

# A G E N D A

## JOINT FISCAL COMMITTEE

November 12, 1992

10:00 a.m.

Room 10, State House

1. **Approval of Minutes (September 10 meeting)**
2. **Expenditures and revenues - bimonthly report by Secretary of Administration**
3. **Grant, gift, position requests:**
  - a. **Public Safety (JFO #1520) - Federal Emergency Management Agency (FEMA) - \$134,170 grant - Emergency Broadcast System**
  - b. **Social & Rehabilitation Services (JFO #1521) - \$83,333 from U. S. Department of Health and Human Services (HHS), Administration for Children and Families - coordination of delivery of early childhood and family support services**
  - c. **Agriculture (JFO #1532) - \$25,000 grant from Geraldine R. Dodge Foundation - development of model animal welfare legislation**
  - d. **Economic Development (JFO #1529) - U. S. Department of Agriculture - \$44,000 to establish Vermont Rural Development Council - establishment of one (1) exempt limited service position, Executive Director**
  - e. **Fish and Wildlife (JFO #1533) - \$18,900 gift from Hinesburg Land Trust toward purchase of 90-acre wetlands parcel bordering Lewis Creek, Hinesburg**
  - f. **Aging and Disabilities (JFO #1530) - HHS, - \$111,229 grant - outreach and health insurance information for Medicare beneficiaries**
  - g. **Criminal Justice Training Council (JFO #1519) - acceptance from U. S. Justice Department of \$3,343, forfeiture of assets in narcotics case**
  - h. **Criminal Justice Training Council (JFO #1528) - \$2,400 gift from Long Distance North Corporation - toll free telephone assistance - Drug Abuse Resistance Education Program**

- i. **Transportation (JFO #1531)** - grant of \$40,551 in FY 1993 from Federal Highway Administration - automation requirements - fuel tax reporting and registration
- j. **Transportation (JFO #1537)** - Federal Highway Administration grant of \$76,250 FY 1993 - task force to upgrade compliance with motor fuel taxes

**4. Joint Fiscal Office [to be taken up immediately after lunch]**

**Grant, gift. position requests (continued)**

- \* k. **Education (JFO #1522)** - \$6,075 grant from U. S. Department of Education for services for immigrant students in public schools
- l. **Education (JFO #1523)** - U. S. Department of Education grant - \$29,812 in FY 1993 - development of programs in critical foreign languages
- m. **Mental Health and Mental Retardation (JFO #1534)** - \$156,684 grant from HHS, Administration for Children and Families - integrated systems to gather financial and treatment information on clients
- n. **Mental Health and Mental Retardation (JFO #1535)** - \$101,250 HHS, Alcohol, Drug Abuse and Mental Health Administration grant - improve service delivery to severely emotionally disturbed young adults
- o. **Forests, Parks and Recreation (JFO #1536)** - \$18,850 Vermont Community Foundation grant to winterize Cheney House in Westmore
- p. **Forests, Parks and Recreation (JFO #1509)** - deferred at September 10 meeting - Joe's Pond, acquisition of conservation easement [see Item 3.h.(2) of 9/10/92 JFC minutes]
- q. **Health (JFO #1524)** - HHS, Health Resources and Services Administration grant of \$125,344 - breast and cervical cancer prevention - two (2) limited service positions
- r. **Health (JFO #1525)** - \$135,441 from HHS, Health Resources and Services Administration - statewide trauma injury registry and trauma care system plan - two (2) limited service positions

**\*falls under small grant approval process (no oral testimony unless requested in advance)**

- s. **Health (JFO #1526)** - \$35,164 total from two HHS, Centers for Disease Control grants - statewide blood level surveillance system - one (1) limited service position
- t. **Health (JFO #1527)** - \$20,000 total grants (\$10,000 from from each source) from HHS, Health Resources and Services Administration and private source - recruitment of physicians in rural, underserved areas

**5. Position vacancy report - Commissioner of Personnel**

**6. Other Business**

- a. **Job Start Loan Fund (refer to Item 4, pp. 12-13 of 9/10/92 JFC minutes)**
- b. **Fire Service Training Council budget**
- c. **Lake Champlain Management Conference - program update**

# MINUTES

## JOINT FISCAL COMMITTEE Meeting of November 12, 1992

Senator Skinner, Chair, called the meeting of the Legislative Joint Fiscal Committee to order at 10:10 a.m. in Room 10, State House.

Also present: Senators Carlson, Gannett, Kroger, and Webster  
Representatives Brown, Obuchowski, Potvin,  
Valsangiacomo, and Youngbaer

Others attending included: William Sorrell, Secretary of Administration; Margaret Maxfield, Legislative Fiscal Officer, Douglas Williams, Deputy Fiscal Officer, and Maria Belliveau, Legislative Fiscal Analyst; Douglas Wacek, Commissioner, and Larry Masterson, Director of Financial Operations, Department of Finance and Management; William Young, Commissioner, Department of Social and Rehabilitation Services; Timothy VanZandt, Commissioner of Fish and Wildlife; William Dalton, Commissioner of Mental Health and Mental Retardation; Patricia DeGraw, Commissioner of Personnel; Lawrence Crist, Commissioner, Department of Aging and Disabilities; Patricia Moulton, Commissioner of Economic Development; James Walton, Commissioner of Public Safety; Deputy Commissioner Christine Finley and Allen Ploof, Health Department; Francis Aumand, Criminal Justice Training Council; Peter Profera, Agency of Human Services; William Rice, Assistant Attorney General, and Samuel Hutchins, State Veterinarian, Department of Agriculture; Wayne Babcock, Executive Director, Vermont Fire Service Training Council; Ted Nelson, Department of Public Safety; Peter Strobridge, Department of Forests, Parks and Recreation; Dennis Snyder, Chairman, and Chris Fuhrmeister, Vermont State Emergency Communications Committee; Earl Fennessey, Tax Department; Bonnie Rutledge, Department of Motor Vehicles; Cynthia Clancy, Office of Policy Research; Mitzi Beach, Education Department; Stephen Sease and Lisa Borre, Agency of Natural Resources.

### APPROVAL OF MINUTES:

1. On a motion by Representative Obuchowski, the Committee approved the minutes of the September 10, 1992 meeting as submitted.



**BI-MONTHLY FISCAL REVIEW - REPORT BY SECRETARY OF ADMINISTRATION:**

2. Administration Secretary Sorrell and Commissioner Wacek reported on the state's revenue and expenditure performance and outlook based on experience through the first four months of fiscal year 1993. Their bi-monthly report to the Committee is required by 1992 Act 245, Sec. 286(a) in order to:

". . .insure that revenues received by the state. . .are adequate to meet expenditures of funds appropriated. . . and to satisfy the deficit retirement plan, and in order to take timely action if necessary to avert or cover any deficiency. . . ."

Mr. Sorrell reported that FY 1993 receipts are approximately \$3.4 ahead of forecasted cumulative totals. He cautioned, however, that this figure represents an erosion in the cushion of actual revenues over predictions realized in the first month of the current fiscal year.

After talking about revenue performance to date, the Secretary discussed some recent events and uncertainties which may have an impact on Vermont's economic recovery, such as the announcement that Digital Equipment Corporation early in 1993 will be making a major cutback in its Vermont work force; and the impact of the imminent change in national leadership.

Despite the increase in cumulative revenues compared to the same period last year, Secretary Sorrell said the administration believes it may have to adjust revenue projections for the current year downward. He suggested that experience over the next four to six weeks will give some indication of what that adjustment might be. He also assured the Committee that the administration remains committed to presenting a budget to the new General Assembly that will allow paying off the deficit reduction notes in June.

Mr. Sorrell also talked about development of the FY 1994 budget and observed that the program review and prioritization approach entails a very difficult process for agencies and departments. He expected the budget to take primarily a programmatic approach. Answering a question from the Chair, he said the Governor will submit a budget that will assume sunseting of the temporary tax increases enacted in 1991.

Representative Obuchowski asked questions and expressed concern about the impact on fiscal year 1994 of a potentially deteriorating revenue experience during the remainder of the current year and of continuing in a deficit situation. Mr. Sorrell affirmed the administration's commitment to fiscal responsibility by eliminating the deficit as quickly as possible. For the current fiscal year, Representative Obuchowski urged that if revenue projections are revised downward, the executive branch address the

situation through further spending and/or revenue adjustment proposals. Secretary Sorrell acknowledged Mr. Obuchowski's request to be fair.

Commissioner Wacek, after reporting that expenditures this year are within 2 percent of adjusted appropriation levels, told the Committee that problems as well as savings opportunities will be outlined during the forthcoming budget adjustment presentation. In response to the Chair's questions, he pinpointed community mental health funding as one potential problem area this year.

Asked by Representative Obuchowski when budget adjustment proposals would be submitted to the Joint Fiscal Office, Mr. Wacek said the administration hopes to do so the last week of December.

Representative Youngbaer inquired about reported problems in drawing down federal funds for transportation projects due to billing backlogs and was told by Commissioner Wacek that the Transportation Agency has worked hard to clean up the backlog.

#### **JOB START LOAN FUND:**

3. Commissioner Wacek gave a verbal update on the status of recapitalization of the Job Start Loan Fund which was discussed at the Committee's September 10 meeting. He said that it has become clear that the State Treasurer does not have statutory authority to make the loan which the Office of Economic Opportunity asked the Committee to approve. (Correspondence relating to the September 10 item and following up on Committee requests that date was sent to the members with the agenda for today's meeting.)

Shortly after the prior meeting the administration received confirmation that federal funding in the amount of \$300,000 for the Job Start loan program would become available, although not for several months. Mr. Wacek then detailed a series of steps to allow the loan fund program to continue in the meantime, including recent Emergency Board action pledging "full faith and credit" of the State as security for borrowing \$75,000 from a bank.

#### **GRANT, GIFT AND POSITION REQUESTS:**

4. Requests were presented as follows:

a. **Public Safety (JFO #1520):** Commissioner Walton sought approval for his department to accept a Federal Emergency Management Agency grant of \$134,170 to develop and install an automatic statewide Emergency Broadcast System dissemination network.

Discussion focused on questions from Representative Obuchowski concerning the fact that the State of Vermont's standard policies on bidding were not followed with respect to procurement of equipment and services required for implementation of this project. Among the points made in response was that the equipment is unique and must be fully compatible with the New York State-administered regional system, whose equipment is produced by just one firm.

The Committee adopted a motion from Senator Webster to approve the request.

**b. Social and Rehabilitation Services (JFO #1521):** Committee authorization was sought to accept \$83,333 in fiscal 1993 from the U. S. Department of Health and Human Services, Administration for Children and Families. The purpose of the grant is to enable the Department of Social and Rehabilitation Services to improve coordination among various state and local agencies that deliver early childhood and family support services.

Commissioner Young also asked for authorization to establish two limited service positions (Project Director and Administrative Assistant) to carry out the project. These positions would be offset by the reduction of two positions elsewhere in state government. Representatives Obuchowski and Valsangiacomo wanted the Committee to be informed which two positions are eliminated.

Senator Carlson moved approval of the request, including the positions. The motion carried.

**c. Agriculture (JFO #1532):** Bill Rice asked for permission for the Agriculture Department to accept a \$25,000 grant from the Geraldine R. Dodge Foundation and an additional \$500 expected from the Eastern Milk Producers Cooperative, for the purpose of developing animal welfare guidelines, educational programs, and animal welfare legislation. Mr. Rice distributed a letter supporting the proposal from the Vermont Federation of Dog Clubs, Inc.

After some discussion of the delay between grant notification and presentation of the request to the Committee and of the substance of the proposal, Representative Valsangiacomo moved that the Committee refrain from taking action and that the proposal be submitted to the General Assembly through the agriculture committees. Other members agreed, and the motion was adopted.

**d. Agency of Development and Community Affairs (JFO #1529):** Commissioner Moulton, accompanied by Cynthia Clancy of the Office of Policy Research, requested authorization for the Department of Economic Development to accept a U. S. Department of Agriculture grant in the amount of \$62,000 and authorize the establishment of one exempt limited service position. The position

would be Executive Director to carry out the purpose of the grant: the formation and activities of a State Rural Development Council.

Among the questions asked of Commissioner Moulton was Representative Obuchowski's as to whether the creation of the limited service position would be balanced by elimination of an existing position in state government. She replied in the affirmative.

Representative Potvin asked the Commissioner to let the Committee know what the composition of the committee is. [Such a list was distributed prior to adjournment of the meeting.]

Senator Carlson's motion to approve the request was adopted after discussion.

(Additional grant, gift, and position requests are shown below, after Item 5.)

The Committee recessed for lunch at 12:05 p.m. and reconvened at 1:40 p.m.

#### **JOINT FISCAL OFFICE PERSONNEL:**

5. At the request of the Legislative Fiscal Officer and on a motion by Senator Carlson, the members voted at 1:50 p.m. to go into executive session. They returned to open session at 2:00 p.m. and unanimously took the following actions:

a. **Additional staff:** On a motion by Representative Valsangiacomo, the Committee authorized, within the constraints of the budget, hiring a part-time temporary employee in a fiscal analysis capacity for the 1993 legislative session.

The temporary employee would be in addition to filling the vacancy in the permanent position as discussed at the September 10 meeting and during executive session this date.

[Note: Pursuant to those discussions the vacant position was offered to, and accepted by, Stephen A. Klein. Ms. Maxfield notified the Chairs of the four "money committees" that Mr. Klein had been hired at an annual salary of \$37,000, with the understanding that because of other commitments his employment will be on an 80-percent-time schedule until sometime in February 1993, after which he will be employed on a full-time basis. Mr. Klein's title in the Joint Fiscal Office will be Fiscal Analyst/Counsel.]

Just prior to adjournment, the Committee discussed a proposition to reopen the application process for the fiscal analyst position. They decided against it.

**b. Policy on staff salary parity:** Adopted a motion from Representative Obuchowski reading:

**RESOLVED THAT:** The policy of the Joint Fiscal Committee is pay equity between the staff of the Joint Fiscal Office and that of the Legislative Council; and

That the Joint Fiscal Officer is directed to develop a Joint Fiscal Committee/Office budget for fiscal year 1994 to implement this policy.

**GRANT, POSITION, AND GIFT REQUESTS (continued from Item 4 above)**

4. The Committee resumed its consideration of requests.

**e. Fish and Wildlife:** Commissioner VanZandt presented two items:

(1) JFO #1533 - Request for approval to accept a \$18,900 gift from the Hinesburg Land Trust to purchase a 90-acre parcel of wetlands bordering a one-mile stretch of Lewis Creek in the Town of Hinesburg.

The Commissioner advised that the Emergency Board has approved the transfer out of the Fish & Wildlife Fund unallotted balance \$56,700 in federal funds to cover the remainder of the purchase price.

The Committee voted to approve the request.

(2) JFO #1509 - The Commissioner recalled that at the September 10 meeting action was deferred on his department's request for approval to accept a \$20,000 grant from Ducks Unlimited to acquire a conservation easement for wetlands bordering Joe's Ponds in the Towns of Cabot, Danville and Walden. The basis for delaying action was uncertainty over the positions of these towns on the transaction.

Mr. VanZandt now distributed copies of letters from the Towns of Cabot and Danville and reported that a similar one is being drafted by the Town of Danville, all expressing support for the first phase of the Joe's Pond waterfowl habitat project. Phase I calls for this conservation easement, whereas the second phase of the project entails land acquisition. The Commissioner noted that there are concerns over that phase because land would be removed from town tax rolls.

On the basis of the Commissioner's testimony and the correspondence reflecting the towns' backing for Phase I, Representative Youngbaer moved approval of the request. The motion was adopted.

**f. Forests, Parks and Recreation (JFO #1536):** Peter Strobbridge sought Committee approval for the Department of Forests, Parks and Recreation to accept a \$14,850 grant from the Vermont Community Foundation. The grant would fund the winterization and winter operation of Cheney House, located in Westmore on the shore of Lake Willoughby, enabling expanded use of the facility as a community resource.

The Committee adopted a motion by Representative Obuchowski to authorize acceptance of the grant.

**g. Aging and Disabilities (JFO #1530):** Commissioner Crist requested authorization for the department to accept from the U.S. Department of Health and Human Services a \$111,229 grant in FY 1993. The funds will enable the department to develop and operate programs on health insurance information, counseling and assistance for Medicare beneficiaries. The services will be provided by Vermont's five Area Agencies on Aging and the Vermont Center for Independent Living.

Senator Webster moved approval of the request. The motion carried.

**h. Vermont Criminal Justice Training Council:** Francis Aumand, Executive Director, asked the Committee to approve two requests:

(1) JFO #1519 - Acceptance of \$3,343.06 from the U. S. Department of Justice, representing the Council's share of forfeiture funds resulting from its assistance in a federal drug investigation. The funds will be used for the purchase of defensive tactics equipment in the use of non-lethal force training.

The Committee adopted a motion from Representative Obuchowski to approve the request.

(2) JFO #1528 - Authorization to accept a \$2,400 gift from the Long Distance North Corporation. This gift would be in the form of \$200 worth of toll-free 800 telephone service for each of twelve months. It would be established for the Drug Abuse Resistance Education (D.A.R.E.) program.

For reasons outlined in a memorandum to the Committee on this request, Staff Financial Analyst Douglas Williams recommended holding it in abeyance for consideration by the General Assembly

as part of the FY 1993 budget adjustment bill. Mr. Aumand did not object to this proposal.

Representative Obuchowski moved that the Committee follow Mr. Williams' recommendation. The motion was adopted.

**i. Agency of Transportation:** Bonnie Rutledge, Director of Motor Vehicle Operations in the Agency of Transportation, presented two items involving Federal Highway Administration grants:

(1) **JFO #1531:** A request to accept \$40,551 in FY 1993 to determine automation requirements for the integration of commercial vehicle registration and fuel tax collection information into the Motor Vehicle Department's new Vermont Motor Vehicle computer system (VMOVES).

On a motion by Representative Youngbaer, the Committee authorized acceptance of the grant.

(2) **JFO #1537:** In coordination with the prior item, a request to accept fiscal year 1993 funding of \$76,250 for upgrading compliance with state and federal motor fuel tax laws. These funds, to be passed through to the Tax Department, will enable Vermont to join with other New England states and the Internal Revenue Service in the formation of a multi-state tax force.

Mr. Fennessey of the Tax Department described and answered questions about the proposal, which will require a temporary employee and filling of two unfunded vacant positions.

The Committee adopted a motion by Representative Obuchowski authorizing acceptance of the grant.

**j. Education Department:** Representing the department, Mitzi Beach asked approval to accept two grants:

(1) **JFO #1522** - \$6,075 from the U. S. Department of Education to provide financial assistance for supplementary education services and costs to improve the education provided to immigrant elementary and secondary school students with limited English proficiency. The funds, provided under the Emergency Immigrant Education Act, will be subgranted to the Burlington School district, which is the only eligible district in the state.

Senator Kroger moved approval of the request. The motion was adopted.

(2) **JFO #1523** - \$29,812 from the U. S. Department of Education, Foreign Languages Assistance Act Program. The funds, which will be awarded to five school districts selected on the

basis of a competitive application process, will support the development of model programs in critical foreign languages.

Representative Obuchowski, explaining that he is interested in knowing how widespread the desire is to promote the study of critical foreign languages, asked for the geographic distribution of the twelve Vermont applicants. He was promised that information although it was not available at the meeting.

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

**k. Mental Health and Mental Retardation:** Commissioner Dalton presented two items for Committee action:

(1) **JFO #1535** - Request to accept in FY 1993 a grant of \$101,250 from the U. S. Department of Health and Human Services aimed at improving service delivery to severely emotionally disturbed youth in transition to adulthood, with special emphasis on youth suicide prevention. Mr. Dalton indicated that an important part of this effort will be teacher training.

In response to members' requests Mr. Dalton later in the meeting provided statistics on suicide attempts and actual suicides in Vermont.

The Committee adopted a motion by Senator Kroger to approve acceptance of the grant.

(2) **JFO #1534** - A \$156,684 grant acceptance request, to fund development of an automated, integrated accounting and management information systems capable of tracking information and costs on clients who receive services from a diversity of state and local providers with multiple funding sources. The client population consists of severely emotionally disturbed youth.

In response to a request from the Chair, Commissioner Dalton said he would let the Committee know how many personal service contracts will be involved in this undertaking.

Representative Obuchowski moved approval. The motion carried.

**l. Health:** A number of grant acceptance requests for were outlined by Deputy Commissioner Finley, accompanied by Allen Ploof, as follows:

(a) **JFO #1524** - \$125,344 from the U. S. Department of Health and Human Services during fiscal 1993 to develop a comprehensive breast and cervical cancer screening system. Two limited service positions (Public Health Epidemiologist and Epidemiologist Associate) are needed to carry out the project; they would be offset by other reductions within state government.



On a motion by Representative Obuchowski, the Committee authorized acceptance of the grant and establishment of the positions.

(b) JFO #1525 - A grant of \$135,441 in FY 1994 from the U. S. Department of Health and Human Services, Health Resources and Services Administration, for the establishment of a statewide trauma registry and planning for development of the state's trauma care system. For this project the department plans to continue two current limited service staff (as Project Coordinator and Secretary), for which Committee approval was requested.

After discussion the Committee, on a motion from Representative Valsangiacomo, voted favorably on the request.

(c) JFO #1526 - Two grants from the U. S. Department of Health and Human Services, Centers for Disease Control, for the purpose of establishing a single statewide blood lead surveillance system. The grants, in the amounts of \$31,736 and \$38,592, are for adult and child surveillance for elevated blood lead levels. Establishment of one limited service position (Public Health Nurse - Epidemiologist), which will be offset by a reduction elsewhere within state government, also was requested.

Senator Webster moved approval of the request. The motion carried.

(d) JFO #1527 - In FY 1993, a total of \$20,000 from three sources: \$10,000 from the U. S. Department of Health and Human Services, Health Resources and Services Administration matched by that amount by two private donations (from Gifford Medical Center and Northern Counties Health Care, Inc.). These monies will be used to encourage physicians to practice in rural, underserved areas by offering a loan repayment program.

The Committee adopted a motion from Senator Webster to authorize acceptance of the funds.

#### VACANT POSITION REPORT:

6. The report of the Personnel Commissioner on all permanent positions which on October 1, 1992 had been vacant at least 90 days was presented. That report is required by Section 270(e) of 1992 Act 245 (FY 1993 appropriations act), which also mandates that:

*. . .the joint fiscal committee shall review the need and purpose of any vacant positions and abolish all positions not required. The joint fiscal committee may reestablish a position abolished under this section if there is a valid*

and necessary requirement consistent with programs approved in this act.

The Secretary of Administration's transmittal letter summarized as follows the 146 positions under review:

Filled or under active recruitment. . . .	.83
Executed or scheduled transfers to new positions . . . . .	.19
Available positions . . . . .	.2
Retain for other reasons. . . . .	<u>.42</u>
<b>TOTAL</b>	<b><u>1.46</u></b>

The Legislature authorized 116 new positions in fiscal 1993 to be filled by transfers, and the administration is in the process of identifying positions for transfer. Ninety-four (94) have been executed or identified, and the administration would like flexibility to identify the remaining 22. The recommendation to the Committee, therefore, is to take no action on the executive branch positions.

Additionally, there were recommendations to abolish one typist position available in the Legislative Council and one Judiciary branch position, and to reestablish these two positions as among the new ones created by Act 245.

The Legislative Fiscal Officer distributed a memorandum to the Committee on this subject, in which she recommended that the Agency of Administration continue on its current path to find positions across state government that can be transferred to fill those positions authorized by the Legislature.

