscal Office prepares quarterly reports for Legislature detailing progress. Standing committees have been asked to review or focus on performance measures and strategic plans which did not go over very well. The standing committees were not interested but the money committees have been.	Employees of all ranks are involved in strategic planning process at agency level. Approx. 900 staff have been formerly trained in developing performance measures.	No cap on number of state employees, however, the legislature is very concerned about the number of personal service contracts. A commission (CRISP) has been established to review all contracts.	There is a need for additional staff resources in the legislature and the Governor's office to implement program. Need to make sure that these efforts will be part of decision making process.	Constitution prohibits employee bonuses, however, there is are incentives for reaching performance goals through an existing employee incentive program.
OREGON	Oregon Shines and Oregon Progress Board	In statute. SB 170, SB 636, SB 1130. In 1989 a 20 year vision for Oregon's strategic development was completed called "Oregon Shines". In order to implement "Oregon Shines" strategies the independent Oregon Progress Board was established in 1989.	The Oregon Progress Board is primarily responsible for the implementation of Oregon Shines strategies. The Board has created benchmarks to get indicators of progress, measurable on a yearly basis.	In 1993 the Legislature required that agencies tie their performance measures to benchmarks. Oregon's Legislature adopted 160 benchmarks in 1990. There are currently 259 benchmarks divided into three broad categories.	No. Benchmarks do not appear in the final budget bills as signed by the Governor.	The Oregon Progress Board conducts on-going updates and evaluations and updates of benchmarks. This process involves many agencies as well as information from the private sector, counties, other states and countries.	The Oregon Progress Board was established to implement the Oregon Shines strategies and has a staff of 3 permanent people. Periodically the Board gets assistance from the private and public sector. Agencies and the Governor's Office have trained staff.	Benchmarks are used in varying degrees. Some Legislators integrate them into their decision making process, others do not. The benchmarks are reviewed and adopted by the Legislature. One issue has been that some republicans associate Oregon Shines with the Democrats due to the recent leadership in the Governors office and the Legislature. The Republicans recently moved to not fund the Oregon Progress Board until some issues were resolved.	The amount of non-management employee involvement in strategic planning varies at the agency level. Some agencies involve employees at every level, some do not.	Yes. Statutorily there is a cap on the number of state employees in that the total number cannot be greater than a given percent of the population. The number of state employees is significantly under this cap.	Several agencies work on a single benchmark making it unclear where the responsibility for outcomes rests. For example there are nine separate agencies working on teenage pregnancy prevention. They are not always well coordinated. Another issue is that the program is voluntary in that agencies sign up to be primary agencies on specific benchmarks resulting in other agencies not being clear about their role.	Oregon has an extensive process for establishing and monitoring benchmarks. The process of establishing benchmarks involves many sectors including the population at large which is was polled in 1996.
TEXAS	Efficiency, Effectiveness and Accountability for Texas	In statute, HB2009 and SB 1332 passed in '91 and '93. Have had measures for 25 years with no link to spending. This leg requires every agency to prepare a six year strategic plan, updated every two years to be submitted with budget request.	No new staff was added to support initiative although the Legislative Budget Board which has a staff of about 100 has primary responsibility for performing annual performance measure assessments. The Office of Governor is very weak compared to the Legislature.	All 250 state agencies and institutions of higher education are a part of the planning process and have developed over 2,500 measures and targets. All agencies came on board first year.	Yes. Performance measures appear in Act as signed by the Governor.	A planning and performance budget structure was developed that has become the template for department's budget requests. Agencies must prove that they have successfully met goals over a two year period. Auditor verifies that these measures being reported have been achieved. Once a year the staff of the Legislative Budget Board prepares a one or two page assessment of each agencies goals and progress made towards achieving goals.	This new responsibility was assumed primarily by the existing staff of the Legislative Budget Board. The staff works with the administration to prepare the instructions sent to state agencies regarding developing performance measures and strategic plans.	Strategic plans and performance measures are reviewed by appropriations committees as well as standing committees.	The amount of non-management employee involvement in strategic planning varies at the agency level. Some agencies involve employees at every level, some do not.	Last legislative session the number of FTE positions was capped based on historic levels of employees. As a result, contracts have increased, which is becoming a concern. Texas needs to get a handle on the number of contract employees. The State Auditor's Office is looking into this and will be issuing a report in November	A survey was recently sent to all state agencies asking them for feedback on the strategic planning and performance measurement system. Feedback was generally good but there is concern about the overall quality of the measurements. A handbook was developed to help the agencies. Within the 250 state agencies and over 8000 perf measures there is a range of quality.	Texas Legislature requires development of agency specific and statewide benchmarks to provide interstate comparison of government performance. A reward system has been built in for agencies that have achieved stated goals.
UTAH	Utah Tomorrow	No legislation establishing performance measures. Development of performance measures established by administrative initiative in 1995. Legislation passed in 1991 establishing the Utah Tomorrow Committee which developed a set of mission statements and long range goals that were presented for adoption as state policy standards during the '93 Legislative session. Departments are not required to measure progress towards goals.	Established the permanent Utah Tomorrow Strategic Planning Committee made up of agency heads, legislators and local government officials. This committee has established a strategic plan for state.	Some agencies have established very good perf. measures and others have done very little	No. Agencies are not required to meet goals set in performance measures. Spending decisions are not tied to measures.	The Utah Tomorrow Planning Committee reviews measures on an irregular basis. The Office of Legislative Research and General Council and the Governor's Office periodically review measures. No formal report or evaluation of measures is made.	No new staff added to support his initiative. People in Governor's Office, the agencies and the Office of Legislative Research and General Council have been trained in strategic planning and developing performance measures. Task forces have been set up to define goals and objectives and measures for several broad categories of activities such as natural resources, health and safety and human services. The staff of the Office of Legislative Research and General Council staffs the Utah Tomorrow Committee	Performance measures and strategic plans are reviewed by some standing committees as well as appropriations. Several members of the House have been challenging the concept of strategic planning, seeing it as central planning, therefore a bad thing.	The amount of non-management employee involvement in strategic planning varies at the agency level. Some agencies involve employees at every level, some do not.	There is no limitation on number of state employees although the Governor and Legislature is very concerned about the overall size of state government	There has been no link made between performance measures and spending in part because of the way the task groups have defined goals across broad functions of government. No one department or agency is responsible for any single outcome. Legislature does not fully support concept of planning and performance measures	This is a cooperative effort between the Legislature and Administration. The action of getting the Utah Tomorrow Committee together has brought attention to strategic planning. Several local governments have participated in the process and have had positive results.