Representative Obuchowski proposed abolishing 12 positions, a figure he calculated by subtracting 22 positions from the 42 positions identified as necessary to fill; those 22 being the ones the administration would like to identify for transfer; and further subtracting the eight limited service positions included in the grants on the agenda for this meeting; leaving the 12. He argued that since those positions have not been specifically identified, they offer an opportunity to make a modest reduction in the size of state government at a time of serious fiscal constraints.

This proposal was the focus of considerable discussion. Countering Mr. Obuchowski's position, Mr. Sorrell stressed the effort which the administration and agencies and departments have put into implementing the legislative mandate to transfer positions to fill the recently-authorized ones.

Responding to questions from Representative Obuchowski, Peter Profera gave out information on plans for positions currently authorized for the Brandon Training School as that institution continues to be down-sized.

Representative Youngbaer moved that the Committee accept the recommendations of the administration with respect to the Legislative Council and Judiciary positions. He observed that no action on the first recommendation will have the effect of leaving it to the administration to continue to find positions for transfer to fill those authorized by the 1992 Legislature. That also is the recommendation of the Legislative Fiscal Officer.

Mr. Youngbaer's motion was adopted, whereupon Representative Obuchowski moved to freeze 12 positions, which the administration would be expected to identify, until legislative consideration of a FY 1993 budget adjustment bill. In effect, that would mean no more than 30 positions, instead of 42, would be in the category which the administration wished to retain. After brief additional discussion the motion was put to a vote and defeated.

**VERMONT FIRE SERVICE TRAINING COUNCIL SPENDING PLAN:**

7. Wayne Babcock, Executive Director of the Fire Service Training Council, and Ted Nelson of the Department of Public Safety were at the meeting in connection with a revised spending plan for the Council. This plan was submitted in accordance with Sec. 98 of Act 245 of the 1992 session, which required the Council to:

*. . .prepare a spending plan for fiscal year 1993 which supports the following goals: the provision of a number of courses and regional schools not less than that provided in fiscal year 1992 and the elimination of not less than 25 percent of the deficit remaining in the Fire Service Training Council special fund at the end of fiscal year 1992. . . .*

The report was accompanied by a brief analysis from Fiscal Analyst Maria Belliveau, in which she affirmed that the spending plan as submitted complied with the requirement to eliminate at least 25 percent of the estimated FY 1992 deficit. She also gave a synopsis of how the Council intends to implement the other goal of the Act 245 mandate, pertaining to the number of instructional offerings.

Representative Obuchowski was appreciative of Mr. Babcock's and Mr. Nelson's hard work and said the plan conforms to legislative intent. He then moved to accept it as presented. The motion was adopted.

**LAKE CHAMPLAIN MANAGEMENT CONFERENCE:**

8. A written report providing an update on the Lake Champlain Management Conference and its related activities was sent to the members prior to the meeting. Steve Sease and Lisa Borre were at the meeting to answer any questions about the report, a followup to one presented to the Committee at its November 1991 meeting.

The meeting was adjourned at 5:30 p.m.

Attest:

*Virginia F. Catone*  
Virginia F. Catone



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

**TO:** William H. Sorrell  
Secretary of Administration

**FROM:** Margaret S. Maxfield *Margaret*  
Legislative Fiscal Officer

**DATE:** October 9, 1992

**SUBJECT:** Joint Fiscal Committee Meeting - November 12

The next meeting of the Joint Fiscal Committee is scheduled for Thursday, November 12 at 10:00 a.m. in Room 10, State House.

The first item on the agenda will be the Secretary of Administration's bi-monthly report on revenues and expenditures, as required by Sec. 286(a) of Act 245.

We will mail agenda packets to the Committee no later than Monday, November 2, and have set Friday, October 23, as the due date for receipt in this office of items the administration wishes to include on the agenda.

It will be helpful to our office in reviewing and analyzing grants and similar items if the administration sends them to us as soon as they are ready, rather than holding them all until October 23. Furthermore, because of the burden late items place on our staff, not to mention Committee members, I will not promise that any received after October 23 will be included on the agenda. One exception would be the Personnel Commissioner's report on vacant positions (required by Sec. 270(e) of Act 245), which is due on or before October 31. If it proves impossible to include that with the rest of the November 2 mailing, it can be sent to the members separately.

cc: Commissioner Wacek



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

October 9, 1992

**MEMBERS OF THE JOINT FISCAL COMMITTEE**

Dear Committee Members:

Your Committee Chair, Senator Skinner, has called the next meeting for Thursday, November 12, at 10:00 a.m. in Room 10.

We have alerted the Secretary of Administration, Bill Sorrell, of the date and plan to list his bi-monthly fiscal review report first on the agenda. At this point we have no idea as to the length of the agenda, but experience suggests you should plan on meeting into the afternoon.

Please notify this office if you will be unable to attend the meeting.

Sincerely,

A handwritten signature in cursive script that reads "Margaret".

Margaret S. Maxfield  
Legislative Fiscal Officer

cc: Senator Skinner, JFC Chair



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**TO:** Joint Fiscal Committee Members

**FROM:** Margaret S. Maxfield *Margaret*  
Legislative Fiscal Officer

**DATE:** October 28, 1992

**SUBJECT:** Current Use - Adjusted Payments to Towns

Attached is a letter from Tax Commissioner Errecart concerning proration of FY 1993 current use payments. This notification is submitted in accordance with Sec. 37(b)(4) of Act 245 (FY 1993 appropriations act). A copy of that section is attached.

Attachment



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

Reply: P.O. Box 694  
Tel: (802) 828-2505  
Fax: (802) 828-2701

October 1, 1992

OCT 1 1992

Senator Mary Just Skinner, Chair  
Joint Fiscal Committee  
State House  
Montpelier, Vt. 05602

Re: Proration of Current Use Benefits

Dear Mary:

Pursuant to Section 37(b)(4) of H. 937, I've determined that the funds available for current use require proration of the benefits at 77%. The current use payments made to towns on November 1 will reflect funding at 77%.

We have calculated the proration as follows:

\$9,700,000--FY 93 appropriation  
-145,500--1 1/2% recision  
-174,263--Governor's allotment for FY 93 budget reduction  
- 42,828--transfer of WFTAP penalties to Housing Trust Fund  
+174,627--carryforward from FY 92  
+ 32,877--collections of land use change tax  
\$9,544,913--funds available for FY 93 current use benefits

Benefits for current use participants at 100% would cost \$12,375,093. The available funds are 77.1% of full benefit costs. It would be extremely difficult for the Tax Department and the towns to make current use calculations to the tenth of one percent, so I've rounded down to prorate benefits at 77%.

Please let me know if you'd like additional information.

Sincerely,

Joyce H. Errecart  
Commissioner of Taxes

cc: Senator Robert Gannett  
Senator Francis Howrigan  
Senator Stephen Webster  
Rep. Michael Obuchowki  
Rep. Oreste Valsangiacomo  
Rep. Peter Youngbaer  
Rep. Bobby Starr  
Rep. Leon Graves



PUBLIC ACTS, 1992 SESSION

NO. 245

report to the joint fiscal committee by October 1, 1993 on expenditures from this appropriation.

Sec. 37. Use tax reimbursement fund	
Other	9,700,000
Source of funds	
General fund	9,700,000

(a) Notwithstanding sections 3756, 3762, and 3766 of Title 32, there is a one-year moratorium on the enrollment of land in the current use programs effective for fiscal year 1994. Only those properties for which current use reimbursements were made for fiscal year 1993 may be enrolled for fiscal year 1994 under chapter 124 of Title 32.

(b) Notwithstanding sections 3760 and 3770 of Title 32, the commissioner shall anticipate each year, by June 1, whether monies will be sufficient to pay in full all municipal claims on or before the following November 1. In any year when monies are anticipated to be insufficient, the commissioner shall estimate the actual percentage of full payment of all municipal claims which may be made, and shall so notify the governor and the chair of the joint fiscal committee. In any year when reimbursement payments are estimated to be made on a reduced basis:

(1) The director shall, on or before June 15, notify each landowner by mail of the proration factor estimated by the commissioner to be in use when making the November payments. The mailing of this notice shall be presumptive evidence of its receipt by the person to whom it is addressed.

(2) A property owner of enrolled property notified of the anticipated reduced payment may withdraw from the use value programs his or her property enrolled as of the June 15 notification, and in so doing be relieved of the obligations under sections 3757, 3762, 3773, and 3774 of Title 32 if he or she withdraws all of his or her contiguously enrolled property within a municipality in accordance with this section. The landowner must notify the director in writing of withdrawal under this section. The withdrawal notice must be received in the office of the director on or before August 1. A property owner who chooses to withdraw under this section shall be liable to the municipality concerned for the full property tax on the parcel withdrawn for the tax year in question. Withdrawals shall be irrevocable notwithstanding a changed estimate by the commissioner of reduced payments as provided by subdivision (4) of this subsection.

(3) A property owner of enrolled property notified of the anticipated reduced payment who continues enrollment in a current use program shall pay the difference between the total municipal taxes and the prorated reimbursement of his or her enrolled property to the municipalities concerned on or before the following November 1, or in accordance with the municipal payment schedule, if later than the following November 1.

(4) The commissioner shall, by October 1, revise the percentage by which payments are estimated to be reduced if he or she finds the June 1 estimate to be incorrect, and shall adjust accordingly the payments to municipalities on or before the following November 1. In this event, the commissioner shall so notify the governor and the chair of the joint fiscal committee.

Sec. 38. Property tax rebate trust fund	
Other	22,893,000
Source of funds	
General fund	21,338,000
Transportation fund	<u>1,555,000</u>
Total	22,893,000



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## **MEMORANDUM**

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 27, 1992

**Subj:** JFO #1520; Public Safety; FEMA Grant

The Federal Emergency Management Agency (FEMA) has approved a grant to the Vermont Department of Public Safety (DPS) in the amount of \$134,170. The purpose of the grant is to develop and install an automatic, statewide, satellite based Emergency Broadcast System (EBS).

Creation of this new EBS will be undertaken by a consortium of eleven, Vermont, commercial radio stations known, collectively, as the Vermont State Emergency Communications Commission (VTSECC). The VTSECC is itself an instrumentality of the Federal Communications Commission (FCC). In essence, one department of the federal government, FEMA, is granting funds to another department, the FCC. However, federal regulations require that the grant be issued to a third party at the state level. In Vermont, the Department of Public Safety is the cognizant state agency with respect to FEMA. The DPS will deposit the federal funds in the Vermont treasury, receive invoices from the VTSECC, and authorize payment to vendors for the installation of EBS equipment. The Department of Public Safety's only role is to act as a "pass through" agency. The DPS will have the responsibility for paying approved invoices and for accounting for grant expenditures to FEMA. The Department of Public Safety has sufficient resources to provide such accounting services and the additional burden of administering this grant is deemed negligible.

Establishment of a new satellite EBS in Vermont is in no way connected with the microwave system operated by the Department of Public Safety. Therefore, acceptance of this grant holds no implications for the future commitment of state dollars. The grant does not require a match, no new state government positions are being requested, and the Department of Public Safety will not be entering into personal services contracts.

Recommendation: As of this date, no grant funds have been expended. However, the VTSECC has entered into a contract with a vendor for the purpose of acquiring and installing the EBS equipment. Further, the FEMA grant has an expiration date of February 1, 1993. In view of the fact that all parties are prepared to proceed with this project and because the grant period will terminate before passage of the FY 1993 Budget Adjustment Act is likely to occur, we recommend acceptance of the FEMA grant by the Joint Fiscal Committee.



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

OCT 22 1992

October 19, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a one-time grant from the Federal Emergency Management Agency (FEMA) in the amount of \$134,170, to the Department of Public Safety in fiscal year 1993. This grant will be passed through to the Vermont State Emergency Communications Commission (VTSECC) for their use in paying consultants to develop an automatic statewide Emergency Broadcast System (EBS) dissemination and activation network. VTSECC is composed of the 11 EBS radio stations in Vermont.

The Department of Public Safety is the primary recipient of FEMA funding in the state of Vermont, and has been designated as the payment agent for FEMA to disburse these funds.

No state match is required. There are no direct continuing costs to the state associated with this grant, as the funds will be passed through to VTSECC in grant form. The grant was awarded on September 16, 1992 by FEMA.

If you have any questions about this project, please feel free to give me a call.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS/slw

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

FORM AA-1  
 (Rev. 9-90)

1. Agency:
2. Department: VERMONT DEPARTMENT OF PUBLIC SAFETY
3. Program: Vermont Emergency Management Division
4. Legal Title of Grant: Statewide Emergency Broadcast System Modernization/Expansion Project
5. Federal Catalog No.: 83.515
6. Grantor and Office Address: Federal Emergency Management Agency (FEMA)  
 Region I  
 Boston, Massachusetts 02109
7. Grant Period: From: 9/30/92 To: 02/01/93

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

Develop a statewide Emergency Broadcast System (EBS) dissemination network. Additional technical information is provided in the attachments.

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

The EBS will continue to operate as it currently does. Implementation of this new project will allow the system to operate on a satellite network with simultaneous dissemination of information to all affected radio stations (11) in Vermont.

10. Budget Information:	(1st State FY) <u>FY 1993</u>	(2nd State FY) <u>FY 19</u>	(3rd State FY) <u>FY 19</u>
<b>EXPENDITURES:</b>			
Personal Services	\$	\$	\$
Operating Expenses	\$	\$	\$
Other (Grant pass-thru)	\$ 134,170.00	\$	\$
<b>TOTAL</b>	<b>\$ 134,170.00</b>	<b>\$</b>	<b>\$</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$ 134,170.00	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 134,170.00</b>	<b>\$</b>	<b>\$</b>

Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u> 0402320206	<u>Amounts</u> \$134,170.00
--	---	--------------------------------

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 \_\_\_\_\_

\*See Note Below

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
<b>TOTAL</b>	

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]*  
 (Signature)  
 Commissioner  
 (Title)

10/14/92  
(Date)

14. Action by Governor:

- Approved
- Rejected

*[Signature]*  
 (Signature)

10/20/92  
(Date)

15. Secretary of Administration:

- Request to JFO
- Information to JFO

*[Signature]*  
 (Signature)

10/19/92  
(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)

\*The VTSECC will utilize a contractor to perform the work required under this grant. The State of Vermont and the Department of Public Safety will not have any responsibility for either the work and/or the vendor; it is simply the fiscal intermediary designated by FEMA.

\*\*The VTSECC has approved and executed a contract with the vendor for this project. The first invoice under that contract has been received, but not processed pending approval of this request



# Federal Emergency Management Agency

Region I  
J.W. McCormack Post Office &  
Courthouse Building, Room 442  
Boston, MA 02109

September 16, 1992

Mr. George L. Lowe  
Director  
Vermont Emergency Management Agency  
Department of Public Safety  
Waterbury State Complex  
103 South Main Street  
Waterbury, Vermont 05676

Attention: Christopher Fuhrmeister

Dear Mr. Lowe:

The Vermont State Emergency Communications Committee's (VSECC's) application for Federal funding has been approved. As you know, the SECC applied for Federal funding to develop a satellite communications network for dissemination of Emergency Broadcast System messages. We will be forwarding the funds (\$134,170.00) to Vermont Emergency Management (VEM), since VEM will be serving as a coordination agency between Federal Emergency Management Agency (FEMA) and the VSECC for funds dispersement purposes. The VSECC has been advised of FEMA's Award via separate correspondence (copy attached).

The Award is intended to develop a state-wide EBS dissemination network. This project requires full operational and equipment compatibility with the Regional EBS Satellite Network (EBSSATNET) system administered by NY Emergency Committee of the Federal Communications Commission (FCC).

In our letter to the VSECC we have requested submissions of a Application for Federal Assistance (Standard Form 424) and a Request for Advance or Reimbursement (Standard Form 270). EBS Program funds are dispersed on a reimbursement basis. Advance funding is allowable under Federal and Program guidelines provided approval is obtained from the Regional Director. Be advised, EBS funds cannot be spent, on an advancement basis, until a SF 270 has been submitted and the Regional Director approved the request.

Pending submission of SF 424, SF 270 and FEMA Region One Regional Director's approval for advance funding, the project shall be orchestrated in the following manner:

1. All bid proposals solicited and contract awards made hereunder shall be the sole responsibility of the VSECC shall be solicited and awarded by the VSECC. This project is for a complete package, inclusive of equipment, accessories, components, site engineering and installation.

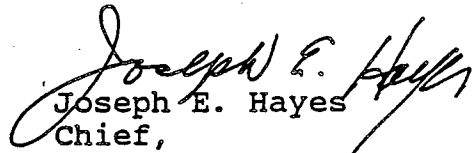
2. The VEM is designated as payment agent for FEMA and hereunder shall be deposited with and paid through VEM. Ninety percent (90% or \$120,753.00) of the total project Award hereunder shall be available to the immediate payment of contracted project costs, with such payments to be made by VEM upon VSECC's presentation of appropriate contracts, purchase orders and/or invoices.

3. The remaining ten percent (10% or \$13,417.00) of the total project Award hereunder shall be held in reserve until such time as the project is completed and the full operational status of all associated components is certified by FEMA Region One.

4. As previously discussed with Messrs. Fuhrmeister and Snyder this project is intended to enhance the state' preparedness posture against all hazards. Therefore, it should be an element of the State's Survivable Crisis Management (SCM) plan, inclusive of accessibility from alternate EOC(s).

If you have any questions regarding this matter please contact Timothy McCoy of my staff at 617/223-4193.

Sincerely,

  
Joseph E. Hayes  
Chief,  
Emergency Management and  
National Preparedness  
Programs Division

cc: C. Fuhrmeister  
D. Snyder





COPT FOR YOUR  
INFORMATION  
Federal Emergency Management Agency

Region I  
J.W. McCormack Post Office &  
Courthouse Building, Room 442  
Boston, MA 02109

September 15, 1992

Mr. Dennis Snyder, Chairman  
Vermont State Emergency Communications  
Committee  
Federal Communications Commission  
C/O Radio Station WJOY/WOKO-FM  
Post Office Box 4489  
Burlington, VT 05406 - 4489

Dear Mr. Snyder:

Kindly accept this letter as an advisement that your EBS BSPP funding request has been approved for \$134,170. The funding will be forwarded via Vermont Emergency Management. We request Vermont SECC submit an Application for Federal Assistance, Standard Form 424 and a Request for Advance or Reimbursement, Standard Form 270.

Federal Regulations will require FEMA Region One to withhold a minimum of \$13,417.00 (or 10% of the Award) until this office performs a final inspection of the BSPP Project.

This Award is intended to develop a state-wide EBS dissemination network. This project requires full operational and equipment compatibility with the Regional EBS Satellite Network (EBSSATNET) system administered by NY Emergency Committee of the FCC and now serving two broadcast facilities within Vermont.

This project is for a complete package as specified in VT SECC BSPP 92 001, inclusive of equipment, accessories, components, site engineering and installation.

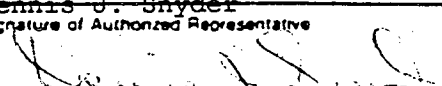
If you have any questions or need any assistance contact Timothy McCoy of my staff at 617/223-4193.

Sincerely,

Joseph E. Hayes  
Chief  
Emergency Management and  
National Preparedness  
Programs Division

cc: G. Lowe  
C. Fuhrmeister

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input checked="" type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> 20 Mar 92	Applicant Identifier VTSECC-BSP-92-001
		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name: Federal Communications Commission		Organizational Unit: Vermont Emergency Communications Committee	
Address (give city, county, state, and zip code): 8 Radio Stations WJOY/WOKO-FM Post Office Box 4489 Burlington, VT 05406-4489		Name and telephone number of the person to be contacted on matters involving this application (give area code) Dennis J. Snyder, Chairman 802-658-1230	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> 03 - 6054615		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b>	
<b>8. TYPE OF APPLICATION:</b> <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District Federal	
<b>9. Revision, enter appropriate letter(s) in box(es):</b>		H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____	
A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (Specify): _____		<b>9. NAME OF FEDERAL AGENCY:</b> Federal Emergency Management Agency	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> 8 3 - 5 1 5 TITLE: Emergency Broadcast System Broadcast Station Protection Program		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Statewide Emergency Broadcast System Modernization and Expansion Project	
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> Entire State of Vermont			
<b>13. PROPOSED PROJECT:</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date 30Sep92	Ending Date 01Feb93	a. Applicant 1	b. Project 1
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ 134,170.00 .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:	
b. Applicant	\$ .00	DATE _____	
c. State	\$ .00	b. NO. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$ .00		
f. Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
g. TOTAL	\$ 134,170.00 .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>			
a. Typed Name of Authorized Representative Dennis J. Snyder		b. Title Chairman	c. Telephone number 802-658-1230
d. Signature of Authorized Representative 		e. Date Signed 20 Mar 92	

## AGREEMENT

**THIS AGREEMENT**, made the 30th day of September, 1992, by and between the **VERMONT STATE EMERGENCY COMMUNICATIONS COMMITTEE** (hereinafter called VTSECC) of the Federal Communications Commission, c/o Radio Stations WJOY/WOKO-FM, Post Office Box 4489, Burlington, Vermont 05406-4489, the **NEW YORK EMERGENCY COMMUNICATIONS COMMITTEE** (hereinafter called NYSECC) of the Federal Communications Commission, Post Office Box 21, Albany, New York 12201-0021, and **NORTHEAST NETWORKS, INC.** (hereinafter called Northeast), Post Office Box One, Albany, New York 12201-0001,

### **WITNESSETH THAT:**

**WHEREAS**, VTSECC and NYSECC are legal entities established and maintained by the Federal Communications Commission (hereinafter called FCC) pursuant to Presidential Executive Order 12472, and are charged with the responsibility for preparation, development, implementation and maintenance of the systems, policies and procedures necessary to effect and maintain coordinated emergency communications within the States of Vermont and New York, respectively, particularly as relate to the Emergency Broadcast System (hereinafter called EBS); and,

**WHEREAS**, NYSECC has established and operates a regional EBS Satellite Network (hereinafter called EBS SatNet) system for the transmission and distribution of federal, state and local emergency warnings, alerts, notifications and related emergency instructions to the general public; and,

**WHEREAS**, VTSECC, as part of the statewide EBS modernization and expansion program advanced in its EBS Project Proposal No. VTSECC-BSPP-92-001, desires to become a full-time participant in the EBS SatNet system and to have the radio and/or television stations listed in the attached Schedule A (hereinafter called Stations) suitably equipped by the United States Government (hereinafter called Government) to effect such participation; and,

**WHEREAS**, the Government concurs with VTSECC and, through the Federal Emergency Management Agency (hereinafter called FEMA), has obligated certain Government funds to VTSECC for the specific purpose of implementing the EBS modernization and expansion program advanced by VTSECC and having such suitable equipment installed and available at these Stations; and,

**WHEREAS**, NYSECC also concurs with VTSECC and has committed to provide VTSECC with access to and use of the facilities and services of EBS SatNet as a full-time EBS SatNet participant; and,

**AGREEMENT**  
**Page Two (2)**

**WHEREAS**, Northeast is a legal broadcast network entity, as defined under Section 74.2 of the rules and regulations of the FCC, and, as such, has been duly designated and appointed by NYSECC to act in its behalf on all day-to-day aspects of EBS SatNet organization, management, operations and maintenance; and,

**WHEREAS**, VTSECC desires to utilize the resources and professional services of Northeast to effect implementation of its statewide EBS modernization and expansion program and ensure the program's full and timely integration with EBS SatNet;

**NOW, THEREFORE**, in consideration of the performance of the mutual covenants and agreements set forth herein, it is mutually agreed as follows:

**1. OBLIGATIONS OF NORTHEAST —**

a. Within seven (7) days of the execution of this agreement, Northeast will initiate the procurement of equipment meeting the technical specifications set forth in Schedule B (hereinafter called Equipment).

(1) All right, title and interest in and to the Equipment shall be held by the Government, represented by the FCC, and, upon commissioning of said Equipment, the FCC shall enter into individual equipment loan agreements with the licensed owners of the Stations, said agreements to provide for the continued retention and use of the Equipment by the Stations.

(2) Said agreements shall include provision for the use of the Equipment in normal, day-to-day business so long as such use does not interfere with the capability of the Equipment to function as part of EBS and related emergency communications systems in accordance with both Part 73 - Subpart G of the rules and regulations of the FCC and the Emergency Broadcast System Operational Plan for the State of Vermont, as amended.

(3) Subject to the needs and requirements of the FCC, said agreements shall also incorporate any or all other equipment and material previously provided by and/or for the Stations at Government expense.

b. Within seven (7) working days of the delivery of the Equipment to the Stations, Northeast will initiate the installation and commissioning of said Equipment at the Stations.

**AGREEMENT**  
**Page Three (3)**

c. Subject to the possibility of delays occurring due to circumstances and/or events beyond the control of the parties hereto, all work by Northeast hereunder shall be scheduled for completion within a period of one-hundred-twenty (120) days of the execution hereof.

d. Northeast shall provide VTSECC with regular project status reports, certified copies of purchase orders and/or invoices and/or such other reasonable and proper documentation as may be required by VTSECC to evidence prompt and faithful completion by Northeast of its obligations hereunder.

**2. OBLIGATIONS OF VTSECC —**

a. VTSECC agrees that it will pay Northeast the sum of One-Hundred-Thirty-Four-Thousand-One-Hundred-Seventy-and-no/100 Dollars (\$134,170.00) in full consideration of and for the procurement of the Equipment on behalf of VTSECC and the Government and for the related professional services rendered to VTSECC and the Government by Northeast under the provisions of Paragraph 1, above. Payment will be made, either directly by VTSECC or through a Government-approved third-party payment agent, in accordance with the following installment schedule:

(1) An initial installment of Eighty-Thousand-Five-Hundred-Two-and-no/100 Dollars (\$80,502.00) within seven (7) calendar days of the execution of this agreement;

(2) A second installment of Forty-Thousand-Two-Hundred-Fifty-One-and-no/100 Dollars (\$40,251.00) within thirty (30) calendar days of the acquisition and delivery of the Equipment to the Stations; and;

(3) A third and final installment of Thirteen-Thousand-Four-Hundred-Seventeen-and-no/100 Dollars (\$13,417.00) within thirty (30) calendar days after the Government's constructive acceptance of the completed project.

b. Partial payments against the amount set forth in Paragraph 2a(3), above, may be made to Northeast if it is determined by VTSECC that Northeast has completed one or more separable parts of the work specified herein but, through no fault of Northeast, is prevented from or restricted in the prompt completion of all related separable parts of such work.

c. VTSECC shall assist the licensed owners of the Stations in the procurement of any and all federal, state and/or local permits and/or licenses necessary and appropriate to the installation and operation of the Equipment.

**AGREEMENT**  
**Page Four (4)**

d. VTSECC shall assist the FCC in preparing and securing the individual equipment loan agreements referenced in Paragraph 1, above.

**3. OBLIGATIONS OF NYSECC —**

a. NYSECC shall assist VTSECC and Northeast in all ways necessary and appropriate to the full and timely completion of their respective obligations hereunder.

b. NYSECC shall assist VTSECC in revising the Emergency Broadcast System Operational Plan for the State of Vermont to reflect the administrative, operational and technical changes that will be effected upon completion of the work being performed hereunder.

**4. CONDUCT OF WORK —**

a. Except as otherwise provided herein or subsequently agreed to by the parties hereto, Northeast shall be responsible for all work and services to be performed hereunder. Appropriate representatives of VTSECC and NYSECC shall be available to Northeast for consultation and advice.

**5. INSPECTION —**

The Government, VTSECC and NYSECC shall each have the right to inspect the work to be performed by Northeast hereunder at any time during the progress of same, and to make final inspection upon completion thereof.

**6. RELEASE —**

Northeast shall accept the payment provided for in Paragraph 2(a), above, as full and just compensation for any and all obligations of VTSECC hereunder.

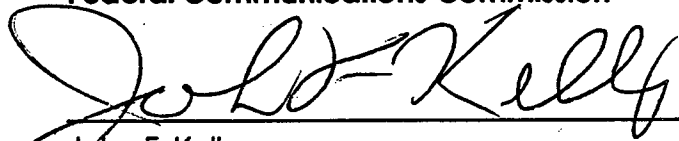
**IN WITNESS WHEREOF**, the parties hereto have executed this agreement as of the date first above written.

**VERMONT STATE EMERGENCY COMMUNICATIONS COMMITTEE**  
**Federal Communications Commission**

  
Dennis Snyder  
Chairman

**AGREEMENT**  
**Page Five (5)**

**NEW YORK EMERGENCY COMMUNICATIONS COMMITTEE**  
**Federal Communications Commission**

  
\_\_\_\_\_  
John F. Kelly  
Chairman

**NORTHEAST NETWORKS, INC.**

  
\_\_\_\_\_  
John W. Nelson  
Vice President - Operations

## Schedule A - Stations

The following broadcast stations have been designated by the Vermont State Emergency Communications Committee (SECC) to serve as Originating Primary Relay Station (OPRS), Primary Relay Station (PRS) and/or primary Common Program Control Station (CPCS-1) facilities for the Emergency Broadcast System (EBS), as defined in Sections 73.917, 73.915 and 73.916, respectively, of the rules and regulations of the Federal Communications Commission (FCC).

Each station or co-owned station combination listed herein is to be provided with the equipment, accessories and associated components necessary and appropriate to their inclusion in the statewide EBS modernization and expansion project referenced in EBS Project Proposal No. VTSECC-BSPP-92-001. Said equipment, accessories and associated components shall be acquired by VTSECC and/or its designated prime contractor through "Broadcast Station Protect Program" (BSPP) funding obligated to VTSECC by the Federal Emergency Management Agency (FEMA) and shall be assigned to the station(s) under individual equipment loan agreements with the FCC.

Radio Stations WSNO/WORK-FM, Barre, VT  
Radio Stations WBTN/WHGC-FM, Bennington, VT  
Radio Stations W TSA-AM/FM, Brattleboro, VT  
Radio Station WEQX-FM, Manchester, VT  
Radio Stations WFAD/WMNM-FM, Port Henry, NY  
Radio Station WIKE, Newport, VT  
Radio Stations WSYB/WZRT-FM, Rutland, VT  
Radio Stations WCFR/WMKS-FM, Springfield, VT  
Radio Stations WSTJ/WNKV-FM, St. Johnsbury, VT  
Radio Stations WYKR-AM/FM, Wells River, VT  
Radio Stations WNHV/WKXE-FM, White River Junction, VT

Subject to both a final siting determination to be based on the results of architectural, engineering and frequency-coordination surveys to be conducted by VTSECC and its designated prime contractor and applicable licensing requirements of the FCC, the State Emergency Operations Center in Waterbury, VT, shall be provided with the facilities and equipment necessary and appropriate to access the EBS Satellite Network Ku-Band back-haul system for purposes of originating emergency warnings, alerts, notifications and related emergency instructions to the general public.

###





Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

M E M O R A N D U M

To: Members, Joint Fiscal Committee

From: Margaret S. Maxfield *Margaret*  
Legislative Fiscal Officer

Date: October 29, 1992

Subj: JFO Item # 1521 - Request from the Department of Social and Rehabilitation Services to accept a grant from the U. S. Department of Health and Human Services, Administration for Children and Families for \$83,333.

The Governor has accepted a grant for the Department of Social and Rehabilitation Services for improving coordination among the various state and local agencies that deliver early childhood and family support services. This is a five year grant for \$100,000 each year. \$83,333 is the State Fiscal Year 1992 amount.

The Department is requesting two limited term positions which will be off-set by the reduction of two positions elsewhere in state government.

This grant will provide coordination between Head Start and other state service agencies to collaborate in the planning, delivery and evaluation of key early childhood and family support services, lessening the inefficiencies and confusion to families on services.

**RECOMMENDATION:**

Recommend that this proposal be accepted and that two limited term positions be established.



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

OCT 22 1992

October 15, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the U.S. Department of Health and Human Services, Administration for Children and Families, to the Department of Social and Rehabilitation Services.

The grant is for \$100,000 in each of five years. Joint Fiscal Committee approval is sought for \$83,333 in state fiscal year 1993. Future years will be budgeted.

The matching requirement will be met by a portion of state employee time dedicated to participating in the project. The grant does not commit the state to ongoing expenditures.

The purpose of the grant is to improve coordination among the various state and local agencies that deliver early childhood and family support services (e.g., education, child care and health). Significantly, Head Start would become involved in the overall planning of a better coordinated service network. This project will extend several current collaborative partnerships, such as the "Success by Six" planning group, and create new interagency agreements that are responsive to unique local and regional needs.

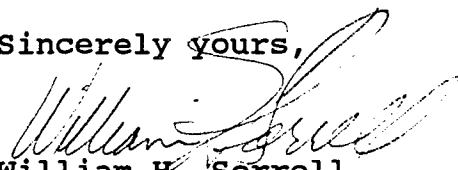
We are requesting that two (2) limited-service positions needed to carry out the project be authorized pursuant to 1992 Act 245 Section 270(c). The two limited-service positions - a Project Director and an Administrative Assistant - are being requested to channel the collective efforts of the participants towards the objectives of the project. The grant funds will be used for these two positions, travel and related equipment and supplies.

Descriptive grant pages are attached for your review. The detailed grant document is available from the Department of Social and Rehabilitation Services.

Senator Mary Just Skinner  
October 15, 1992  
Page -2-

If you have any questions about this project, please feel free to give me a call.

Sincerely yours,



William H. Sorrell  
Secretary of Administration

WHS/slw  
Attachments

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

FORM AA-1  
(Rev. 9-90)

- . Agency: Agency of Human Services
- . Department: Social & Rehabilitation Services
- . Program: Child Care Services Division
  
- . Legal Title of Grant: Head Start - State Collaboration Project
- . Federal Catalog No.: 13.600
- . Grantor and Office Address: Department of Health and Human Services  
Administration for Children and Families  
200 Independence Ave, Room 341 F-2 Humphrey Bldg.
- . Grant Period: five years From: 10/92 To: 9/97 Washington, DC 20201
- . Purpose of Grant: (attach additional sheets if needed)

See attached abstract.

. Impact on Existing Programs if Grant is not Accepted:  
Coordination of early childhood and family support services would lag, causing greater inefficiencies and confusion to families and service providers. We would be missing a great opportunity to capitalize on efforts already begun and to increase the involvement of Head Start in State planning efforts.

0. Budget Information:	(1st State FY) <u>FY 19 93</u>	(2nd State FY) <u>FY 19 94</u>	(3rd State FY) <u>FY 19 95</u>
<b>EXPENDITURES:</b>			
Personal Services	\$ 81,591	\$ 100,370	\$ 102,459
Operating Expenses	\$ 21,527	\$ 22,872	\$ 22,283
Other	\$ 7,992	\$ 10,091	\$ 8,591
<b>TOTAL</b>	<b>\$ 111,110</b>	<b>\$ 133,333</b>	<b>\$ 133,333</b>
<b>EVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$ 27,777	\$ 33,333	\$ 33,333
<b>Federal Funds:</b>			
(Direct Costs)	\$ 83,333	\$ 100,000	\$ 100,000
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 111,110</b>	<b>\$ 133,333</b>	<b>\$ 133,333</b>

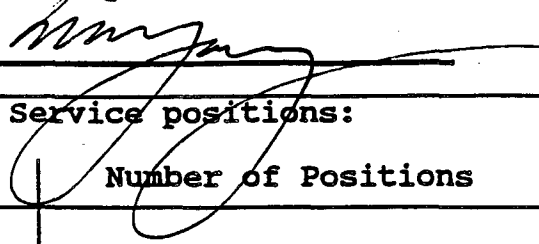
Grant will be allocated to these appropriation expenditure accounts:

<u>Appropriation Nos.</u>	<u>Amounts</u>
To be assigned	

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:


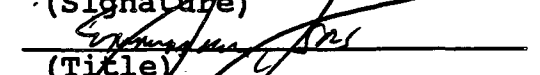
Titles	Number of Positions
Project Director	one
Administrative Assistant	one
TOTAL	

12b. Equipment and space for these positions:

Is presently available. (space)  
 Can be obtained with available funds. (equipment)

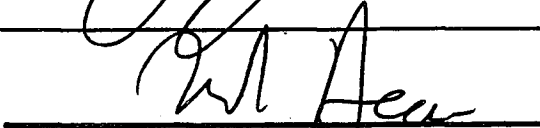
13. Signature of Appointing Authority

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

 12/16/92  
 (Signature) (Date)  
  
 (Title)

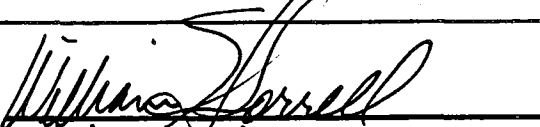
14. Action by Governor:

Approved  
 Rejected

 10/20/92  
 (Signature) (Date)

15. Secretary of Administration:

Request to JFO  
 Information to JFO

 10/19/92  
 (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)

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Administration for Children and Families**  
**FINANCIAL ASSISTANCE AWARD**

SAI NUMBER:  
PMS DOCUMENT NUMBER:  
090CD098501

1. AWARDING OFFICE: HEAD START RESEARCH & DEMONSTRATION GRANT		2. ASSISTANCE TYPE		3. AWARD NO: 70CD0985/01		4. AMEND. NO.	
5. TYPE OF AWARD: DEMONSTRATION			6. TYPE OF ACTION: NEW			7. AWARD AUTHORITY: 42 USC 9801 ET SEQ.	
8. BUDGET PERIOD: 09/30/92 THRU 09/29/93		9. PROJECT PERIOD: 09/30/92 THRU 09/27/97		10. CAT. NO.: 93.600			
11. RECIPIENT ORGANIZATION: STATE OF VERMONT CHILD CARE SERVICES DIVISION 103 SOUTH MAIN STREET WATERBURY VT 05671 HOWARD DEAN, M.D.				12. PROJECT/PROGRAM TITLE HEAD START - STATE COLLABORATION PROJECT			
13. COUNTY: WASHINGTON			14. CONGR. DIST.: 0		15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR: HELEN KEITH		

16. APPROVED BUDGET:

PERSONNEL	\$ 52,000
FRINGE BENEFITS	15,600
TRAVEL	9,900
EQUIPMENT	0
SUPPLIES	9,500
CONTRACTUAL	0
OTHER	13,000
<hr/>	
TOTAL DIRECT COSTS	100,000
TOTAL INDIRECT COSTS CALCULATED	0
AT % OF \$	
TOTAL IN-KIND CONTRIBUTIONS	\$ 33,333
TOTAL APPROVED BUDGET	\$ 133,333

17. AWARD COMPUTATION:

A. NON-FEDERAL SHARE	\$ 33,333	25.0
B. FEDERAL SHARE	\$ 100,000	75.0
18. FEDERAL SHARE COMPUTATION:		
A. TOTAL FEDERAL SHARE	\$ 100,000	
B. UNOBLIGATED BALANCE FEDERAL SHARE	\$ 0	
C. FED. SHARE AWARDED THIS BUDGET PERIOD	\$ 100,000	
19. AMOUNT AWARDED THIS ACTION:	\$ 100,000	
20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:		
21. AUTHORIZED TREATMENT OF PROGRAM INCOME: ADDITIONAL COSTS		
22. APPLICANT EIN:	23. PAYEE EIN:	24. OBJECT CLASS:
1036000274A1	1036000274A1	41.45

25. FINANCIAL INFORMATION

ORGN	FED %	NON FED %	PROG	APPROPRIATION	CAN NO	NEW AMT.	UNOBLIG.	NONFED %
ACYF	01	90CD098501	D82	7521536	21995127	100,000		

26. REMARKS:  
THIS GRANT IS PAID BY THE DHHS PAYMENT MGT. SYS., SEE ATTACHED FOR PAYMENT INFO ATTACHED ARE TERMS AND CONDITIONS, INSTRUCTIONS FOR REQUESTING FUNDS, REPORTING REQUIREMENTS, 45 CFR PART 74, 45 CFR PART 92 (FOR STATE, LOCAL, AND FEDERALLY RECOGNIZED TRIBAL GOVERNMENTS ONLY), A COPY OF THE ANTI-LOBBYING NOTICE, AND OTHER GRANT INFORMATION. THE INITIAL EXPENDITURE OF FUNDS BY THE GRANTEE CONSTITUTES ACCEPTANCE OF THIS AWARD.  
IN-KIND CONTRIBUTIONS: THE VALUE OF DONATED SERVICES, DONATED SUPPLIES, AND/OR DONATED USE OF SPACE IS NOT REIMBURSABLE EITHER AS A DIRECT OR INDIRECT COST. THERE ARE SPECIAL CONDITIONS ATTACHED TO THIS AWARD.

27. SIGNATURE-ACF GRANTS OFFICER <i>Mary A. White</i> MARY A. WHITE		DATE: 9-26-92	28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY <i>Joseph F. Horn</i>		DATE: 9/28/92
29. SIGNATURE AND TITLE-PROGRAM OFFICIAL(S) <i>Joseph F. Horn</i> JOSEPH F. HORN, PH.D.			COMMISSIONER, ACYF		

## **ABSTRACT**

This five year project proposes to establish mechanisms so that state agencies and Head Start collaborate in the planning, delivery and evaluation of key early childhood and family support services. Head Start will join the Success By Six Planning Group and the project staff will carry out the goal and objectives as outlined in the proposal.

The areas identified for funding by the Federal Department of Health and Human Services, Administration for Children and Families and selected by the group who worked on this proposal include:

**Supporting Employability and Economic Self Sufficiency**  
**Improving the Availability, Accessibility, Quality of Child Care**  
**Expanding and Improving Early Childhood Education Through**  
**Coordination with State-Sponsored Preschool Programs**  
**Enhancing the Transition of Children From Preschool to**  
**Elementary School**  
**Opportunities for Children with Disabilities**  
**Improving Access to Health Care**

The Project Director will report to the Director of the Governor's Office of Policy Research and Coordination and will work closely with the Secretary of Human Services, the Commissioner of Education and the six Vermont Head Start Programs.

The work of the Project staff will build on and supplement the collaborative efforts already begun in the Early Childhood and Family Support Service field.

The effort will be supported by \$100,000 a year in federal funds and \$33,333 a year in state funds for a total approved project amount per year of \$133,333.

**FEDERAL ASSISTANCE**

8/14/92

TYPE OF SUBMISSION:  
 Application  
 Construction  
 Non-Construction

Preapplication  
 Construction  
 Non-Construction

3. DATE RECEIVED BY STATE

4. DATE RECEIVED BY FEDERAL AGENCY

State Application Identifier  
 VT

Federal Identifier

**5. APPLICANT INFORMATION**

Legal Name: State of Vermont

Address (give city, county, state, and zip code):  
 Child Care Services Division  
 Osgood Building  
 103 So. Main St. Waterbury VT 05671-2401

Organizational Unit: Office of the Governor

Name and telephone number of the person to be contacted on matters involving this application (give area code):  
 Helen Keith  
 802-241-3110

6. EMPLOYER IDENTIFICATION NUMBER (EIN):  
 03 - 6000274

7. TYPE OF APPLICANT: (enter appropriate letter in box)

A. State  
 B. County  
 C. Municipal  
 D. Township  
 E. Interstate  
 F. Intermunicipal  
 G. Special District

H. Independent School Dist.  
 I. State Controlled Institution of Higher Learning  
 J. Private University  
 K. Indian Tribe  
 L. Individual  
 M. Profit Organization  
 N. Other (Specify):

8. TYPE OF APPLICATION:

New  Continuation  Revision

If Revision, enter appropriate letter(s) in box(es):

A. Increase Award B. Decrease Award C. Increase Duration  
 D. Decrease Duration Other (specify):

9. NAME OF FEDERAL AGENCY:  
 DHHS, ACF, ACYF

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:  
 13 - 600

TITLE: Project Head Start

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:  
 Head Start - State Collaboration Projects

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):  
 State of Vermont

13. PROPOSED PROJECT:  
 Start Date: 10/01/92  
 Ending Date: 09/30/97

14. CONGRESSIONAL DISTRICTS OF:  
 a. Applicant: Vermont  
 b. Project: Vermont

15. ESTIMATED FUNDING:

a. Federal	\$ 100,000	.00
b. Applicant	\$	.00
c. State	\$ 33,333	.00
d. Local	\$	.00
e. Other	\$	.00
f. Program Income	\$	.00
g. TOTAL	\$ 133,333	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  
 DATE \_\_\_\_\_

b. NO.  PROGRAM IS NOT COVERED BY E.O. 12372  
 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?  
 Yes  No If "Yes," attach an explanation.