STATE OF VERMONT
AGENCY OF ADMINISTRATION

MEMO TO: Members of the Joint Fiscal Committee

FROM: Kathleen C. Hoyt, Secretary of Administration *Kathleen C. Hoyt*

DATE: September 11, 1998

SUBJECT: Withdrawal of Request for Positions

On your agenda for Wednesday, September 16, 1998 there is a request for forty-one Limited Service Positions to be authorized under your authority set forth in Sec. 275 of the FY-99 Appropriations Act. I am, through this memo, withdrawing that request which appears as Item 5. a. (1).

The forty-one positions in question, although approved by the full legislature, were stipulated to be "transfer and converts" from existing state positions. The request for authorization of new positions by the Joint Fiscal Committee was made in recognition that the vacancy rate in state government is very low and the "transfer and convert" strategy was no longer a viable option. We still feel that way.

However, there has developed a difference of opinion among attorneys familiar with this issue concerning the authority of the JFC to effect this change. We do not want any confusion on the issue of authority so we will wait for the return of the full legislature to submit this request.

KCH/brs

CC: Eileen Boland, Commissioner, Dept. of Personnel
Stephen Klein, Legislative Fiscal Officer

Comparison of Actual Receipts to FY '99 E-Board Forecast

General Fund Targets (July Forecast)

	Jul	Aug	Sep	Oct	Nov	Dec	Jun
<u>Personal Income</u>							
Mo. Target	23.4	22.9	41.2	29.1	23.4	38.2	41.5
Cum. Target	23.4	46.3	87.6	116.6	140.0	178.2	376.3
Mo. Actual	24.4	24.8					
Cum. Actual	24.4	49.2					
Diff. fm Mo. Target	1.0	1.9					
Diff. fm Cum. Target	1.0	2.9					
<u>Sales & Use</u>							
Mo. Target	16.9	16.4	16.8	18.2	16.0	16.7	14.8
Cum. Target	16.9	33.3	50.1	68.3	84.3	101.0	201.0
Mo. Actual	17.2	18.3					
Cum. Actual	17.2	35.5					
Diff. fm Mo. Target	0.3	1.9					
Diff. fm Cum. Target	0.3	2.2					
<u>Corporate Income</u>							
Mo. Target	1.1	0.7	7.3	1.2	0.5	6.8	5.7
Cum. Target	1.1	1.9	9.1	10.4	10.9	17.8	38.6
Mo. Actual	0.5	0.9					
Cum. Actual	0.5	1.5					
Diff. fm Mo. Target	(0.6)	0.2					
Diff. fm Cum. Target	(0.6)	(0.4)					
<u>Meals & Rooms</u>							
Mo. Target	4.8	6.2	6.2	6.9	5.5	4.6	4.9
Cum. Target	4.8	11.0	17.2	24.2	29.7	34.2	68.8
Mo. Actual	5.0	7.0					
Cum. Actual	5.0	12.1					
Diff. fm Mo. Target	0.2	0.8					
Diff. fm Cum. Target	0.2	1.0					
<u>Property Transfer</u>							
Mo. Target	1.4	1.4	1.5	1.5	1.3	1.8	0.4
Cum. Target	1.4	2.8	4.2	5.8	7.1	8.9	15.1
Mo. Actual	1.5	1.6					
Cum. Actual	1.5	3.0					
Diff. fm Mo. Target	0.1	0.2					
Diff. fm Cum. Target	0.1	0.2					
<u>Other Revenue</u>							
Mo. Target	5.4	9.0	7.3	5.6	7.6	9.7	9.6
Cum. Target	5.4	14.4	21.6	27.3	34.8	44.5	101.7
Mo. Actual	5.5	9.6					
Cum. Actual	5.5	15.1					
Diff. fm Mo. Target	0.1	0.6					
Diff. fm Cum. Target	0.1	0.8					
<u>Total Revenue</u>							
Mo. Target	53.0	56.7	80.2	62.6	54.3	77.9	76.9
Cum. Target	53.0	109.7	190.0	252.5	306.8	384.7	801.5
Mo. Actual	54.2	62.2					
Cum. Actual	54.2	116.4					
Diff. fm Mo. Target	1.2	5.5					
Diff. fm Cum. Target	1.2	6.7					