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative: Howard Dean M.D.

b. Title: Governor

c. Telephone number: 802-828-3333

d. Signature of Authorized Representative: *Howard Dean*

e. Date Signed: 08/13/92

Previous Editions Not Usable

Standard Form 424 (REV 4-89)  
 Prescribed by OMB Circular A-102

Authorized for Local Reproduction



## BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

### SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Project Head Start	13,600	\$	\$	\$ 100,000	\$ 33,333	\$ 133,333
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

### SECTION B — BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ 52,000	\$ 53,560	\$ 55,167	\$ 56,822	\$ 58,527
b. Fringe Benefits	15,600	16,068	16,550	17,047	17,558
c. Travel	11,900	12,495	12,500	11,431	4,915
d. Equipment	5,200	1,000	0	0	0
e. Supplies	4,300	4,300	4,000	4,000	4,000
f. Contractual	4,000	5,077	5,783	5,000	8,000
g. Construction	NA	NA	NA	NA	NA
h. Other	7,000	7,500	6,000	5,700	7,000
i. Total Direct Charges (sum of 6a - 6h)	100,000	100,000	100,000	100,000	100,000
j. Indirect Charges	NA	NA	NA	NA	NA
k. TOTALS (sum of 6i and 6j)	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000	\$ 100,000
7. Program Income	\$	\$	\$	\$	\$

Authorized for Local Reproduction

Standard Form 424A (4-84)  
Prescribed by OMB Circular A-102

**SECTION B  
BUDGET JUSTIFICATION YEAR 1**

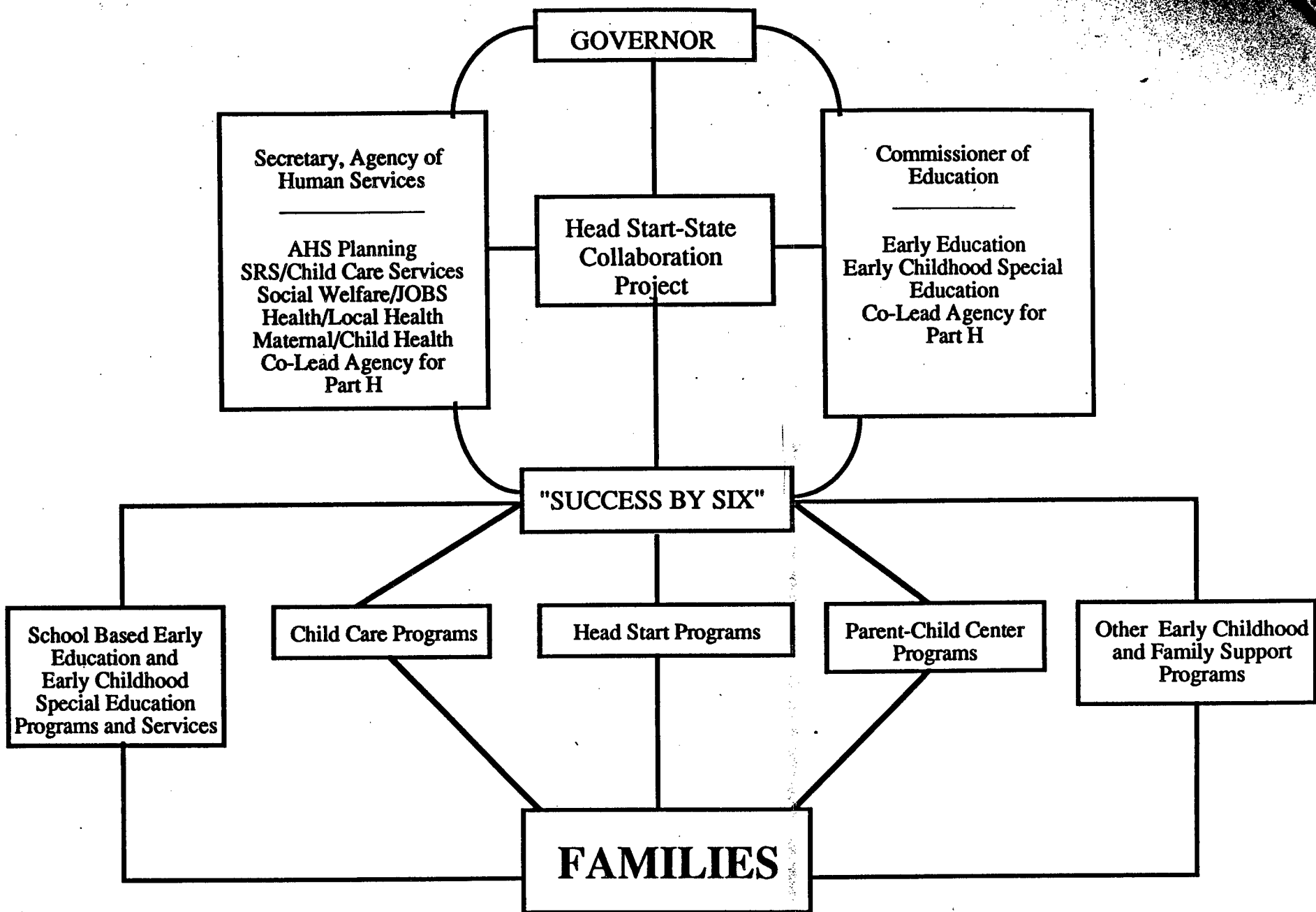
Line 6a. Personnel		52,000
Project Coordinator	100% for 12 mos	35,000
Administrative Assistant	50% for 12 mos	17,000
Line 6b. Fringe benefits (est. @ 30%)		15,600
Line 6c. Travel		11,900
Mileage Reimbursement		2,000
8,000 miles @ \$.25		
Regional Office Meetings - Boston		
Airfare and per diem -		
2 trips for 3 persons		1,500
Two 3 day meetings in Washington, DC		2,400
Airfare and per diem for 2 persons		
NAEYC Conference - November, 1992		2,000
Airfare and per diem for 2 persons		
National Head Start Association (NHSA)		2,500
Conference Spring, 1993 airfare and		
per diem for 2 persons		
Region I Head Start Association Conferences		1,500
Mileage and per diem - 2 conferences for		
2 persons		
Line 6D. Equipment		5,200
Computer terminals		1,200
Lap Top computer and software		2,400
2 desks/chairs/filing cabinets		1,600
Line 6e. Supplies		4,300
Consumable office supplies		
Line 6f. Contractual		4,000
Consultants and facilitators		
Line 6h. Other		7,000
Annual Work Session		5,000
Task Force/Planning Session		2,000
	<b>TOTAL</b>	<u>100,000</u>

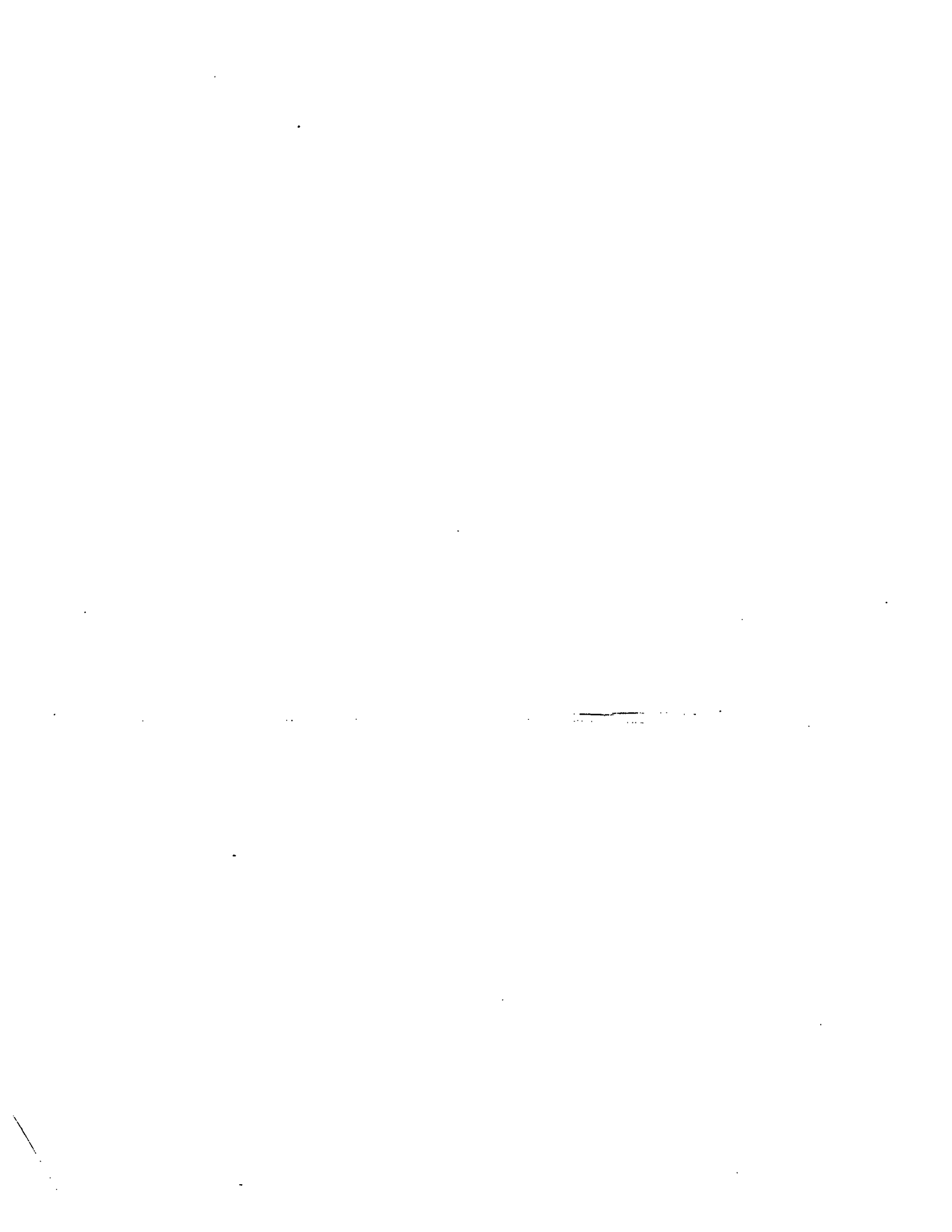
**SECTION C  
NON-FEDERAL RESOURCES**

Line 8c. State

In addition to federal funding requested from this grant proposal, the Project will receive support from the State of Vermont. The In Kind support includes:

Director, Office of Policy Research and Coordination, Office of the Governor (5%)	2,516
Agency of Human Services Director of Planning (10%)	6,246
Department of Social and Rehabilitation Services, Child Care Services Division Director (10%)	5,882
Department of Social Welfare JOBS (Reach Up) Division Director (5%)	2,798
Department of Health Director, Division of Local Health (5%)	3,213
Department of Education Basic Education Division Director, (5%) Special and Compensatory Education Division Director (5%) Early Education Consultant (10%)	3,518 2,569 4,000
	30,742
<b>Grants</b>	2,591
	<b>TOTAL</b>
	<b>33,333</b>





# HEAD START - STATE COLLABORATION GRANT

## PROGRAM NARRATIVE

### SECTION A

#### OBJECTIVES AND NEEDS

##### A. Statement of Need

While the State of Vermont has a long standing commitment to the provision of child development and family support services, much needs to be done to assure that child and family needs are addressed in a timely, systematic, coordinated, and comprehensive fashion. These needs were documented through a community based planning process associated with Act 266 (a law committing Vermont to prevention and early intervention services for young children birth to 6 who are at risk for school failure). In addition, the Vermont Children's Forum (a grassroots child advocacy and public education group) researched the status of children in Vermont and reported their findings in their 1991 publication; The Kids In Our Backyard: Some Facts You Should Know About Vermont Children. These needs (some of which are identified below) provide the driving force behind the development of the proposed project goals and objectives.

- \* Child development and family support services for low income children and their families: 1) are provided through a variety of uncoordinated service delivery systems; 2) at times are not accessible or are unavailable; 3) are rarely integrated; and 4) have varying degrees of quality.
- \* There is no adequate on going process to target and deal with issues that are common to each constituency (i.e., children and families, service providers, and state agencies).
- \* There are numerous community based early childhood development and family support programs operating in linear ways offering specific rather than comprehensive services.
- \* While Head Start plays a major role in providing comprehensive services to its enrolled families, to date Head Start has not been a major influence in the development of public policy related to early childhood and family support services.
- \* Families do not have adequate information regarding: service delivery options, financial assistance, access to comprehensive services in the location of their choice.
- \* 14,661 children lived in 8,281 families who received Aid to Needy Families with Children benefits in January, 1992.

- \* One out of every five Vermont women who gave birth in 1988 had no prenatal care during the first trimester of pregnancy.
- \* One-third of all Vermonters who do not have health insurance are children.
- \* Approximately 60% of Vermont children under age 6, or 30,000 children, need child care. In 1992, there were 2,100 regulated child care programs with spaces for 21,600 children.

## **B. Project Goal and Objectives**

In order to address the needs faced by Vermont's children and families the proposed **project goal is to institutionalize mechanisms** to insure that Head Start plays a key role in planning and public policy development activities and that specific Vermont initiatives related to the following six Priority Areas are addressed (see Table 1 for specific initiatives related to each Priority Area).

- I.** Supporting Employability and Economic Self-Sufficiency
- II.** Improving the Availability, Accessibility, Quality of Child Care
- III.** Expanding and Improving Early Childhood Education Through Coordination with State-Sponsored Preschool Programs
- IV.** Enhancing the Transition of Children From Preschool To Elementary School
- V.** Opportunities for Children with Disabilities
- VI.** Improving Access to Health Care

These Priority Areas will be addressed through the accomplishment of the following proposed project objectives:

- 1) To establish the Success by Six Planning Group as a vehicle to oversee project activities and to assure the development, implementation, and evaluation of action plans focusing on each Priority Area and related initiatives.
- 2) To develop new and refine existing state interagency agreements among Head Start and other early childhood and family support service providers which will provide a template for the development of local/regional interagency agreements that are flexible and responsive to unique local/regional characteristics.

With the accomplishment of the proposed project goal and objectives, benefits will accrue to children, families, service providers, state agencies, and Head Start. Children will benefit from child development and family support services that are: comprehensive, appropriate to meet their needs, of high quality, and brought to them in their typical settings (e.g., child care, preschool, home).

**TABLE 1**

**Proposed Initiatives Related to Each Priority Area**

**Area I: Employability and Self-Sufficiency**

- Family Literacy
- Network of Family Child Care Homes
- Child Care Subsidies for Low-Income Working Parents
- Coordination of Head Start-Reach Up (JOBS) Activities (e.g. Shared Case Management Resp.)
- Substance Abuse

**Area II: Availability, Accessibility, Quality of Child care**

- Family Literacy
- Inclusion of Special Education & Mental Health
- Training, Accreditation, Credentialing
- Network of Family Child Care Homes
- Coordinated Training Efforts
- Child Care Subsidies for Low-Income Working Parents
- Coordinate/integrate Parent Involvement/Education Activities Across Agencies/Programs
- Review/Revise/Adopt Program Standards (e.g., Head Start, NAEYC)
- Identify and Expand Common Elements of Early Childhood Programs (EEE, EEI, child care)
- Salary Study

**Area III. Expanding/Improving Early Childhood Education Through Coordination**

- Family Literacy
- Inclusion of Special Education & Mental Health
- Training and Accreditation
- Coordinated Training Efforts
- Expanded Home Visits/Parent Education
- Maximize Federal Funds via Use of EPSDT/Medicaid
- Identify and Expand Common Elements of Early Childhood Programs (EEE, EEI, Child Care)
- Review/Revise Existing Interagency Agreements (e.g., Head Start-EEE, Part H)
- Salary Study

**Area IV: Transition to School**

- Establishing Common Early Childhood Transition Procedures (e.g., EEI, EEE, Head Start, Child Care)
- Establishing Partnerships between Elementary School Teachers and Early Childhood Community (providers and families)

**Area V: Opportunities for Children with Disabilities**

- See Initiatives Related to Priorities #II, III, IV, & VI
- Establish Connection between all Head Start-State Collaboration Project Activities and the Family, Infant, and Toddler Project of Vermont (Part H)
- Maximize Use of EPSDT
- Review/Revise Existing Part H Agreements

**Area VI: Improving Access to Health**

- Establishing Partnership between Head Start-State Collaboration Project & Health Care Authority
- Coordinate with Dr. Dynasaur Efforts
- Address Issues Related to Deductibles
- Substance Abuse
- Improve/Expand EPSDT Efforts



Families will have better access to: higher paying jobs, job training that meets their needs and interests, higher quality, more accessible and more comprehensive child care, more coordinated early education services, special education and related services in the location of their choice, health care, and information regarding transition to kindergarten, including the role of parents in schools. Service providers will experience fewer barriers to the delivery of comprehensive, high quality child development and family support services. State agencies will be better informed with regard to the role and value of Head Start services, and will make a stronger commitment to increase collaboration. The collaboration efforts will improve the efficiency and effectiveness of state funded early childhood and family support services. Finally, Head Start will benefit by: becoming a more active participant in state and regional policy definition and implementation, gaining more efficient access to services benefiting its families, gaining access to a broader range of training opportunities, enjoying a wider recognition of the value of Head Start's family centered approach to service delivery, and enjoying more effective coordination of services with other state agencies.

In a more global sense the accomplishment of the proposed project goals and objectives will facilitate the realization of a vision for young children and their families that was recently developed by the "ad hoc Early Childhood/Child Care/Head Start Work Group."

Every family in Vermont has the right to comprehensive, high quality child development services appropriate for their children. Every Vermont community shall nurture the healthy development of young children and strengthen families. To support communities, the State of Vermont will create a compatible system for child development services which shares common standards for quality and respects the diversity and uniqueness of individuals and programs.<sup>1</sup>

#### **State of Vermont Educational and Human Service Philosophy, Priorities and Goals**

The State of Vermont has attempted over the past decade to develop a comprehensive, integrated, family-centered service delivery model to meet the needs of all young children and their families.

Development of this comprehensive service delivery system began in the mid-1980's as several efforts including:

- a) work accomplished by the Handicapped Children's Early Education Program;

---

<sup>1</sup>Early Education/Child Care Collaborative/Head Start Work Group (1992). *Moving Toward a Unified System of Child Development and Family Support Services in Vermont*. Waterbury, VT: Agency of Human Services.



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 27, 1992

**Subj:** JFO #1532; Department of Agriculture;  
Dodge Foundation Grant

The Geraldine R. Dodge Foundation has awarded a grant to the Vermont Department of Agriculture in the amount of \$25,000 for fiscal year 1993. The purpose of the grant is develop model animal welfare legislation. The project period is three years and continued support from the Dodge Foundation is possible, but not guaranteed.

The first \$10,000 of this grant does not require matching funds, however, the remaining \$15,000 requires a dollar for dollar match. This requirement is being met by the University of Vermont through the commitment of \$15,000 worth of veterinarian services. In-kind match is acceptable to the Dodge Foundation provided it comes from sources external to the Department of Agriculture.

In addition to the grant and the UVM match, the Department of Agriculture plans to commit \$16,000 of the State Veterinarian's time to this project. The Eastern Milk Producers Cooperative may also furnish \$500 in grant funds at a future date. Thus, the first year budget for this project is \$56,500, with \$25,500 being dedicated to a personal services contract for a project coordinator.

Recommendation: Over the three year life of this project the Department of Agriculture estimates it will commit more than \$200,000 of financial resources to the task of drafting model legislation. Because of the expansive and protracted nature of this project **we recommend that acceptance of this grant be held in abeyance for consideration by the general assembly.** We suggest that the House and Senate Agriculture Committees review the project proposal and make recommendations to their respective Appropriations Committee for inclusion of the grant funds in the FY 1993 Budget Adjustment Act. While we recognize the urgency associated with protecting domesticated animals from suffering and abuse, we also note that the Dodge Foundation issued its grant notice in March and that seven months elapsed before a request for acceptance was brought before the Joint Fiscal Committee. For this reason and because the Department of Agriculture does not plan to introduce legislation until fiscal year 1996, we are compelled to conclude that Vermont is not facing a crisis.



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

OCT 23 1992

JFO #1532

22 October 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the Geraldine R. Dodge Foundation to the Department of Agriculture, Foods and Markets. The grant is for \$25,000 for fiscal 1993. The department was notified of the grant on March 26, 1992, but has waited until now to prepare a specific plan for the project.

In addition, the Department expects an additional grant of \$500 from the Eastern Milk Producers Cooperative. The commitment for this latter grant will not be finalized until the project is under way.

Joint Fiscal Committee approval is sought for \$25,500 in fiscal year 1993. Any subsequent fiscal years will be budgeted.

The grant is intended to provide funding support to develop animal welfare guidelines, educational programs and draft legislation.

There is no cash match requirement; however the Department will make an in-kind contribution of \$16,000 which will consist primarily of the State Veterinarian's and the Legal Counsel's time. The University of Vermont will also make an in-kind contribution of the University's veterinarian's time of \$15,000, which the Dodge Foundation has accepted as match for its grant.

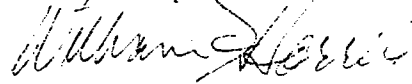
No permanent positions will be created as a consequence of this project. The Department does intend to hire a project coordinator through a personal services contract or as a temporary employee for the duration of the project.

Senator Mary Just Skinner  
22 October 1992  
Page 2

The Department expects that the project will run for three years. While a tentative budget is presented here for years two and three, the Department is requesting acceptance of the first year funding only. The subsequent years will be handled through the normal state budgeting process and will be dependent on the success of fund raising efforts outside of state government. Commissioner Dunsmore's letter states that other than in-kind support, no state funds will be committed to this project in ensuing years.

If you have questions about this project, please feel free to give me a call.

Sincerely,



William H. Sorrell  
Secretary of Administration

WHS:njk

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

FORM AA-1  
 (Rev. 9-90)

1. Agency:
2. Department: Agriculture, Food and Markets
3. Program: Animal & Dairy Industries Division, Livestock Section
4. Legal Title of Grant: Animal Welfare Project
5. Federal Catalog No.: N/A
6. Grantor and Office Address: N/A
7. Grant Period: From: 10/01/92 To: 7/01/93

8. Purpose of Grant: (attach additional sheets if needed)  
 This grant provides funds to develop animal welfare guidelines, educational programs and supporting legislation for Vermont. It will enable a thorough review of existing legislation in Vermont and other states; ample opportunity for animal caretakers, consumers and the general public to input their ideas and needs; and the opportunity to conduct field trials to test proposed procedures. Funding for a project coordinator is included.

9. Impact on Existing Programs if Grant is not Accepted:  
 If this grant is not accepted, animal welfare legislation will continue to be promulgated in response to perceived problems in a piecemeal fashion. There is within the Department of Agriculture, Food & Markets insufficient personnel or funding to adequately review the animal welfare needs of Vermont.

10. Budget Information:	(1st State FY) FY 19 93	(2nd State FY) FY 19 94	(3rd State FY) FY 1995
<b>EXPENDITURES:</b>			
Personal Services	\$ 47,000	\$ 63,000	\$ 63,000
Operating Expenses	\$ 9,500	\$ 12,000	\$ 12,000
Other	\$	\$	\$
<b>TOTAL</b>	<b>\$ 56,500</b>	<b>\$ 75,000</b>	<b>\$ 75,000</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$ 16,000	\$ 20,000	\$ 20,000
<b>Federal Funds:</b>			
(Direct Costs)	\$	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
<b>Other Funds:</b>			
(source) Grants	\$ 25,500	\$ 55,000	\$ 55,000
UVM (in-kind)	15,000		
<b>TOTAL</b>	<b>\$ 56,500</b>	<b>\$ 75,000</b>	<b>\$ 75,000</b>

Grants will be allocated to these	<u>Appropriation Nos.</u>	<u>Amounts</u>
appropriation expenditure accounts:	0102260501	\$ 25,500





STATE OF VERMONT

DEPARTMENT OF AGRICULTURE, FOOD & MARKETS

OFFICE OF THE COMMISSIONER  
DIVISION OF AGRICULTURAL DEVELOPMENT  
DIVISION OF ANIMAL & DAIRY INDUSTRIES  
DIVISION OF PLANT INDUSTRY, LABORATORIES & CONSUMER ASSURANCE

TO: William H. Sorrell, Secretary of Administration  
FROM: George M. Dunsmore, Commissioner  
DATE: October 19, 1992  
SUBJ: Animal Welfare Project

I am enclosing the latest synopsis of our Proposal for the Animal Welfare Program along with the completed Request for Grant Acceptance form.

As our society shifts from an agricultural environment to an urban environment, an increasing number of animal welfare and animal rightists express concerns about the treatment of domesticated animals. Some animal welfare concerns are promoted by self-interest groups using erroneous facts, while other animal welfare issues concern inhumane practices that need correction. This project will identify inhumane practices and present solutions that are practical, workable and economically sound.

Few people are intentionally cruel to animals. Most animal cruelty cases are the result of ignorance about animal suffering and the measures that could prevent animal suffering. Rarely is cruelty to animals deliberate.

This project will develop guidelines for humane animal care and supporting educational programs. Guidelines will be in a form that will allow legislative passage into law. This approach will ensure the uninterrupted and humane use of domesticated animals and birds in our agricultural industry as pets and in the show circuits, as well as for the production of food and fiber and continuing efforts in the field of research.

Financially, Vermont does not have the resources or manpower to thoroughly review animal welfare issues and develop the guidelines and educational programs as proposed by this project. Consequently, the Department of Agriculture, Food & Markets is seeking grants from corporations, organizations and private individuals who support animal welfare programs. The Geraldine





William H. Sorrell  
Page 2  
October 19, 1992

Dodge Foundation has provided an initial grant of \$10,000.00 with an additional \$15,000.00 available if matched. I am pleased that the University of Vermont is able to commit \$15,000.00 in-kind contribution for that match. Eastern Milk Producers Cooperative Association, Inc. has committed \$500.00. Requests for additional funding have also been sent to other foundations and related industries, and we are waiting for responses from them.

The Vermont Department of Agriculture, Food & Markets is soliciting additional financial support to allow a complete budget for this project. No state general fund monies will be requested for this project other than in-kind support by the State Veterinarian, our legal counsel, and some clerical staff. This project will not create any new permanent positions in state government. Any new personnel will be temporary for the duration of this project.

The synopsis attached outlines the program for the three-year period as does the AA-1. However, at this time we are requesting acceptance for the first year only. We will continue to solicit funding for the second and third years from the private sector with no monies being directed to this project from the general fund.

GD/mg

Enclosures



## STATE OF VERMONT

### DEPARTMENT OF AGRICULTURE, FOOD & MARKETS

OFFICE OF THE COMMISSIONER  
DIVISION OF AGRICULTURAL DEVELOPMENT  
DIVISION OF ANIMAL & DAIRY INDUSTRIES  
DIVISION OF PLANT INDUSTRY, LABORATORIES & CONSUMER ASSURANCE

## Proposal for Animal Welfare Program

October 19, 1992

### History and need:

Historically, animal welfare legislation has been written to address a particular problem and often has not had the opportunity to look at the big picture. Currently, many individuals are rethinking their positions on animal welfare and the ethical treatment of animals. We feel this would be a good time to look at the big picture and address animal welfare from a broader perspective. We still need laws protecting public health and controlling communicable diseases. We also need consistency in the way we regulate animal industries and education on animal husbandry.

Historically, research done for domestic animals had profitability as its motivating force and while we firmly believe profit is not a bad motive it should not be the only one. We need to encourage more research into animal husbandry practices that are profitable and do not put the animals through undue hardship.

There are two general areas to these problems. One, general practices that would be best addressed through education of the producers and consumers; secondly, to address specific animal welfare issues that need regulatory action. Our philosophy is that it is better to educate than regulate, but both are necessary components of a good animal welfare program.

### Proposal:

We will develop a program with three major initiatives to accomplish. First we will develop guidelines and education programs for schools, growers, dealers and the general public on animal welfare issues.



116 STATE STREET, MONTPELIER, VERMONT  
MAILING ADDRESS: 120 STATE STREET, MONTPELIER, VERMONT 05620-2901  
(802) 828-2500 FAX: (802) 828-2361

Animal Welfare Proposal  
Page 2  
October 19, 1992

Secondly, we will develop pilot projects to give us the necessary data on animal care and well-being. Initially we will do a project on veal raising to identify and promote the most humane way to raise affordable veal.

The third is to look into the rules and statutes aspects of animal welfare. We need to look at our statutes and rules, statutes and rules from around the country, and model legislation that various animal welfare organizations have developed and develop a good animal welfare law for Vermont that can serve as a model for other northern tier states.

We will hire a program coordinator that understands agriculture and animal sciences. This individual will be assisted by Dr. James Nichols, Director of Animal Care Management at the University of Vermont through a time share arrangement equal to \$15,000.00 per year and by Dr. Samuel Hutchins, our State Veterinarian.

### Year One - Investigation and research development

#### **Communication:**

One of the first jobs of the program coordinator will be to identify and communicate with the humane organizations in Vermont and around the Northeast. They need to be aware of our efforts and given the opportunity to work with us on this project. On areas where there is no obvious consensus within the groups the coordinator will need to gather information and after researching the issues through literature review and discussions with experts in the fields involved, try to provide the groups with the information gathered and show the reasons for the differences of opinion. These groups would vary from Agricultural Interests to PETA, and the diversity will help develop a well-balanced piece of legislation.

#### **Domestic animals:**

In year one of this project, the program coordinator being hired would be expected to gather all the major animal welfare bills written in the last five years as well as contact the various humane organizations that have model laws and have the summer law interns compile and index this information so that it will be available when we draft our

Animal Welfare Proposal

Page 3

October 19, 1992

legislation. We do not want to let current legislation influence our bill too much; at the same time, we do not want to spend time reinventing the wheel.

On the research side we would like to start pilot projects (like veal raising) that would investigate current practices and determine which farm practices are problems to the animals and which are perceived problems. The areas that are problems to the animals' well-being need to be looked at to determine what would be a better way to accomplish the same objective of providing a safe, wholesome food to the consumers at a price they can afford to pay. Some areas, such as ventilation and basic hygiene, may have to have regulatory standards developed to ensure their compliance. Other areas such as feeding schedules, could be handled from an educational standpoint. Generally, the practices that keep the animals most content in their environment will also produce the best yields. Some areas need education to the consumers. We have an ever-increasing number of consumers that do not have a farm heritage and do not understand the way animals and the farmers interact. It is difficult for some people to deal with the reality of farm life just as many farmers cannot deal with the realities of city life.

An area that is very difficult for non-farm individuals to deal with is the slaughter of animals for meat and hides. We need to be cognizant of this and help educate consumers and also work with slaughtering plants to ensure that the animals slaughtered are treated in a humane fashion and die as quickly and painlessly as is possible. This includes a long, hard look at our policies for downer cows (cows injured beyond the ability to walk into the slaughtering facility, such as a broken leg). We need to identify areas of concern and determine the best way to handle those issues.

**Pets:**

This will probably be the most sensitive issue we will be addressing as it reaches into peoples' homes, and emotion easily takes over from rational thinking. There are general areas of pet husbandry we need to address as well as the

problem of communicable diseases like rabies and chlamydia. Under general husbandry we need to address kennels, both breeding kennels and humane shelters. We need to establish minimum standards for these facilities without interfering with a family that has a litter of puppies occasionally in their home.

By the end of the first year we would like to see the same type of information gathered that we mentioned in the animal husbandry section. We also need to have the specialist looking at the pet facilities around Vermont to see what works best in our climate and what guidelines are most reasonable.

#### **Laboratory Animals and Exotic Animals:**

Year one we will be focussing on the above two topics, but we will be gathering information and pertinent legislation on these topics as well.

Currently, the University of Vermont is the only facility in Vermont doing animal research and they have an extensive review process of all research involving animals to show that the research is necessary, that the benefits are significant, and that a non-animal model isn't available. Because they receive federal funds for some of their projects, they have a number of regulations already in place. We need to look into putting these same safeguards onto future organizations that may come to Vermont and do animal research that do not fall under these federal regulations.

An area of lab animals that is not often addressed is the raising of these animals. We need to investigate the way this is now being done and what guidelines need to be established.

The majority of the exotic animals in Vermont are at educational facilities like museums or in traveling shows. We need to develop guidelines for these users, but we feel this is not as pressing a challenge as domestic animals and pets and will be postponing our major efforts on these until year two.

Animal Welfare Proposal  
Page 5  
October 19, 1992

Year two:

We plan to write the necessary legislation for domestic and pet animals the second summer we have the law interns. We hope to have the veal project to the point where we have developed most of the management strategy changes necessary for profitably raising well-cared for, contented veal calves.

We will begin work in earnest on the lab animal and exotic animal issues, starting by identifying the problems and then develop strategies to deal with them.

We will also begin the development of educational materials and programs to disseminate the information we have gathered. This will involve education to schools, consumers, dealers, processors and farmers. We will hold meetings as well as develop printed materials to hand out, aimed at all of the above groups.

Year three:

First on the agenda will be to get the statutes and rules we have developed passed into law covering domestic animals and pets. This will involve much of the coordinator's time as well as the Commissioner, State Veterinarian and the department staff. The remainder of the year will be spent on finishing the development of educational materials, holding educational meetings around the state and other states that would like information on our program, and writing the legislation for lab animals and exotic animals.

The goal is to have a law that is comprehensive enough to cover most foreseeable situations and yet not be so burdensome that it drives good farmers and kennel operators out of business. We realize that year two and three are not very detailed, but we want to allow ourselves enough latitude to change direction slightly if we find problems with our initial approach. If you have any questions please call Dr. Hutchins or Commissioner Dunsmore.

*Animal Welfare  
Project*

GERALDINE R. DODGE FOUNDATION

March 26, 1992

Samuel Hutchins, D.V.M.  
State Veterinarian  
State of Vermont  
Department of Agriculture, Food and Markets  
120 State Street  
Montpelier, VT 05620-2901

Dear Dr. Hutchins:

I am happy to report that the Trustees approved a grant of \$25,000 to State of Vermont toward a three-year project to write comprehensive animal welfare legislation that will protect animals, the public and farmers and serve as a model for other northern tier states.

The goal of the project, first and foremost, is to improve the respect for, and the health and well-being of, all animals. The first step will be to develop animal welfare guidelines that balance the needs of animal caretakers, consumers, and the general public.

We understand that you will hire someone whose job the first year will be to study and disseminate the information that exists about humane farming methods. You will also examine the possibility of developing pilot projects in veal-raising that could serve as models for the kind of humane practices that the legislation will eventually call for. The person hired will also meet with the state's humane organizations, policy makers and farming community to build a consensus on what is needed to write comprehensive animal welfare legislation.

A concern was voiced at our Trustees' meeting that a foundation such as ours should not be doing for the State of Vermont what it should be doing for itself. We understand, however, that interest in the welfare of animals is not yet sufficient to expect Vermont to allocate funds for your project. Yet, perhaps next year a follow-on proposal could come from another institution. For example, if Ed Wildman continues with the project, perhaps the request could come from the University of Vermont instead of from the State.

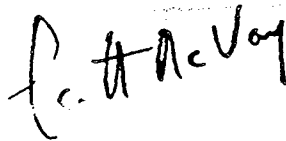
-2-

An initial Foundation check for \$10,000 is enclosed. The remaining \$15,000 will be forwarded when you have raised a like amount, dollar for dollar, from additional sources. Monies you have on hand will not apply, nor will monies obtained through a loan. You will have until October 1, 1992 to meet the match.

We would appreciate a receipt for our records. We will also need a narrative and financial accounting on the use of these funds by December 1, 1992.

With all good wishes.

Sincerely,

A handwritten signature in black ink, appearing to read "S. McVay". The signature is written in a cursive style with a large initial "S" and a stylized "McVay".

Scott McVay  
Executive Director

SM:  
Enclosure



2/2

an Equal Opportunity Affirmative Action Employer

cc: Dr. Thomas Tritton, Vice Provost  
Regina H. White, Director OSB  
Dr. Jim Nichols, University Veterinarian

Catherine W. Donnelly, Ph.D.  
Associate Dean  
College of Agriculture and Life Sciences

*Catherine W. Donnelly*

Sincerely,

In the next few weeks, a group of individuals from the University comprised of myself, Ruth Wallman, Dr. Burt Hamrell and Dr. Jim Nichols will set up a meeting with you and your key deputies to discuss how we begin our collaborative work. In the meantime, I hope that our commitment to cost-share this activity in the form of in-kind salary support will enable us to begin work on the critically important issue of animal welfare legislation.

The University is willing to provide in-kind support to augment these efforts. We will pledge in-kind support of our University Veterinarian, Dr. James Nichols, valued at approximately \$ 15,000. We expect Dr. Nichols and other University colleagues to work cooperatively with Dr. Butchins and key Department of Agriculture staff members on the proposed educational and public policy efforts. We will also be willing to work cooperatively with you in defining additional means of support through foundations and corporations, and other granting agencies willing to support efforts of this nature.

The University of Vermont has keen interest in working cooperatively with the Department of Agriculture, Food and Markets in order to develop a comprehensive animal welfare program as described in your draft proposal of August 18, 1992. We understand that you have received financial support from the Geraldine Dodge foundation in partial support of your proposed efforts.

Dear George:

Commissioner George Dunsmore  
Vermont Department of Agriculture, Food and Markets  
116 State Street  
Montpelier, VT 05602

October 23, 1992

COLLEGE OF AGRICULTURE & LIFE SCIENCES  
OFFICE OF THE DEAN  
MORRILL HALL  
BURLINGTON, VERMONT 05405-0106  
Telephone (802) 656-2580  
FAX (802) 656-8642



The University of Vermont

10/23/92 13:02 14:09 VLT:6-05P1842

240 #1532

VERMONT FEDERATION OF DOG CLUBS, INC.

Edward A. Peterson, President  
HCR 32, Box 165  
Montpelier, VT 05602

Ann Thornhill, Secretary  
RD 1, Box 80  
No. Ferrisburg, VT 05473

November 10, 1992

State of Vermont  
Joint Fiscal Committee  
Sen. Mary Just Skinner, Chairperson  
State House  
Montpelier, VT 05602

Dear Committee Members:

As President of the Vermont Federation of Dog Clubs, I would like to express the support of our organization for the Animal Welfare Program Proposal of the Vermont Department of Agriculture, Food and Markets. The Vermont Federation of Dog Clubs consists of six member dog clubs in Vermont representing more than 300 responsible citizens who are responsible breeders, trainers and supporters of the Dog Fancy. The member dog clubs of the Vermont Federation are:

- |                               |                                    |
|-------------------------------|------------------------------------|
| Bennington County Kennel Club | Burlington Obedience Training Club |
| Champlain Valley Kennel Club  | Green Mountain Dog Club            |
| Rutland Valley Kennel Club    | Woodstock Kennel Club              |


At a meeting of the Board of Directors of the Vermont Federation of Dog Clubs in Rutland on October 28, 1992, a motion was passed directing that the President write to the Joint Fiscal Committee expressing our support for Commissioner of Agriculture George Dunsmore's proposal for the review of the Animal Welfare Laws in Vermont.

We strongly believe this is necessary especially in light of the recent cases involving dogs in Vermont. These were the Merryall case in Hartland, the Goslant case in West Topsham and currently, the Greyhound problems at the Pownal race track. Our members have spent thousands of dollars and enormous amounts of time working in conjunction with Humane Associations to board, provide medical attention to and find homes for those dogs that were rescued from wretched conditions. Our laws need to be reviewed, revised and enforced to deal with such situations.

Lastly, in view of current thinking in regard to animal rights and animal research activities, the State of Vermont has an opportunity to be a leader in the field of Animal Welfare Legislation. I urge the Joint Fiscal Committee to support the proposal of the Department of Agriculture, Food and Markets.

Sincerely,

VERMONT FEDERATION OF DOG CLUBS

  
Edward A. Peterson  
President

cc: Comm. George Dunsmore



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

**MEMORANDUM**

**TO: Joint Fiscal Committee Members**

**FROM: Maria Belliveau, Fiscal Analyst**

A handwritten signature in dark ink, appearing to be 'MB', written over the printed name 'Maria Belliveau'.

**DATE: October 27, 1992**

**SUBJECT: JFO #1529 - \$62,000 grant from the U.S. Department of Agriculture**

The Agency of Development and Community Affairs, Department of Economic Development requests approval to accept \$62,000 from the U.S. Department of Agriculture. The grant funds are distributed by the U.S. Department of Agriculture but are actually a part of the President's discretionary fund which have been targeted for rural development.

The grant funds will be used to hire one exempt limited service Executive Director position which will be offset by eliminating an existing position in the Executive branch of state government. The Vermont Rural Development Council will be established and will consist of members of federal, state, and local government and business. The Council will provide leadership in making strategic use of all available resources to achieve short and long-term rural economic development goals.

I recommend that the Joint Fiscal Committee approve the acceptance of \$62,000 grant from the U.S. Department of Agriculture and the establishment of one limited service Executive Director position in fiscal year 1993.



SFO #1528

STATE OF VERMONT  
DEPARTMENT OF FINANCE AND MANAGEMENT  
MONTPELIER, VERMONT 05602  
October 20, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the United States Department of Agriculture to the Department of Economic Development in the Agency of Development and Community Affairs. The grant will be used to establish the Vermont Rural Development Council, consisting of members from the federal, state, and local government and business interests.

The grant is for a total of \$124,000 for fiscal 1993 and 1994. The Department of Economic Development will make a \$44,000 in-kind contribution of staff time to the project.

Joint Fiscal Committee approval is sought for \$62,000 in fiscal year 1993. FY 1994 will be budgeted.

The Council will serve as a focus for strategic planning and coordination, to maximize the use of federal and state resources available for rural economic development in Vermont. The Council will have no administrative or directive role in the disbursement of economic development funds.

We are requesting that one (1) exempt limited service position - Executive Director - needed to carry out the project be authorized pursuant to 1992 Act 245 Section 270(c). This position will operate from space in the Department of Economic Development, but will be responsible to the Council and coordinate the Council's activities. Grant funding will be used to support the position and expenses of the Council.

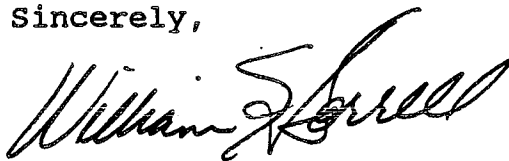
Senator Mary Just Skinner  
October 20, 1992  
Page 2

The grant award notification was received October 14, 1992.  
Indirect costs are not allowed as part of the grant.

Additional detailed materials relating to the grant are  
available from the Department of Economic Development.

Should you have any questions, please give me a call.

Sincerely,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

attachments

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

FORM AA-1  
(Rev. 9-90)

1. Agency: Agency of Development and Community Affairs
2. Department: Department of Economic Development
3. Program:
4. Legal Title of Grant: State Rural Development Council
5. Federal Catalog No.:
6. Grantor and Office Address: United States Department of Agriculture,  
Economic Research Service Room 312  
1301 New York Ave NW Washington, DC 20005
7. Grant Period: 1 year From: approval To: 12 months thereafter
8. Purpose of Grant: (attach additional sheets if needed)

See Attached

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

See Attached

10. Budget Information:	(1st State FY) <u>FY 1993</u>	(2nd State FY) <u>FY 1994</u>	(3rd State FY) <u>FY 19</u>
<b>EXPENDITURES:</b>			
Personal Services	\$ 37,500	\$ 37,500	\$
Operating Expenses	\$ 46,500	\$ 46,500	\$
Other	\$	\$	\$
<b>TOTAL</b>	\$ 84,000	\$ 84,000	\$
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$ -----	\$ -----	\$
In-Kind	\$ 22,000	\$ 22,000	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$ 62,000	\$ 62,000	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	\$ 84,000	\$ 84,000	\$

Grant will be allocated to these appropriation expenditure accounts: Appropriation Nos.      Amounts



## STATE RURAL DEVELOPMENT COUNCIL

### SUMMARY

The State Rural Development Council involves members of the federal, state and local government, business and education communities that have responsibilities for programs or services impacting rural communities. The Council encourages and provides opportunities for cooperation, collaboration and coordination among private, local, state and federal resources in the delivery of programs or services to rural communities.

The Council will provide leadership in making strategic use of all available resources to achieve short and long-term rural economic development goals. In addition, the Council will identify interdepartmental and intergovernmental barriers to implementing issues which support rural development.

The Council's success will depend upon the cooperative efforts of its members and of those with whom it works. The Council does not allocate resources or deliver services; it can facilitate more creative use of federal and state resources to build policy coordination leading to changed practices, flexible application of regulations and effective investment of development resources.



## 8. PURPOSE OF GRANT

The purpose of this grant is to provide funds for the formation and work of a State Rural Development Council; monies will be utilized to support and hire the Executive Director. The Council will promote partnerships between government, education and the private sector to address the needs of Vermont's rural areas.

The State Rural Development Council will develop its own approach to the issues it faces. The complex factors affecting rural communities and the diversity of economic and social conditions in rural Vermont call for federal, state and local strategies. Efforts to assess local conditions and design appropriate solutions will be focused at all levels of government and will include the private sector. The Council's role is to facilitate or catalyze coordinated public/private activity in approaches to rural economic development.

### Council Members --

The Rural Development Council is comprised of individuals from federal, state, local government, education and the private sector. These individuals bring together the diverse interests related to rural development within the state. The Council will hire an Executive Director to focus its efforts; some type of executive board composed of individuals elected by the Council will serve as the governing body.

The Council's success will depend upon the cooperative efforts of its members and of those with whom it works. The Council does not allocate resources or deliver services; it can facilitate more creative use of federal and state resources to build policy coordination leading to changed practices, flexible application of regulations and effective investment of development resources.

### Work of Council --

As a facilitator or coordinator of public/private activity, the Council must employ the collaborative resources of government and business with respect to rural development. The Council is essentially a group of volunteers who without the support of an Executive Director, would not be able to do the follow-up work to move ideas and plans to implementation. With the full-time support and leadership of an Executive Director, a Council can undertake and implement complex and sophisticated strategies to improve services to rural areas.

Some examples of the work which other state Councils have accomplished:

- In Kansas, the Council developed a standardized and simplified application for services among providers, especially for financing. The Council is also

Page Two

inventorying and cataloging existing leadership and training programs including objectives, audiences and contact persons;

- In Maine, the Council assists Maine businesses with maintaining, starting or expanding operations to increase employment;
- The Mississippi Council created a state technical assistance program to support rural community development;

Key to the work and success of these and the proposed Vermont Council, is cooperation between federal, state, local government, education and private sector participants in rural development.

## 9. IMPACT ON EXISTING PROGRAMS IF GRANT IS NOT ACCEPTED

If this grant is not accepted, there will be no formal coordinating effort to address the development needs of rural Vermont. The monies provided by the federal government will allow the Council to hire a director to coordinate its activities with regard to rural development.

The Council will consist of members from federal, state, local government, education and the private sector. Each representative of these sectors will approach issues of rural development from the perspective of the organization in which he/she serves as opposed to a comprehensive view. As coordination of efforts in rural development is more the exception than the rule, the Council will provide a forum in which members work to replace parochial interests with interagency or intergovernmental cooperation.

### Importance of Executive Director's Role --

An executive director must work with the Council's leadership to facilitate communication between the partners on the Council and build a cohesive partnership around a vision of successful rural communities in Vermont. He or she will work to move the Council from consensus to coordinated action and can assist the Council's efforts by directing specific issues to the right audience. The director's position is key in that he/she will be working for a diverse group of individuals without the time to implement or strategize new concepts and ideas.

In essence, without the monies provided from this grant, none of the coordinated, targeted efforts which are possible by the Council, can occur. Currently, there are no programs in government or in the private sector which address rural development in a coordinated fashion. Development efforts are often fragmented and are based on the information which one program or department views the situation.

There is much concern over the Council's role in rural development -- will it duplicate efforts currently undergoing in the state? One of the first tasks of the director will be to assemble an inventory of rural development with respect to issues, players and purposes. The Council will work within these initiatives to coordinate its own efforts of rural development. Without the work and input of a director, the Council would only be a group of individuals meeting to discuss rural development. Monies to support the director and the operation of the office are needed to coordinate the Council and provide it with a focus for its efforts.

Thus, accepting these federal monies will allow for the development of new partnerships. They will occur through the work of a director responsible for ensuring the Council works together on Vermont's rural agenda.



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

### **MEMORANDUM**

**TO: Joint Fiscal Committee Members**

**FROM: Maria Belliveau, Fiscal Analyst**

A handwritten signature in dark ink, appearing to be "MB", written over the printed name of Maria Belliveau.

**DATE: October 28, 1992**

**SUBJECT: JFO #1533 - \$18,900 gift from the Hinesburg Land Trust**

The Vermont Department of Fish and Wildlife requests approval to accept a \$18,900 gift from the Hinesburg Land Trust to purchase a 90 acre parcel of wetlands bordering a one mile stretch of Lewis Creek in the Town of Hinesburg. The total purchase price of the land is \$75,600. Federal Dingell-Johnson funds will be used to pay \$56,700 of the total cost. Emergency Board approval was given at the October 25th meeting to transfer the federal funds out of the Fish and Wildlife unallotted fund balance contingent upon the Joint Fiscal Committee's approval of the acceptance of this \$18,900 gift from the Hinesburg Land Trust.