Comparison of Actual Receipts to FY '99 E-Board Forecast

Transportation Fund Targets		(July Forecast)						
		<u>Jul</u>	<u>Aug</u>	<u>Sep</u>	<u>Oct</u>	<u>Nov</u>	<u>Dec</u>	<u>Jun</u>
<u>Gasoline</u>								
Mo. Target		3.9	4.1	4.8	4.6	3.6	4.7	4.5
Cum. Target		3.9	8.0	12.7	17.3	20.9	25.6	49.2
Mo. Actual		4.2	3.8					
Cum. Actual		4.2	8.1					
Diff. fm Mo. Target		0.3	(0.2)					
Diff. fm Cum. Target		0.3	0.1					
<u>Diesel</u>								
Mo. Target		0.4	1.3	1.0	0.8	1.6	1.5	1.9
Cum. Target		0.4	1.6	2.6	3.5	5.0	6.5	13.8
Mo. Actual		0.5	1.3					
Cum. Actual		0.5	1.8					
Diff. fm Mo. Target		0.2	(0.0)					
Diff. fm Cum. Target		0.2	0.2					
<u>Purchase & Use</u>								
Mo. Target		2.2	4.2	4.3	4.6	3.5	3.9	7.3
Cum. Target		2.2	6.3	10.6	15.2	18.7	22.5	49.6
Mo. Actual		2.9	5.1					
Cum. Actual		2.9	8.0					
Diff. fm Mo. Target		0.7	1.0					
Diff. fm Cum. Target		0.7	1.7					
<u>Other Taxes</u>								
Mo. Target		0.0	0.1	0.2	0.3	0.2	0.1	0.2
Cum. Target		0.0	0.2	0.3	0.6	0.8	0.9	1.6
Mo. Actual		0.0	0.2					
Cum. Actual		0.0	0.2					
Diff. fm Mo. Target		(0.0)	0.1					
Diff. fm Cum. Target		(0.0)	0.1					
<u>DMV Fees</u>								
Mo. Target		2.5	3.2	2.9	2.9	2.3	2.4	4.8
Cum. Target		2.5	5.7	8.7	11.6	13.8	16.2	39.7
Mo. Actual		2.7	3.2					
Cum. Actual		2.7	5.9					
Diff. fm Mo. Target		0.2	0.0					
Diff. fm Cum. Target		0.2	0.2					
<u>Other Revenue</u>								
Mo. Target		0.2	0.6	0.7	0.8	0.7	1.2	1.1
Cum. Target		0.2	0.9	1.6	2.4	3.1	4.3	9.3
Mo. Actual		0.3	0.4					
Cum. Actual		0.3	0.7					
Diff. fm Mo. Target		0.1	(0.2)					
Diff. fm Cum. Target		0.1	(0.2)					
<u>Total Revenue</u>								
Mo. Target		9.2	13.5	13.8	14.0	11.8	13.8	19.8
Cum. Target		9.2	22.7	36.5	50.5	62.3	76.1	163.2
Mo. Actual		10.6	14.1					
Cum. Actual		10.6	24.7					
Diff. fm Mo. Target		1.4	0.6					
Diff. fm Cum. Target		1.4	2.0					

Comparison of Actual Receipts to FY '99 E-Board Forecast

Education Fund Targets

(July Forecast)