I recommend that the Joint Fiscal Committee approve the acceptance of the \$18,900 gift from the Hinesburg Land Trust. The funds will be transferred directly to the current landowner by the Land Trust.



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

JFO-1533

October 22, 1992

OCT 23 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved acceptance of a land acquisition related item for the Department of Fish & Wildlife. The Department is seeking to acquire a 90-acre parcel of wetlands bordering a one-mile stretch of Lewis Creek in the Town of Hinesburg. Federal Dingell-Johnson funds will be used to cover \$56,700 of the \$75,600 total price. The Hinesburg Land Trust will pay the remaining \$18,900 directly to the current titleholder, the Vermont Land Trust. As a contribution to the overall transaction, the Hinesburg Land Trust payment constitutes a gift to the State, and, consequently, your approval is requested.

Emergency Board approval to transfer the federal funds out of the Fish & Wildlife fund unallotted balance (10 VSA Sec. 4047(c)) will be sought prior to finalizing this purchase.

If you have any questions regarding this land acquisition project, please feel free to give me a call.

Sincerely,

A handwritten signature in black ink, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS:njk

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

FORM AA-1  
 (Rev. 9-90)

Agency: Agency of Natural Resources  
 Department: Fish and Wildlife Department  
 Program: Land Acquisition

Legal Title of Grant: Purchase of Property on Lewis Creek

Federal Catalog No.:

Grantor and Office Address: Hinesburg Land Trust, R.R. #2, Box 75, Hinesburg, VT

Grant Period: From: To:

**Purpose of Grant: (attach additional sheets if needed)**

The Hinesburg Land Trust is providing match to the Federal Dingell-Johnson money allocated for the purchase of this property. \$18,900 will be covered directly to the current landowner.

**Impact on Existing Programs if Grant is not Accepted:**

Another funding source would have to be found to complete the purchase of this property.

Budget Information:	(1st State FY) FY 19 93	(2nd State FY) FY 19	(3rd State FY) FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$	\$	\$
Operating Expenses	\$	\$	\$
Other	\$	\$	\$
<b>TOTAL</b>	\$	\$	\$
<b>REVENUES:</b>			
State Funds:	NO INCREASE IN FUNDING LEVEL NECESSITATED BY THIS ACTION.		
Cash	\$	\$	\$
In-Kind	\$	\$	\$
Federal Funds:			
(Direct Costs)	\$	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
Other Funds:			
(source)	\$	\$	\$
<b>TOTAL</b>	\$	\$	\$

Grant will be allocated to these Appropriation Nos. Amounts  
 appropriation expenditure accounts:

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

[ ] YES [X] 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
TOTAL	

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.

\_\_\_\_\_ 10/20/92  
 (Signature) (Date)  
 Commissioner  
 \_\_\_\_\_  
 (Title)

14. Action by Governor:

[X] Approved  
[ ] Rejected

\_\_\_\_\_ 10/20/92  
 (Signature) (Date)

15. Secretary of Administration:

[X] Request to JFO  
[ ] Information to JFO

\_\_\_\_\_ 10/20/92  
 (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)

PROJECT NAME: Lewis Creek

LOCATION: Hinesburg, Chittenden County, Vermont

DESCRIPTION: Lewis Creek, a significant tributary of Lake Champlain, flows through five towns in Addison and Chittenden Counties. It has been recognized by the Agency of Natural Resources Vermont Rivers Study (1986) as supporting many resources including fisheries, wildlife habitat, natural areas, historic areas, and recreation. Its location in a heavy growth center puts it under significant development pressure.

This project will protect 90 acres located along a one-mile stretch of Lewis Creek.

OWNERSHIP: This 90-acre tract will be purchased by the Vermont Fish & Wildlife Department from the Vermont Land Trust which currently holds the title.

BUDGET:

Expenses

Land Cost	\$67,500
Appraisal	1,100
Title Search	600
Survey	5,000
Administrative	1,400
<u>Total Expenses</u>	<u>\$75,600</u>

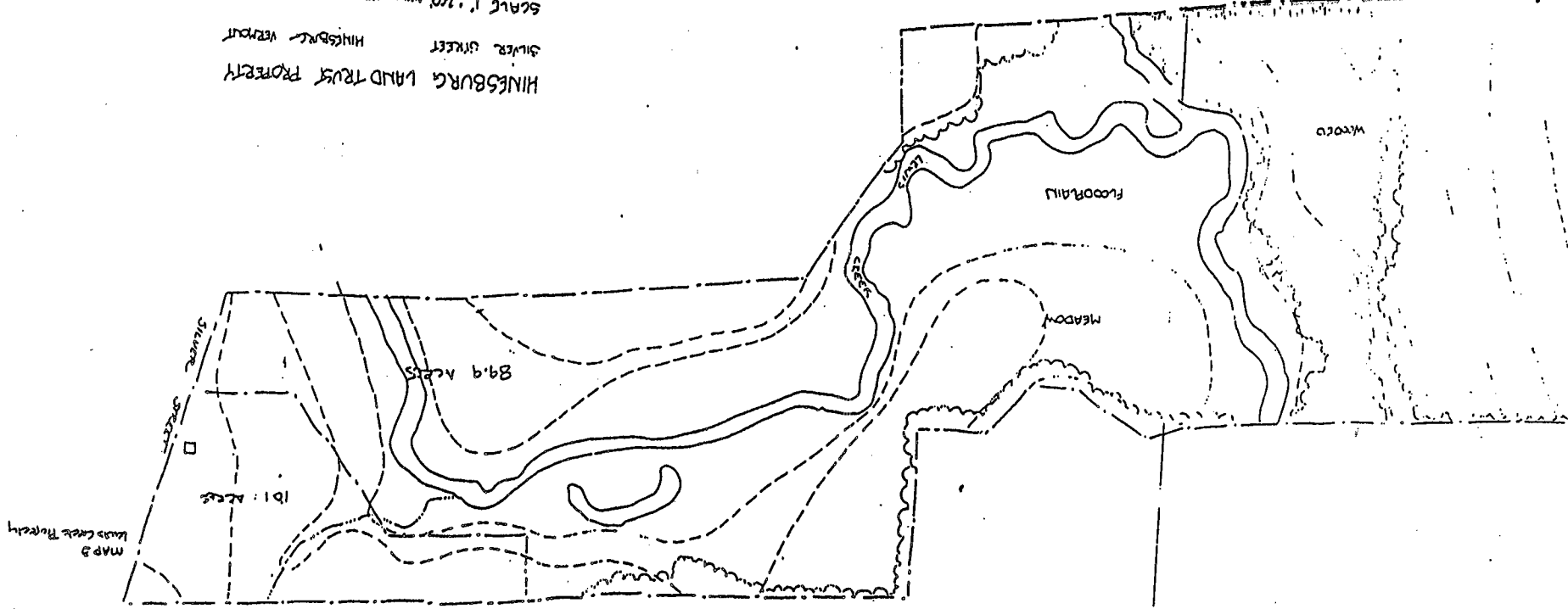
Sources of Funding

Hinesburg Land Trust	\$18,900
Federal Aid (DJ)	56,700
<u>Total Income</u>	<u>\$75,600</u>





SCALE 1" = 200' AREA TAKEN FROM THE MAP  
CORRECTION INTERV. 281 TAKEN FROM THE MAP.  
HINGSBURG VERBOT  
SILVER STREET  
HINGSBURG LAND TRUST PROPERTY





# Town of Hinesburg

P.O. Box 133

Hinesburg, Vermont 05461-0133

802-482-2281

FISH AND WILDLIFE

Mr. Timothy VanZandt

Commissioner, Dept. of Fish and Wildlife

103 South Main Street, Bldg. 10 South

Waterbury, Vermont 05676

Dear Commissioner VanZandt:

I am writing on behalf of the Hinesburg Board of Selectmen to express their whole-hearted support for the proposed acquisition of the Baldwin parcel currently <sup>(Lewis Creek)</sup> under the stewardship of the Hinesburg Land Trust, by the Department of Fish and Wildlife. If I or the Selectmen may be of any assistance, please do not hesitate to ask.

Very truly,

Tuck Cantrell

Hinesburg Town Administrator



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## **MEMORANDUM**

**TO: Joint Fiscal Committee Members**

**FROM: Maria Belliveau, Fiscal Analyst**

A handwritten signature in dark ink, appearing to be "MB", written over the name "Maria Belliveau".

**DATE: October 26, 1992**

**SUBJECT: JFO #1530 - \$111,229 Grant from the U.S. Department of Health and Human Services**

The Vermont Department of Aging and Disabilities requests approval to accept a \$111,229 grant from the U.S. Department of Health and Human Services to provide outreach and health insurance information to Medicare beneficiaries. The outreach and information services will be provided by the five Area Agencies on Aging and the Vermont Center for Independent Living. These organizations will employ staff who will recruit, train and support volunteer and other appropriate service providers to provide information and assistance about health benefits to Medicare beneficiaries. The Department of Aging and Disabilities will contract for the services of a Program Coordinator. No new positions are being requested.

The Department would like to start this information and outreach program as soon as possible due to the need for services. Deferring action until the Budget Adjustment would delay the implementation of the program by at least four months and could potentially put the grant funds at risk.

I recommend that the Joint Fiscal Committee approve the acceptance of the grant from the U.S. Department of Health and Human Services and that appropriation number 01-03551300 be increased by \$111,229.





JFO II 1530

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

~~OCT 23 1992~~

Dear Senator Skinner:

The Governor has approved the acceptance of a grant from the U. S. Department of Health and Human Services, Health Care Financing Administration, to the Vermont Department of Aging and Disabilities.

The purpose of the grant is to provide outreach and health insurance information to Medicare Beneficiaries who require assistance with Medicare, Medi-Gap, Medicaid, Long Term Care Insurance, and other kinds of health benefits.

The project will be administered by existing staff of the Department of Aging and Disabilities, but will be implemented through sub-grant arrangements with Area Agencies on Aging and the Vermont Center for Independent Living. This is a one year project; no state match is required.

In reviewing the documents, you will note that the budget information is presented at a level of \$109,000 federal funding; the actual award was increased slightly to \$111,229. The grant budget was not revised, but the additional funding will be allocated partly to departmental indirect costs, and the balance will be passed through to cover subgrantee administrative costs.

I've included selected pages of the grant document for your review. A complete copy of the grant is available from the Department of Aging and Disabilities.

The grant was awarded September 25, 1992.

Please feel free to call if you have any questions.

Sincerely,

A handwritten signature in cursive script that reads "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS:njk  
Enclosure

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

FORM AA-1  
(Rev. 9-90)

OCT 16 1992

Agency: Human Services  
Department: Aging and Disabilities  
Program: Independent Living

Legal Title of Grant: Health Information, Counseling and Assistance Grant Program

Federal Catalog No.: 11-p-90217/1

Grantor and Office Address: Department of Health and Human Services  
Health Care Financing Administration  
6325 Security Boulevard, Baltimore, MD 21207

Grant Period: From: 9/28/92 To: 9/27/93

Purpose of Grant: (attach additional sheets if needed)

See Attached Summary

Impact on Existing Programs if Grant is not Accepted:

See Attached Summary

Budget Information:	(1st State FY) FY 19	(2nd State FY) FY 19	(3rd State FY) FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$ 4,198.00	\$	\$
Operating Expenses	\$ 9,856.00	\$	\$
Other	\$ 97,175.00	\$	\$
<b>TOTAL</b>	<b>\$ 111,229</b>	<b>\$</b>	<b>\$</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$	\$	\$
(Statewide Indirect)	\$ 110,729.00	\$	\$
(Department Indirect)	\$	\$	\$
<b>Other Funds:</b>			
(source)	\$	\$	\$
<b>TOTAL</b>	<b>\$ 111,229</b>	<b>\$</b>	<b>\$</b>

Amount will be allocated to these appropriation expenditure accounts:	Appropriation Nos.	Amounts
	01-03551300	\$111,229

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 *L. Curt*

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
<b>TOTAL</b>	

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.

*L. Curt*      10-14-92  
 (Signature)      (Date)  
 \_\_\_\_\_  
 (Title)

14. Action by Governor:

Approved  
 Rejected

*[Signature]*      10/28/92  
 (Signature)      (Date)

15. Secretary of Administration:

Request to JFO  
 Information to JFO

*William Ferrell*      10/21/92  
 (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)

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Health Care Financing Administration

NOTICE OF GRANT AWARD

Under authority of Section 4360 OBRA 1990, P.L. 101-508

(Legislation)

(Regulations)

This grant is subject to the terms and conditions incorporated either directly or by

reference in:

- a. Grant Program Legislation cited above
- b. Grant Program Regulations cited above
- c. Special Terms and Conditions, if any, noted below
- d. 45 CFR PART 74

1. DOCUMENT NO. 05-000090217

CFDA NO. 93.779

2. GRANT NO. 11-P-90217/1-01

3. AMEND NO.

4 BUDGET PERIOD FROM 09/28/92 THROUGH 09/27/93

5. TOTAL PROJECT PERIOD FROM 09/28/92 THROUGH 09/27/93

6. TYPE OF GRANT: [ ] NON-COMPETING CONTINUATION, [ ] COMPETING CONTINUATION, [X] NEW, [ ] SUPPLEMENT, [ ] REVISION FOR

7. PROJECT/PROGRAM TITLE: Health Information Counseling and Assistance Grant Program

8. GRANTEE ORGANIZATION: Vermont Department of Aging and Disabilities, 103 South Main Street, Waterbury, Vermont 05671

9. PRINCIPLE INVESTIGATOR OR PROGRAM DIRECTOR: Laurence Crist

10. APPROVED BUDGET

GRANT FUNDS ONLY [ ] TOTAL PROJECT COSTS [ ] PERSONNEL \$ PRINCIPAL BENEFITS TRAVEL EQUIPMENT SUPPLIES CONTRACTUAL OTHER

DIRECT COSTS \$ INDIRECT COSTS Calculated at 0 % of \$ 0

TOTAL APPROVED BUDGET \$ 111,229

12. CONGR. DISTRICT 13. COUNTY

14. AWARD COMPUTATION: A. TOTAL APPROVED BUDGET \$ 111,229 B. LESS C. LESS UNOBLIGATED BALANCE FROM PRIOR BUDGET PERIOD(S) \$ D. TOTAL AMOUNT AWARDED THIS BUDGET PERIOD \$ 111,229

15. AMOUNT AWARDED-THIS ACTION \$ 111,229

16 TOTAL FEDERAL FUNDS AWARDED TO DATE FOR PROJECT PERIOD \$ 111,229

17. SUPPORT RECOMMENDED FOR REMAINDER OF PROJECT PERIOD: PERIOD -02 year TOTAL DIRECT COSTS NONE

18. REMARKS (SPECIAL TERMS & CONDITIONS ATTACHED [X] YES [ ] NO)

Acceptance of special terms and conditions and a revised budget in the amount of \$111,229 are due within 30 days.

19. PAYMENT INFORMATION: PAYMENTS UNDER THIS AWARD WILL BE MADE UNDER PAYMENT CLAUSE 19A (ORD-92-39-001)

20. INQUIRIES REGARDING ADMINISTRATION OF THIS GRANT SHOULD BE DIRECTED TO:

Eric Lang (410)966-3199 OR Judith L. Norris (410)966-5130

(HCFA PROJECT OFFICER)

(HCFA GRANT MANAGEMENT SPECIALIST)

21. FY CAN 25993023

22. CRS/LIN 03-6000274

25. SIGNATURE AND TITLE - HCFA OFFICIAL

DATE SEP 25 1992

23. OBJECT CLASS 41.45

24. HCFA LIST NO. W-92-110

Judith A. Campbell, Grants Officer





# State of Vermont

## AGENCY OF HUMAN SERVICES DEPARTMENT OF AGING AND DISABILITIES

Commissioner's Office  
103 South Main Street  
Waterbury, Vermont 05671-2301  
(802) 241-2400 (Voice/TDD)  
Fax (802) 244-8103

### MEMORANDUM

TO: Members of the Joint Fiscal Committee

FROM: Lawrence Crist, *LC* Commissioner

DATE: October 14, 1992

SUBJECT: Summary of the Health Benefits Counseling Project

---

The Department of Aging and Disabilities (DAD) has been awarded \$111,229 to develop and operate programs on health insurance information, counseling and assistance for Medicare beneficiaries.

DAD will use the existing service system to provide outreach and information to Medicare beneficiaries who require assistance with Medicare, Medi-Gap Insurance, Medicaid, Long Term Care Insurance, and other kinds of health benefits.

The current system serving Medicare beneficiaries is comprised of the five area agencies on aging and the Vermont Center for Independent Living. These organizations will employ staff who will recruit, train and support volunteer and other appropriate service providers to provide information and assistance about health benefits to Medicare beneficiaries.

DAD was awarded \$2,229 more than was expected. We are planning to budget an additional \$664 to indirect costs and pass the rest of the money on to the Vermont Center for independent living to cover some of their administrative costs.

We expect that this project will significantly expand our current system of trained advocates who currently provide this service to a limited number of the 68,000 people who are eligible for this service. Without this grant, the current system will continue to be stressed and unable to meet all of the demonstrated need.

State of Vermont  
Page 4

Cancer Insurance. Advocate/Service Coordinators are available in every town in Vermont and, for the most part, target their assistance to low-income, frail elderly people. Last year, Advocates provided assistance to more than 10,000 individuals.

The AAA's also employ 2 half-time Information and Referral Specialists who field inquiries and refer the requests for assistance that come through the statewide toll-free Senior Help Line. The Senior Help Line received 7,300 calls last year.

Approximately 12% of those calls were requests for assistance regarding Medicare, Medigap, Medicaid, Long Term Care and other health insurance.

Vermont intends to enhance and expand its capacity to provide health benefits information, counseling and assistance to underserved groups of Medicare

→ beneficiaries in accordance with the following goals and objectives:

- (1) Increase availability of and access to health benefit information, counseling and assistance for Medicare beneficiaries not presently served by AAA Advocate/Service Coordinators.

We would increase the number of professionals and volunteers who can provide information, counseling and assistance about health benefits in two distinct ways.

- (a) Both statewide and regional training and technical assistance would

be provided to professionals and volunteers who will provide health benefit information, counseling, and assistance to Medicare beneficiaries.

(b) We would increase the capacity of the Information and Referral service to provide ICA activities. Currently, there are two recognized statewide I&R services available - one to respond to people over age 60; the other to respond to people under 60 years of age with disabilities. We would evaluate the effectiveness of continuing this service statewide or creating regional I&R services.

(2) Work on expanding methods of outreach and assistance.

We would contract with six non-profit organizations to employ Health Benefits Specialists to work with the consortiums in each of the 5 regions of the state to evaluate the current delivery of assistance, identify unmet needs and underserved groups in the region, and develop a plan to meet those needs.

An additional Health Benefits Specialist would work with various statewide organizations serving disabled Medicare beneficiaries under 60 years of age. This staff person would work to create a system of health benefit counselors where currently few, if any, exist. Outreach and assistance would be greatly enhanced by

providing training and technical assistance to staff in these organizations, who would then provide information and assistance to Medicare beneficiaries.

The Health Benefits Specialists employed through the AAAs would recruit and train volunteers and professionals employed through community organizations to increase the number of skilled providers of assistance. Staff and volunteers would provide assistance and counseling at senior centers, congregate nutrition sites, senior clubs and other settings that would support project activities.

- (3) Increase public awareness about the health benefits that are available, the scope of these benefits and the eligibility requirements.

We would utilize various newsletters, information materials, public service announcements and newspapers to inform consumers and their families about available health benefits, where to locate assistance and what their rights are when purchasing insurance and/or applying for health benefits.

### **Description Of Program**

Vermont intends to meet the goals and objectives in the following ways:

1. Employ one half time Health Benefits Specialist through each of the 5 AAAs and one-half time Health Benefits Specialist through the

Vermont's Center for Independent Living (VCIL). A Project Coordinator will be assigned at the State Department of Aging and Disabilities to monitor activities within the regions and take the lead in coordinating statewide trainings.

2. The VCIL Specialist will survey the training needs of non-profit organizations that serve individuals with specific disabilities. We expect that approximately 25 non-profit organizations will be surveyed along with state employees of Vocational Rehabilitation and the Division of the Blind and Visually Impaired. Many of these organizations have expressed an interest in training their staff to become Health Benefits Counselors.

Similarly, the AAA Specialists will survey other non-profit organizations serving elderly Medicare beneficiaries within their regions who are interested in providing ICA services. When the extent of the interest has been identified, the Project Coordinator will work with the Specialists to provide a statewide training to a core group of professionals who will participate in a "training for trainers". The expectation will be for this core group to provide training to staff within their organizations who will become health benefits counselors.

3. The Department of Aging and Disabilities would designate a staff person to function as the Project Coordinator. This person would be responsible for planning and coordinating statewide outreach efforts and technical assistance such as training, publicity and publishing information about health benefits counseling activities for statewide organizations serving Medicare beneficiaries. The Department would also provide support to regional staff who are providing outreach, training and support to field staff. Coordination of program reports and outcome measurement would be addressed by the Department staff person.
  
4. The training provided will mirror the training that is presently available only to AAA Advocates. This will include classes on Medicare, Medi-Gap, Medicaid, Long term Care Insurance, other health benefits, QMBs, Long Term Care Medicaid, Medicaid Waiver, application and eligibility requirements, scope and limitations of coverage, in-depth knowledge of differences between Medi-gap Policies, and how and when to refer for legal assistance. The trainers for this statewide event will include Banking, Insurance and Securities Consumer Education Staff, Senior Law Project Attorneys, Area Agencies on Aging and Department staff and the Health Benefits Specialists.

HEALTH BENEFIT COUNSELING  
PROJECTED BUDGET NARRATIVE

YEAR 1

General Administration

1. Project Director (no cost to project)
2. Project Coordinator (.5 FTE - October 1, 1992 - September 30, 1993; to be hired)

Salary

Annual Salary Rate	\$14,573
No. Mos. Budg.:	12
% of time	5%

Total amount Required: \$2,915

Fringe Benefits (Rate: 25%) 729

Total Project Expense \$3,644

3. Vermont Center for Independent Living  
1/2 time Health Benefit Specialist  
    salary and fringe \$11,000  
    mileage - 1,200 miles @ .25/mile = 750  
    computer/software purchase to expand  
    I & R service 1,250

Total Grant \$13,000

4. Regional Health Benefits Specialists

5 grants of \$16,600 to the five Area Agencies on Aging

Project Budget per AAA:

1/2 time staff salary + fringe	11,640
Travel 250 miles/month x \$.25 x 12 months	750
Administration - 10%	1,660
Equipment purchase	<u>2,000</u>

Total Budget \$16,600

Total Subcontractual Costs \$96,000

Subcontractors will be required to provide a project budget for approval.

5. Training Sessions

a. Intensive orientation and training of regional grant staff, including consultant, food and lodging costs. \$ 1,000

b. Statewide training sessions provided by grant staff for at least 20 "Health Benefit Specialists" identified from the contractual agencies, including materials, food and lodging costs. 4,500

c. Regional and local training sessions provided by grant staff to other providers and advocacy groups. 3,356

Total Training Costs \$8,856

6. Publications/Printing of any new informational materials developed by project staff and the Department of Banking, Insurance and Securities \$ 500





**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 21, 1992

**Subj:** JFO # 1519; Drug Forfeiture Funds

The U. S. Department of Justice has awarded the Vermont Criminal Justice Training Council \$3,343.06. This represents the Council's equitable share of forfeiture funds resulting from its participation in a federal drug investigation. Pursuant to the Federal Comprehensive Drug Abuse Act of 1984, these funds may not be used to supplant existing appropriations and may only be used to enhance law enforcement activities.

The Council will use these forfeiture funds to acquire new physical fitness equipment for the gymnasium, e.g., a stair climbing machine, and to upgrade existing audio-visual equipment, such as, a slide projector, a combination television and VCR, and a camcorder.

There is no general fund match associated with acceptance of these funds and there is no future obligation of general fund dollars. No new positions are being requested and no personal services contracts are involved.

**Recommendation:** Approve acceptance of the \$3,343.06.



JFO # 1519

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 8, 1992

Senator Mary Just Skinner  
Chair, Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of \$3,343 from the U.S. Marshal's Office for the Criminal Justice Training Council. These funds represent a percentage of the assets seized during a federal drug investigation in the course of which the Police Academy provided training space. The Federal Comprehensive Drug Abuse and Control Act of 1984 allows the sharing of assets which have been seized under federal law, and further allows such shares to be spent only upon enhancement of law enforcement activities.

No state match is required. There are no additional continuing costs to the state associated with this acceptance. The forfeiture funds were awarded on July 31, 1992. These funds could not be budgeted, and will be used to upgrade existing video and physical training equipment through purchases.

If you have any questions or concerns about this acceptance, please contact me.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS/jlc

SEP 16 1994

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

FORM AA-1  
(Rev. 9-90)

- 1. Agency:
- 2. Department: Vermont Criminal Justice Training Council
- 3. Program: Law Enforcement Training
- 4. Legal Title of Grant: Equitable Sharing Proceeds From Forfeiture
- 5. Federal Catalog No.:
- 6. Grantor and Office Address: U.S. Department of Justice  
U.S. Attorney, District of Vermont  
Box 570, Burlington, VT 05402
- 7. Grant Period: From: To:

8. Purpose of Grant: (attach additional sheets if needed)  
Enhance law enforcement training

9. Impact on Existing Programs if Grant is not Accepted:  
None

10. Budget Information:	(1st State FY) FY 1993	(2nd State FY) FY 19	(3rd State FY) FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$	\$	\$
Operating Expenses	\$ 3,343.06	\$	\$
Other	\$	\$	\$
<b>TOTAL</b>	<b>\$ 3,343.06</b>	<b>\$</b>	<b>\$</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$ 3,343.06	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 3,343.06</b>	<b>\$</b>	<b>\$</b>

Grant will be allocated to these appropriation expenditure accounts: Appropriation Nos. Amounts





U.S. Department of Justice

United States Attorney  
District of Vermont

United States Courthouse and Federal Building  
Post Office Box 570  
Burlington, Vermont 05402

802/951-6725  
FTS/832-6725

July 31, 1992

Francis X. Aumand, Director  
Vermont Criminal Justice Training Academy  
RR #1, Box 89  
Pittsford, VT 05763

Re: 3010-01-086

Dear Paco:

I am pleased to forward to you the enclosed United States treasury check in the amount of \$3,343.06 which represents your office's equitable share of the net proceeds of the forfeiture in the above-referenced case.

These funds must be used for the law enforcement purposes stated in your Application for Transfer of Federally Forfeited Property (Form DAG 71). As the intent of this transfer is to enhance law enforcement, these funds must increase and not supplant your appropriated operating budget. Any interest earned on these funds must also be used for law enforcement purposes. (See: The Attorney General's Guidelines on Seized and Forfeited Property, July 1990).

On behalf of the U.S. Department of Justice, I want to commend your department for its effort which led to the seizure(s) in this case. Your continuing cooperation with this office and the Drug Enforcement Administration in the war against crime in our community is important and greatly appreciated by your federal law enforcement colleagues.

Sincerely yours,

CHARLES A. CARUSO  
United States Attorney

CAC/jmwb  
enc.

AUG 3 1992



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 27, 1992

**Subj:** JFO #1528; Criminal Justice Training Council;  
Corporate Gift

The Long Distance North Corporation has awarded the Vermont Criminal Justice Training Council a \$2,400 gift in the form of \$200 worth of inward toll free 800 telephone service for each of twelve months. The purpose of the gift is to establish a telephone "hot line" for the Drug Abuse Resistance Education (D.A.R.E.) program. It is anticipated that the primary users of the telephone service will be schools and law enforcement officers.

There is no state match required by this grant, no new positions are requested, and the Criminal Justice Training Council will not be entering into personal services contracts. However, there is a condition associated with acceptance of this grant and there are implications for current and future general fund obligations. Long Distance North requests that they be cited as the donor of this toll free service, to the extent that the 800 number is advertised. Thus, if the 800 number is included in televised announcements, brochures, bumper stickers, etc., Long Distance North will be credited with having donated the service.

With respect to the commitment of general fund dollars, if the monthly charges incurred by the 800 service exceeds \$200, the Criminal Justice Training Council will pay Long Distance North for the cost of this usage. At the present time, the Council estimates that monthly expenses will not exceed \$200. However, the Council is mindful that monthly expenses could exceed the \$200 threshold, therefore, they will monitor utilization against the possibility that this toll free service might have to be terminated prior to the end of the twelve month period because of excessive cost. Funding to support a toll free telephone service for the D.A.R.E. program is not included in the FY 1993 Criminal Justice Training Council budget.

After the first twelve month period of operation of the 800 service, Long Distance North may offer another gift or they may offer continued service at the rate accorded non-profit organizations. In either case, if the "hot line" proves effective and people come to depend upon it, the Criminal Justice Training Council could find it difficult or unpopular to discontinue the service entirely. Switching to another long distance carrier in an effort to obtain the lowest possible rate would necessitate changing the advertised 800 number and this, too, could prove difficult for the Criminal Justice Training Council. Virtually all of these outcomes would culminate in a net new cost to state government for telephone service in fiscal year 1994.

Recommendation: Because there are ramifications for the expenditure of unbudgeted state funds, we recommend that acceptance of this gift be held in abeyance for consideration by the general assembly as part of the FY 1993 Budget Adjustment Act. The gift from Long Distance North has no fixed date of expiration. Presumably the service may commence at any future date, since the gift is for an unspecified twelve month period. Finally, in view of the fact that no 800 service currently exists, there is no disruption of service associated with delaying acceptance of this gift.



JFD #1528

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 20, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a \$2,400 gift from Long Distance North to the Criminal Justice Training Council in its role as statewide D.A.R.E. (Drug Abuse Resistance Education) Program Coordinator. These funds represent free use of an "800" toll-free long distance telephone line for calls billed at up to \$200 per month for 12 months. Billed usage over \$200 per month would be paid for by the Criminal Justice Training Council, but such additional usage is not anticipated. Utilization of the line will be reviewed monthly.

The phone line would primarily be used by officers and schools involved or interested in the D.A.R.E. program; for example, to arrange for training at schools or to check on the availability of educational materials.

No state matching funds are required, and there are no continuing or indirect costs to the state associated with acceptance of this gift. The sole condition placed on this gift is that Long Distance North, the donor of the toll-free number, be cited in any material mentioning the number. The award of this gift was made on September 23, 1992.

If you have any questions about this gift, please contact me.

Sincerely yours,

A handwritten signature in black ink, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS/slw



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

FORM AA-1  
 (Rev. 9-90)

Agency:  
 Department: Vermont Criminal Justice Training Council  
 Program:

Legal Title of Grant:  
 Federal Catalog No.:  
 Grantor and Office Address: Long Distance North  
 200 Church St.

Grant Period: Burlington, Vt 05402-0967  
 From: 11/1/92 To: 11/1/93

Purpose of Grant: (attach additional sheets if needed)

This is a donation by Long Distance North to install an 800 inbound long distance service for a period of one year. This service would be free up to \$200 per month anything over \$200 would be paid for by the Criminal Justice Training Council. The purpose is to help the 89 D.A.R.E. officers the approx 100 elementary schools by providing a centralized

Impact on Existing Programs if Grant is not Accepted: telephone number.

None.

Budget Information:	(1st State FY) FY 19 93	(2nd State FY) FY 1994	(3rd State FY) FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$	\$	\$
Operating Expenses	\$	\$	\$
Other	\$	\$	\$
<b>TOTAL</b>	\$	\$	\$
<b>REVENUES:</b>			
State Funds:			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
Federal Funds:			
(Direct Costs)	\$	\$	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
Other Funds:			
(source) <u>Donation</u>	\$ 1400.00	\$ 1000.00	\$
<b>TOTAL</b>	\$ 1400.00	\$ 1000.00	\$

Grant will be allocated to these Appropriation Nos. Amounts  
 appropriation expenditure accounts:

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
none	none
TOTAL	

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.

*Frank J. Curran*      10/6/92  
 (Signature)      (Date)  
Executive Director  
 (Title)

14. Action by Governor:

- Approved
- Rejected

*W. A. ...*      10/21/92  
 (Signature)      (Date)

15. Secretary of Administration:

- Request to JFO
- Information to JFO

*William ...*      10/31/92  
 (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)

**LONG  
DISTANCE  
NORTH®**

An RCI Long Distance Company

200 Church St  
P.O. Box 967  
Burlington, Vermont 05402-0967

September 23, 1992

SEP 24 1992

Mr. R. J. Elrick  
Vermont D.A.R.E.  
R.R. 2  
Box 2160  
Pittsford, VT 05673

Dear Mr. Elrick:

Long Distance North is pleased to confirm its donation of long distance telephone service to Vermont D.A.R.E., through our Charitable Giving Program. We value the contribution you are making for the good of the community and the many people that benefit from your efforts. We, in turn, are pleased to support you by helping defray costs and increasing your visibility.

We will be contributing 800 inbound long distance service for the period of one year, up to a total of \$200 month. Any usage over that amount will be billed to your organization. At the end of the specified period, we will review the donation. Options include a renewal of the donation for one year, or the continuation of the service at a reduced non-profit rate. As you can imagine, we receive many requests, and we make every effort to distribute service donations equitably.

Our request is to see acknowledgement of this donation whenever and wherever the 800 number is used. That would naturally include brochures, posters, advertisements, flyers, public service announcements and the like where the number is listed or announced. That acknowledgement can be as simple as printing "Donated by Long Distance North" as a tag line wherever the number appears.

If applicable, we would like the opportunity to contribute to your organization's newsletter or fundraising letters. I would be happy to provide a short news piece describing our Charitable Giving Program, how we came to be involved with your organization, and how we support communities throughout New England. Any other suggestions you may have with regard to possible acknowledgements would be appreciated.

Mr. R. J. Elrick  
Page 2  
September 23, 1992

If you have any questions about this agreement or our donation in general, please call me. If not, please sign where indicated at the end of this letter and return a copy to me. You will then receive a call from our Customer Service Representative, Donna Soboleski to activate the service number.

I would appreciate being put on your mailing list so I can see how you use our 800 number and keep up with the activities of your organization.

We at Long Distance North are proud to be associated with your efforts. Please call me if I can be of further service.

Sincerely,



Meg A. Smith  
Community Relations Director

MAS/ljp



\_\_\_\_\_  
Your name



\_\_\_\_\_  
Date



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 29, 1992

**Subj:** JFO # 1531; Agency of Transportation;  
FHWA Grant

The Federal Highway Administration has awarded the Vermont Agency of Transportation a grant in the amount of \$77,551. The purpose of the grant is to study the existing International Registration Plan (IRP), the International Fuel Tax Agreement (IFTA), and the Regional Fuel Tax Agreement (RFTA) with the objective of integrating these systems into the new Vermont Motor Vehicle computer system (VMOVES). The grant will finance a feasibility assessment and result in recommendations for computerizing the administration of these Commercial Vehicle Operations. The grant will not be used to acquire new computer equipment.

For fiscal year 1993 the Agency of Transportation is requesting an authorization to expend \$40,551 of federal funds. The remaining federal funds will be included in the fiscal year 1994 budget request.

There is no match required by this grant and the Agency of Transportation is not requesting the creation of new positions. The AOT will be entering into personal services contracts and the Secretary has certified that the agency will comply with contract bid guidelines. There is an implication for

a future obligation of transportation funds. In fiscal year 1994, or thereafter, the AOT might incur costs associated with implementing the recommendations of the feasibility study. At this point, any estimate of the future cost would be highly speculative.

Recommendation: We recommend acceptance of this grant by the Joint Fiscal Committee. Specifically, we recommend that the following appropriations be increased by the amount of federal funds shown below:

<u>Appropriation</u>	<u>Amount</u>
0402820101	\$36,500
0402820102	4,051

We believe that delaying this project would not be in the best interest of the state. The VMOVES computer system will be operational in six months and it would be prudent to conduct this feasibility study as soon as possible.



JFO #1531

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the Federal Highway Administration (FHWA) to the Agency of Transportation.

The grant is for a total of \$77,551 for fiscal years 1993 and 1994. Joint Fiscal Committee approved is sought for \$40,551 in fiscal year 1993. FY 1994 will be budgeted. No state matching funds are required.

The funds will be utilized to determine automation requirements for the integration of commercial vehicle registration and fuel tax collection information into the Department of Motor Vehicle's new computer system. The grant will pay for contractors, travel and training.

A grant award document is enclosed, signed by the FHWA, but undated.

Should you have any questions, please give me a call.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS/slw  
Enclosure

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

FORM AA-1  
(Rev. 9-90)

1. Agency: Transportation  
 2. Department: Motor Vehicles  
 3. Program: Fuel Tax
4. Legal Title of Grant: Uniformity Grants, Section 4008 Intermodal Surface Transportation  
 5. Federal Catalog No.: 20.205 and Efficiency Act of 1991  
 6. Grantor and Office Address: Federal Highway Administration  
 Region 1 - Regional Office, Leo W. O'Brien Federal Bldg., Room 719, Albany, NY
7. Grant Period: From: Sept. 1, 1992 To: Sept. 30, 1993

8. Purpose of Grant: (attach additional sheets if needed) Assess current fuel tax a registration reporting systems to determine requirements for automation and integration into the departments' new VMOVES computer system (to be implemented in 1993). Provisions of the Intermodal Surface Transportation and Efficiency Act of 1991 provide funding to the states to assist them in joining or enhancing an existing uniform base state agreement for the Administration of fuel use taxes.

9. Impact on Existing Programs if Grant is not Accepted: The VMOVES system primarily covers private vehicle registration and driver licensing. Extending VMOVES to include commercial activities (e.g., fuel user permits and fuel tax collection) appears to be the best way to satisfy the requirements of the Intermodal Surface Transportation and Efficiency Act but a detailed examination of existing procedures is needed to confirm that assumption. Not accepting this grant will require expenditure of state funds to make that determination.

10 Budget Information:	(1st State FY) <u>FY 19 93</u>	(2nd State FY) <u>FY 19 94</u>	(3rd State FY) <u>FY 19</u>
<b>E. EXPENDITURES:</b>			
Personal Services	\$ 36,500	\$ 32,250	\$
Operating Expenses	\$ 4,051	\$ 4,750	\$
Other	\$	\$	\$
<b>TOTAL</b>	<b>\$ 40,551</b>	<b>\$ 37,000</b>	<b>\$</b>
<b>REVENUES:</b>			
State Funds:			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
Federal Funds:			
(Direct Costs)	\$ 40,551	\$ 37,000	\$
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
Other Funds:			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 40,551</b>	<b>\$ 37,000</b>	<b>\$</b>

Grant will be allocated to these appropriation expenditure accounts:	Appropriation Nos.	Amounts
	0402820101	\$68,750
	0402820102	8,801





# INTERNATIONAL REGISTRATION PLAN (IRP)/BASE-STATE FUEL TAX GRANT AGREEMENT FOR FISCAL YEAR 1992

Between: The Federal Highway Administration (FHWA)  
and

Vermont Agency of Transportation, Division of Motor Vehicles  
(State Agency)

entered into in accordance with the Motor Carrier Act of 1991. (Pub. L. 102-240, Title IV, 105 Stat. 2140, December 18, 1991.)

Pursuant to Sections 4008(e) and (j) of the Motor Carrier Act of 1991, the Federal Highway Administrator hereby approves the application of the State of agency (hereinafter referred to as the State)

dated 7-30-92 for Federal assistance funding in the amount of \$ 77,551 for the Grant Program as described in the grant request.

These grant funds are provided to assist States in meeting the mandates of Section 4008 of the Motor Carrier Act of 1991. The Act requires that after September 30, 1996 (1) no State shall establish, maintain, or enforce any commercial motor vehicle registration law, regulation or agreement which limits the operation of any commercial motor vehicle within its borders which is not registered under the laws of the State if the vehicle is registered under the laws of any other State participating in the International Registration Plan [Section 4008(f)]; (2) no State shall establish, maintain or enforce any law or regulation which has fuel use tax reporting requirements (including tax reporting forms) which are not in conformity with the International Fuel Tax Agreement [Section 4008(g)(1)]; and (3) no State shall establish, maintain, or enforce any law or regulation which provides for the payment of fuel use tax unless such law or agreement is in conformity with the International Fuel Tax Agreement with respect to the collection of such a tax by a single base State and taxes so charged are shared proportionately among the States where a commercial motor vehicle is operated [Section 4008(g)(2)].

The State hereby agrees (1) to submit to the FHWA a semiannual report covering the progress of implementation and a final report; (2) to assure that accurate and auditable records to support the costs claimed are maintained and available for inspection by FHWA for a period of 3 years after the date of submission of the final expenditure report; (3) to limit interim and final claims to those costs incurred in accordance with this agreement; and (4) to comply with all laws, regulations and requirements relating to this program and with the provisions set forth on the reverse hereof.

This agreement is effective \_\_\_\_\_, and expires September 30, 1993

Vermont Agency of Transportation, Division of Motor Vehicles  
(State Agency)

STATE  
SEAL  
HERE

Patrick J. Garrawan  
Patrick J. Garrawan, Secretary 9/9/92  
(Authorized Representative, Title) Date

Milt L. Schmidt  
Milt L. Schmidt, Office of Motor Carriers  
(FHWA Regional Director) Date



STATE OF VERMONT  
AGENCY OF TRANSPORTATION  
DEPARTMENT OF MOTOR VEHICLES  
120 State Street, Montpelier, Vermont 05603-0001



State of Vermont  
Section 4008 Grant Work Plan  
FY 92

I. Lead Agency: Agency of Transportation  
Department of Motor Vehicles  
120 State Street  
Montpelier, VT 05603-0001

II. Lead Official: Michael D. Griffes, Commissioner  
Department of Motor Vehicles  
120 State Street  
Montpelier, VT 05603-0001

III. Current State Work Plan:

a)  
Total Funds Requested: \$77,551.

b)  
Percentage of Funds to facilitate participation in the IRP: 20%

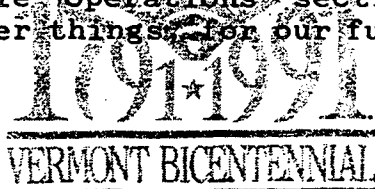
c)  
Percentage of Fund to facilitate participation in the IFTA: 20%

d)  
Percentage of Funds to improve administration of Fuel Use Taxes in  
RFTA: 60%

e)  
Grant Proposal Narrative:

The State of Vermont is extremely pleased that the federal government has provided funding for the states to pursue broadening and strengthening the base state agreement concept for fuel tax reporting and registration. The timing of this initiative is ideally suited for work Vermont is currently undertaking in overhauling its computer systems.

Vermont is less than six months away from implementation of its new VMOVES computer system. This system has been five years in the making and will drastically change how DMV performs its work. Essentially it will, for the most applications, take us out of a batch processing environment into an on-line one. However one of the larger components of our operations not covered by VMOVES is our Commercial Vehicle Operations section. This section is responsible, among other things, for our fuel use tax reporting and



registration activities. Much of this work is currently done either manually or on a variety of automated systems. To update technologies and improve efficiency in this area it is the Department's objective to pursue integration of the processes performed by this section into the new VMOVES system after its initial implementation and trial period.

With the above background in mind the Vermont Department of Motor Vehicles would like to initiate a technical assessment both of its own internal systems associated with fuel use tax reporting and registration and those of other RFTA member states. This effort would encompass the largest share of our FY 92 4008 grant funds.

It is envisioned that this "technology study" task would include, but not necessarily be limited to, the following:

1. Analysis of existing fuel use tax processing and carrier registration (both manual and automated).
2. Assessment of the requirements and needs for integration of fuel use tax and licensing processing and the IRP into the new VMOVES on-line system.
3. Examination of current computer system configurations amongst the three RFTA states and the feasibility of communications connectivity between the states.
4. Feasibility of Electronic Data Interchange (EDI) capabilities with current and future state customers.
5. Database portability features.
6. Analysis of portability of other state and commercial (non VISTA) IRP and Fuel Tax systems.

The outcome of this study would be recommendations relative to enhancing technology in the fuel tax reporting and registration area. For Vermont the benefit would be two fold: First it will provide an internal assessment of the integration of existing manual and automated processes in this operational area into the new VMOVES system. Secondly it will provide us and the other RFTA states with recommendations for enhancing the technological link between the states. This in turn will provide the opportunity for increased operational efficiencies through the electronic transfer of data amongst the states.

Due to the demands that VMOVES and other projects are placing on DMV resources it is anticipated that this study would be contracted to a private entity with expertise in DMV systems. It is also planned that based on the alternatives and recommendations made in this study that a Phase II development effort would be undertaken either individually or collectively amongst the states interested.

The second activity in this grant work plan is a little less

defined at this point. However, Vermont as a leader in the development of base state agreements would like to broaden its knowledge base by becoming more familiar with IFTA. As such we would like key management personnel to conduct a review of the fuel tax laws, regulations, systems and processes utilized by the IFTA states. Additionally we would like to attend IFTA meetings to help enhance the exchange of information between IFTA and RFTA with an eye towards possible merger of the two agreements in the future. Related travel costs in this activity would be incurred through attendance and participation of IRP and RFTA meetings.

A third activity which Vermont would like to present in this original grant work plan is staff training. Due to implementation of the VMOVES system and a functional reorganization of the Department that is currently underway many employees are being moved to new positions on absorbing additional duties. As such maintaining an adequately trained work force is a concern during the transition period where we move from our current systems and organization to the new one. Therefore we would like to dedicate a small amount of this grant for staff training on the RFTA and the IRP, including the existing VISTA system.

f) Budget Breakdown by Activity:

1) Technology Study	\$65,000
2) Travel	\$11,151
3) Training	\$ 1,400

g) Line Item Budget Breakdown:

1) Technology Study		
Contractual Services:	\$65,000	
2) Travel		
Travel Costs:	\$8,651	
Salaries and Benefits:	\$2,500	
3) Training		
Salaries and Benefits:	\$1,250	
Materials and Supplies:	\$ 150	
4) Overall Budget Line Item Summary		
Contractual Services	\$65,000	
Salaries and Benefits	\$ 3,750	
Materials and Supplies	\$ 150	
Travel	\$ 8,651	
	TOTAL	\$77,551

h) Activity Schedule

Technology Study	-	September 1, 1992	-	September 30, 1993
Travel	-	September 1, 1992	-	September 30, 1993
Training	-	February 1, 1993	-	September 30, 1993

FY92 UNIFORMITY GRANT  
STATE OF VERMONT  
PROPOSED TRAVEL PLAN

<u>Purpose</u>	<u>Location</u>	<u>Attendees</u>	<u>Est. Cost</u>
IFTA Semi-annual meetings (2)	Mid-west to West	2	\$4,000
RFTA/IFTA Coordination meetings (2)	Mid-west Chicago area	2	\$4,151
RFTA Development meetings (6)	ME-NH-VT	3	\$3,000

The contractual per diem for state employees on government business is as follows:

Breakfast	\$ 5.70
Lunch	\$ 6.60
Dinner	\$15.80

Mileage reimbursement for employees using their own vehicle on government business is at the rate established by the GSA, currently \$ .25/mile.