	Jul	Aug	Sep	Oct	Nov	Dec	Jun
Lottery Reciepts							
Mo. Target	1.0	1.7	2.3	2.0	2.0	2.0	3.6
Cumulative Target	1.0	2.7	5.0	7.1	9.1	11.1	24.5
Mo. Actual	1.0	1.2					
Cumulative Actual	1.0	2.2					
Diff. From Mo. Target	(0.0)	(0.6)					
Diff. From Cum. Target	(0.0)	(0.6)					
Telecomm. Sales Tax							
Mo. Target	0.9	0.9	0.9	1.0	0.9	0.9	0.8
Cumulative Target	0.9	1.8	2.7	3.7	4.6	5.5	11.0
Mo. Actual	0.9	1.1					
Cumulative Actual	0.9	2.0					
Diff. From Mo. Target	(0.0)	0.2					
Diff. From Cum. Target	(0.0)	0.2					
Corporate Income							
Mo. Target	0.3	0.2	1.7	0.3	0.1	1.6	1.3
Cumulative Target	0.3	0.4	2.1	2.4	2.6	4.2	9.0
Mo. Actual	0.1	0.2					
Cumulative Actual	0.1	0.3					
Diff. From Mo. Target	(0.1)	0.0					
Diff. From Cum. Target	(0.1)	(0.1)					
Meals & Rooms							
Mo. Target	1.0	1.4	1.4	1.6	1.2	1.0	1.1
Cumulative Target	1.0	2.4	3.8	5.4	6.6	7.6	15.2
Mo. Actual	0.7	2.0					
Cumulative Actual	0.7	2.6					
Diff. From Mo. Target	(0.4)	0.6					
Diff. From Cum. Target	(0.4)	0.2					
Bank Franchise							
Mo. Target	0.8	0.0	0.2	0.9	0.0	0.2	0.2
Cumulative Target	0.8	0.9	1.1	2.0	2.0	2.2	4.3
Mo. Actual	1.0	0.0					
Cumulative Actual	1.0	1.0					
Diff. From Mo. Target	0.1	(0.0)					
Diff. From Cum. Target	0.1	0.1					
Gasoline							
Mo. Target	1.0	1.1	1.3	1.2	1.0	1.2	1.2
Cumulative Target	1.0	2.1	3.4	4.6	5.6	6.8	13.1
Mo. Actual	0.9	1.2					
Cumulative Actual	0.9	2.1					
Diff. From Mo. Target	(0.1)	0.1					
Diff. From Cum. Target	(0.1)	0.0					
Purchase & Use							
Mo. Target	0.4	0.8	0.9	0.9	0.7	0.8	1.5
Cumulative Target	0.4	1.3	2.1	3.0	3.7	4.5	9.9
Mo. Actual	0.5	0.9					
Cumulative Actual	0.5	1.4					
Diff. From Mo. Target	0.1	0.1					
Diff. From Cum. Target	0.1	0.1					
Registration Fees							
Mo. Target	0.2	0.2	0.2	0.2	0.2	0.2	0.2
Cumulative Target	0.2	0.4	0.5	0.7	0.9	1.1	2.1
Mo. Actual	0.1	0.2					
Cumulative Actual	0.1	0.3					
Diff. From Mo. Target	(0.1)	0.1					
Diff. From Cum. Target	(0.1)	(0.0)					
Total Revenue							
Mo. Target	5.7	6.3	8.8	8.1	6.1	7.9	9.9
Cumulative Target	5.7	12.0	20.9	29.0	35.0	42.9	89.1
Mo. Actual	5.2	6.8					
Cumulative Actual	5.2	12.0					
Diff. From Mo. Target	(0.5)	0.5					
Diff. From Cum. Target	(0.5)	(0.0)					



State of Vermont

Department of Personnel

Commissioner's Office
110 State Street
Montpelier, VT 05620-3001
(802) 828-3491 (voice)
(802) 828-5580 (fax)

MEMORANDUM

TO: Anne Noonan, VSEA Director
FROM: Eileen M. Boland
DATE: 9/16/98
SUBJECT: Amended language

A handwritten signature in black ink, appearing to read "Eileen M. Boland".

E. Plan Overview:

Second dot point

Vermont's current practice of aggregating all positions and functions regardless of funding source is replaced by **smaller, more manageable groupings**. Positions do not move between categories without budget and strategic planning reviews. The new system will provide flexibility in meeting human resource needs and should **reduce reliance on temporary and contracted personal services**. Temporary positions or personal service contracts that are performing the ongoing and continued work of state government will be converted into positions in the classified service that are either limited service or permanent positions.

J. Concepts Requiring Further Development:

New bullet after second dot point.

Converting temporary positions or personal service contracts that are performing the ongoing and continued work of state government into positions in the classified service that are either limited service or permanent positions.