Estimates have been based on an average of 4 day stays, for the IFTA semi-annual meetings and 3 days for all others.

Air fares will be based on current competitive rates at the time of travel. The state is not contracted to any particular travel agency and thus are free to shop for the best rate. In all cases less than first class air fare will be utilized.



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 29, 1992

**Subj:** JFO # 1537; Agency of Transportation;  
Federal Highway Administration Grant

The Federal Highway Administration has awarded the Vermont Agency of Transportation (A.O.T.) a grant in the amount of \$100,000. The purpose of the grant is to improve compliance with state and federal motor fuel tax laws. This is a multi-year, multi-state effort to reduce tax avoidance and improve collections.

The Agency of Transportation is the cognizant state agency with respect to grants from the Federal Highway Administration. Therefore, the A.O.T. will be the recipient of the federal funds even though motor fuel tax collections are now a function of the Vermont Tax Department. The Tax Department will be performing the actual work on this project and the A.O.T. will pass through federal funds to reimburse the Tax Department. In fiscal year 1993, the Agency of Transportation is requesting approval to expend \$76,250 in federal funds. The second year funding will be included in the fiscal year 1994 budget submission.

No match is required by this grant and no new permanent positions are being requested. The Tax Department will add a temporary employee and they will fill two positions which are currently authorized, but vacant. The department will not be entering into personal services contracts.

Recommendation: We recommend acceptance of this grant by the Joint Fiscal Committee. Previous experience teaches that increased enforcement efforts by the Tax Department results in increased revenue. Therefore, we should proceed immediately with implementation of this project.





JFO #1537

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 28, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the Federal Highway Administration (FHWA) to the Vermont Agency of Transportation in the amount of \$100,000 for the first year of the project and an additional \$50,000 in each of the next four years. These funds will be passed through to the Department of Taxes which is responsible for the audit of motor fuel taxes. Joint Fiscal Committee approval is sought for \$76,250 in fiscal year 1993. Subsequent fiscal years will be budgeted. No state matching funds are required for this grant.

This grant will be used to establish a multi-state task force whose overall mission will be to upgrade compliance with state and federal motor fuel taxes. This will be accomplished by efforts to enhance motor fuel tax enforcement, develop automated data processing tools, implement registration and reporting requirements and implement programs to reduce motor fuel tax evasion. Members of this task force will consist of the states of Vermont, Massachusetts, Rhode Island, Connecticut, New Hampshire, Maine and the Internal Revenue Service. This effort will be coordinated with a proposed Federal Highway Administration grant to the Vermont Department of Motor Vehicles (\$77,551) which will assess their new computer system capacity and requirements for integration of commercial vehicle registration and fuel tax collection information.

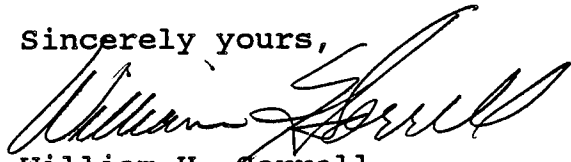
Funds from this grant can only be used to enhance existing compliance efforts. No new positions are requested with this grant, although a temporary will be employed to assist the department in the implementation of this new effort and the department expects to use two unfunded vacant positions to perform the remainder of the work. The grant includes funds to purchase 3 desktop personal computers and 3 laptop computers.

Enclosed is a notification from the FHWA assuring that the award will soon be officially made.

Senator Mary Just Skinner  
October 28, 1992  
Page -2-

If you have any questions about this project, please feel free to give me a call.

Sincerely yours,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS/slw  
Enclosure

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

FORM AA-1  
(Rev. 9-90)

Agency: Transportation  
Department: Motor Vehicle  
Program: Compliance

Legal Title of Grant: Joint Federal/State Motor Fuel Tax Compliance Project

Federal Catalog No.:

Grantor and Office Address: U.S. Department of Transportation  
Federal Highway Administration  
P.O. Box 568, Montpelier, VT 05601-0568

Grant Period: From: July 1, 1992 To: June 30, 1997

**Purpose of Grant: (attach additional sheets if needed)**

The Department of Taxes has joined forces with the other 5 New England states to form a task force whose sole function will be to upgrade compliance with state and federal motor fuel taxes. This grant will be a pass through grant from the Department of Motor Vehicles to the Tax Department to finance their portion of the compliance project over the next 5 years.

**Impact on Existing Programs if Grant is not Accepted:**

The current service level in the Tax Department's motor fuel tax compliance program will be maintained. However, enhancements involving inter-state cooperation, an expanded audit program, auditor training, purchase of state-of-the-art portable computers and improved file management will not be pursued.

Budget Information:	(1st State FY) <u>FY 19 93</u>	(2nd State FY) <u>FY 19 94</u>	(3rd State FY) <u>FY 19 95</u>
<b>EXPENDITURES:</b>			
Personal Services	\$ 44,600	\$ 46,560	\$ 46,560
Operating Expenses	\$ 28,500	\$ 12,165	\$ 12,165
Other	\$ 3,150	\$ 3,150	\$ 3,150
<b>TOTAL</b>	<b>\$ 76,250</b>	<b>\$ 61,875</b>	<b>\$ 61,875</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$ 73,100	\$ 58,725	\$ 58,725
(Statewide Indirect)	\$ 1,150	\$ 1,150	\$ 1,150
(Department Indirect)	\$ 2,000	\$ 2,000	\$ 2,000
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 76,250</b>	<b>\$ 61,875</b>	<b>\$ 61,875</b>

It will be allocated to these	Appropriation Nos.	Amounts
Appropriation expenditure accounts:	Personal Services to be determined	44,600
	Operating Expenses to be determined	31,650
	-over-	TOTAL 76,250





U. S. DEPARTMENT OF TRANSPORTATION  
 FEDERAL HIGHWAY ADMINISTRATION  
 REGION ONE  
 P. O. BOX 568  
 MONTPELIER, VERMONT 05601

October 27, 1992

IN REPLY REFER TO:

Mr. Patrick J. Garahan  
 Secretary, Agency of Transportation  
 Montpelier, Vermont

Dear Mr. Garahan:

We received your request for a Motor Fuel Tax Compliance Grant. The original application was received from the Commissioner of the Tax Department on October 15, 1992. As we noted in our letter to Ms. Errecart (copy enclosed), funding for this program has not been posted as yet but we expect it to be available in two to three weeks.

In order to complete the Federal Register requirements of the program, the Secretary of Transportation should sign the Memorandum of Understanding cited in item #1 of the March 25, 1992 Federal Register (copy enclosed).

During the interim time we believe it would be beneficial to have a meeting between your office, the Tax Department and us to discuss the program. Also, your fiscal section should contact Mr. Jenkins of our office to work out the necessary fiscal details. Please advise us of the possible dates for this meeting.

Sincerely yours,

Karle L. Snyder  
 Division Administrator

*William M. Brownell*

By: William M. Brownell  
 Planning & Programming Engineer

Enclosures

921560

cc: Joyce Errecart, Commissioner of Taxes

Sec'y . . . . .  Deputy S . . . . .  
 Comm of MV . . . . .   
 Dir Engineering . . . . .   
 Dir Planning . . . . .   
 Dir Constr & Maint . . . . .   
 Dir Administration . . . . .   
 Legal . . . . .  Circ Hwy . . . . .  
 Central Files . . . . .   
 Due Date \_\_\_\_\_ N/A \_\_\_\_\_





U. S. DEPARTMENT OF TRANSPORTATION  
FEDERAL HIGHWAY ADMINISTRATION  
REGION ONE

P. O. BOX 568  
MONTPELIER, VERMONT 05601

October 19, 1992

IN REPLY REFER TO:

Ms. Joyce H. Errecart  
Commissioner  
Vermont Department of Taxes  
109 State Street  
Montpelier, Vermont

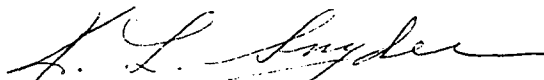
Dear Ms. Errecart:

This letter is to advise you that we have reviewed your submittal for a Motor Fuel Tax Compliance Grant and have found the submittal to be in order. We are unable to sign off on the grant application until funding is posted on our fiscal system and the VICS review is completed. It is anticipated that this will take approximately three weeks. The VICS review comment period ends October 27, 1992.

We understand from discussions with Ms. Rutledge that the Department of Motor Vehicles (DMV) is the lead Agency for this effort. In the meantime, we recommend that representatives from your office, the VAOT and DMV meet with us to have a coordination session prior to work beginning. Also, we recommend that members of your Agency and the VAOT fiscal section meet with our Financial Manager Mr. Jenkins to work out the fiscal details mentioned in the Federal Register as items 2 and 3.

If you have any questions, please contact Mr. William Brownell of our office.

Sincerely yours,

  
Karle L. Snyder  
Division Administrator

cc: Patrick Garahan, Secretary, VAOT

Grant Agreement

for the Joint Federal/State Motor Fuel Tax Compliance Project

Between the Federal Highway Administration, hereinafter referred to as the FHWA, and the Vermont Department of Motor Vehicles acting through its motor fuel tax enforcement agency as a [ ] Lead / [X] Participating State, hereinafter referred to as the State.

Period of Performance: \_\_\_\_\_ through 6/30/93

Project Agreement Amount: 100 thousand dollars (\$100,000)

Agency of Transportation/  
Department of Motor Vehicles  
State Agency

Federal Highway Administration

120 State Street  
Address (Principal place of work for this agreement)

87 State Street  
Address

Montpelier, Vermont 05603-0001  
City, State, Zip

Montpelier, Vermont 05602  
City, State, Zip

Patrick J. Garahan  
Authorized Representative

Karle L. Snyder  
Name

Secretary  
Title

Division Administrator

I hereby certify that the aggregate expenditure of funds of the State, exclusive of the Federal funds provided under this agreement, for motor fuel tax enforcement activities will be maintained at a level which does not fall below the average level of such expenditure for its last 2 fiscal years.

*Patrick J. Garahan* 10/22/92  
Signature Date

\_\_\_\_\_  
Signature Date

Table of Contents		Page		Page	
I.	AUTHORITY AND PURPOSE	2	8.	EQUIPMENT	5
II.	OBJECTIVE	2	9.	DEBARMENT CERTIFICATION	5
III.	STATEMENT OF WORK	2	10.	MINORITY BUSINESS ENTERPRISE REQUIREMENTS	5
IV.	ALLOWABLE COST AND PAYMENT	3	11.	SUSPENSION OR TERMINATION FOR CAUSE	5
V.	SUBMISSION OF REPORTS	3	12.	TERMINATION REVIEW PROCEDURE	6
General Provisions			13.	TERMINATION BY MUTUAL AGREEMENT	6
1.	DEFINITIONS	4	14.	AGREEMENT CLOSE OUT AND COLLECTION OF AMOUNTS DUE	6
2.	REGULATION REQUIREMENTS	4	15.	NONDISCRIMINATION	6
3.	AUDITS	4	16.	MANDATORY ENERGY EFFICIENCY STANDARDS	6
4.	MODIFICATIONS	4	17.	CERTIFICATION REGARDING A DRUG-FREE WORKPLACE	6
5.	SUBCONTRACTS FOR PROFESSIONAL SERVICES	4	18.	LIMITATION ON THE USE OF FUNDS FOR LOBBYING	7
6.	STANDARDS FOR FINANCIAL MANAGEMENT SYSTEMS	4	19.	CLEAN AIR AND WATER REQUIREMENTS	7
7.	RETENTION AND ACCESS REQUIREMENTS FOR RECORDS	4	Attachment 1 -- Budget		

ARTICLE I - AUTHORITY AND PURPOSE

Pursuant to section 1040 of the Intermodal Surface Transportation Efficiency Act of 1991 (Pub.L. No. 102-240), the State and the FHWA, enter into this grant agreement to enhance compliance with and collection of highway use taxes.

ARTICLE II - OBJECTIVE

The objective of this grant agreement is to increase the amount of revenue available for highway programs by using Highway Trust Fund tax receipts, administered by the FHWA, to expand highway use tax compliance efforts by the Internal Revenue Service (IRS) and the States, with emphasis on motor fuel taxes. This will be achieved by:

- \* raising the priority given to collecting motor fuel taxes by providing resources to foster coordination among State and Federal tax examination and investigation activities,
- \* participating in a Federal/State organizational structure, as defined in a Memorandum of Understanding (MOU), to ensure that the fuel tax compliance effort receives priority attention of both Federal and State tax enforcement agencies and to ensure that the increased emphasis on fuel tax compliance will be a continuing part of Federal and State tax agency programs,
- \* assisting in the development of computerized auditing tools that can be used by State and Federal governments to enhance compliance, and
- \* evaluating and reporting on the effectiveness of motor fuel tax enforcement activities.

ARTICLE III - STATEMENT OF WORK

The State agrees to use funds made available under this agreement for the following activities:

- 1) expand efforts to enhance motor fuel tax enforcement,
- 2) supplement motor fuel tax examinations and criminal investigations,
- 3) develop automated data processing tools to monitor motor fuel production and sales,
- 4) evaluate and implement registration and reporting requirements for motor fuel taxpayers, and
- 5) analyze and implement programs to reduce tax evasion associated with other highway use taxes.

The work to be accomplished under this agreement shall be known as the Joint Federal/State Motor Fuel Tax Compliance Project.



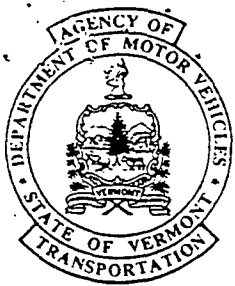
ATTACHMENT 1

Estimated Costs

Personal Services	\$ 52,350
Fringe Benefits	16,000
Materials & Supplies	18,000*
Training and Education	5,500
Travel	5,000
Single Audit	150
Statewide Indirect	1,000
Departmental Indirect	<u>2,000</u>
TOTAL	\$100,000

\* Includes the following computer equipment:

- 3 Desktop PC's for Supervisory Staff
- 3 Laptop PC's for Field Auditors



STATE OF VERMONT  
AGENCY OF TRANSPORTATION  
DEPARTMENT OF MOTOR VEHICLES  
120 State Street, Montpelier, Vermont 05603-0001



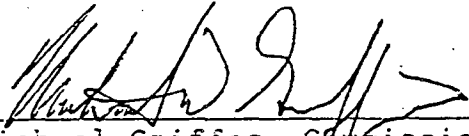
DELEGATION OF AUTHORITY

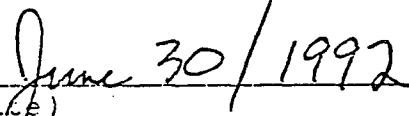
The Commissioner of Motor Vehicles hereby delegates to the Commissioner of Taxes the authority to act as agent to perform audits in the following areas:

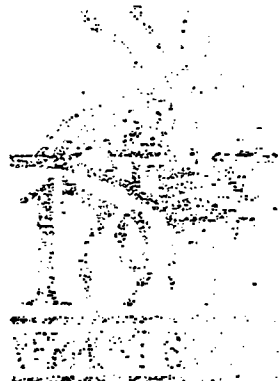
- Title 23, Chapters 27, 28 and 29
- Title 32, Chapter 219
- Regional Fuel Tax Agreement
- International Registration Plan
- and any further agreements which the Commissioner of Motor Vehicles may enter into under these statutes.

Provisions defining general responsibilities under this Delegation of Authority are included in the Memorandum of Understanding regarding the transfer of the Tax Field Examiners by the Secretary of Transportation, Secretary of Administration, Commissioner of Motor Vehicles and the Commissioner of Taxes dated June 30, 1992.

This Delegation of Authority will remain in effect until revoked in writing by the Commissioner of Motor Vehicles.

  
\_\_\_\_\_  
Michael Griffes, Commissioner  
Department of Motor Vehicles

  
\_\_\_\_\_  
(Date)



MEMORANDUM OF UNDERSTANDING  
FOR THE  
MULTI-STATE FUEL TAX COMPLIANCE TASK FORCE  
OF THE  
JOINT FEDERAL/STATE MOTOR FUEL TAX COMPLIANCE PROJECT  
PURPOSE

This memorandum of understanding is being signed by the State tax enforcement agencies and the Internal Revenue Service (IRS) office(s) listed below in order to formalize the relationship among the participating agencies in the New England Regional Task Force (Task Force). The agreement provides for cooperation among the States and the Internal Revenue Service district(s) to implement the tax compliance activities of the Joint Federal/State Motor Fuel Tax Compliance Project (Joint Project).

SIGNATORIES

Massachusetts  
Rhode Island  
Connecticut  
New Hampshire  
Maine  
Vermont  
Internal Revenue Service

TERMS OF AGREEMENT

1. By signing this memorandum, the State tax enforcement agencies agree to participate as members of a multi-state/Federal motor fuel tax compliance Task Force that will carry out the tax enforcement measures funded under this Joint Project. The Joint Project Regional Task Force will consist of the Boston District Office(s) (IRS), and the States of:

Massachusetts, Rhode Island, Connecticut, New Hampshire, Maine and Vermont.

The Federal Highway Administration will also participate in the Task Force meetings as necessary to carry out contract administration and monitor activities related to its role as the primary funding agency for the Joint Project

2. The Task Force will be co-chaired by an IRS representative assigned to the project and a representative of Massachusetts. By signing this memorandum, the States and the Internal Revenue Service agree to provide staff to participate in the Task Force for the examination, organization and analysis of information, and/or criminal investigation related to motor fuel taxes. State resources assigned to the Task Force will be provided as needed and as funding is available.
3. The IRS personnel assigned the Task Force will focus on Federal fuel tax compliance matters, but will share information that relates to State fuel tax compliance. State personnel assigned to the Task Force will focus on State fuel tax compliance matters, but will share with IRS personnel information that relates to Federal fuel tax compliance.
4. Implementation meetings will be held to discuss the Joint Project and to develop working arrangements for carrying out increased motor fuel tax compliance efforts. Details on the types of compliance activities to be carried out by the Task Force will be developed by the Task Force participants and reported to the Joint Project Steering Committee for review and national project coordination. The Task Force will direct the activities of participating agencies. State resources funded by the Joint Project will be assigned to Task Force activities as needed.
5. Participating States will work cooperatively under formal agreements with the IRS and with other participating States as necessary for carrying out project activities. To the extent possible, existing agreements will be used to meet this requirement.
6. Participating States agree to provide information needed for progress reports as determined by the Project Steering Committee.

*Jonathan F. Light*

SIGNATURE

Senior Deputy Commissioner

Massachusetts Department of

POSITION

Revenue

*8/4/92*

DATE

SIGNATURE

POSITION

DATE

*Earle E. Fennessy*

SIGNATURE

Director of Compliance

Vermont Dept. of Taxes

POSITION

*8/18/92*

DATE

SIGNATURE

POSITION

DATE

SIGNATURE

POSITION

DATE

SIGNATURE

POSITION

DATE

SIGNATURE

POSITION

DATE

SIGNATURE

POSITION

DATE



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

**MEMORANDUM**

**TO: Joint Fiscal Committee Members**

**FROM: Maria Belliveau, Fiscal Analyst**

A handwritten signature in blue ink, appearing to be 'MB' with a flourish.

**DATE: October 27, 1992**

**SUBJECT: JFO #1522 - Grant from U.S. Dept. of Education**

The Vermont Department of Education requests approval to accept a \$6,075 grant from the U.S. Department of Education to provide financial assistance for supplementary education services and costs for immigrant children enrolled in elementary and secondary schools. These grant funds from the Emergency Immigrant Education Act will be subgranted to the Burlington School District, the only district that qualifies for the funding. The goal of the Burlington School District is to supplement the existing English as a Second Language program by providing mainstream teachers with increased understanding of the needs of ESL students, and increased instructional options, strategies, books and materials.

I recommend that this grant be accepted and appropriation number 0105770506 be increased by \$6,075.

JFO # 1522

SMALL GRANT INFORMATION FORM

AGENCY: Department of Education

PROGRAM:

GRANT NAME AND/OR PURPOSE: Emergency Immigration Education Act

DATE OF GRANT AWARD NOTIFICATION: September 15, 1992

DATE OF GRANT PERIOD: 10/1/92 - 9/30/93

AMOUNT: \$6,075

PERSONNEL REQUIRED: None  
(state # and type)

Contract:

Other:

BRIEF DESCRIPTION OF USE:

The grant funds will be subgranted to the Burlington School District and will be used to supplement the existing English as a Second Language Program by providing mainstream teachers with increased understanding of the needs of ESL students, and increased instructional options, strategies, books and materials.

PRIMARY RECIPIENTS: Immigrant children who do not speak english as a first language.

SIMILAR OR COMPETING VERMONT PROGRAMS:

DATE RECEIVED IN JFO: October 22, 1992

RECOMMENDATION: Approve



IFO#1522

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the U.S. Department of Education to the Vermont Department of Education. The grant will provide funds for the current school year for teacher training activities related to the Emergency Immigrant Education program. Joint Fiscal Committee approval is sought for \$6,075 in fiscal year 1993. If it appears likely that Vermont will continue to qualify for funding under this program, the department will budget the funds in future years.

Emergency Immigrant Education grant funds are available to states with school districts that have a relatively high proportion of non-English speaking immigrant students. The funds can be used to provide supplementary services that are aimed at improving the education provided to immigrant students with limited English proficiency. The program was authorized by Congress in 1984 and this is the first year that a school district in the Vermont has qualified for funding. The eligible district is Burlington. Burlington will be using the money to pay for training activities to enable classroom teachers to better serve students with limited English proficiency. While this is the first time that the state has qualified to receive funds under this program, the program's activities are related to ongoing State Department of Education efforts in the areas of English as a Second Language (ESL) and Bilingual Education.

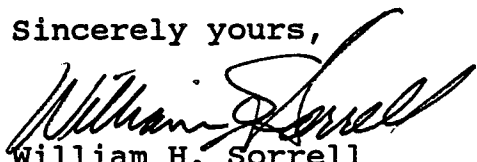
The State Department of Education will act as the fiscal agent for this grant, subgranting the funds to Burlington, but will not be involved with the program activities associated with the funds. The grant funds are determined through an allocation formula and there is no state or local match and no program continuation requirement.



Senator Mary Just Skinner  
October 21, 1992  
Page 2

Documentation for this grant including the grant award notification dated September 15, 1992, and descriptive and budget information are attached. More detailed program information is available from the Department of Education. If you have any questions regarding this grant program, please feel free to give me a call.

Sincerely yours,



William H. Sorrell  
Secretary of Administration

WHS/slw

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

FORM AA-1  
 (Rev. 9-90)

OCT 14 1992

1. Agency:
2. Department: Education
3. Program: Emergency Immigrant Education Program
4. Legal Title of Grant: Emergency Immigrant Education Program
5. Federal Catalog No.: 84.162A
6. Grantor and Office Address: Office of Bilingual Education & Minority Language Affairs
7. Grant Period:                      From: 10/1/92                      To: 9/30/93

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

To provide financial assistance for supplementary education services and costs for immigrant children enrolled in elementary and secondary schools.

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

Children with little or no English will benefit from specialized teacher training and supplemental books and videos.

10. Budget Information:	(1st State FY) FY 19 93	(2nd State FY) FY 19	(3rd State FY) FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$	\$	\$
Operating Expenses	\$	\$	\$
Other	\$ 6,075	\$	\$
<b>TOTAL</b>	\$ 6,075	\$	\$
<b>REVENUES:</b>			
State Funds:			
Cash	\$ -0-	\$	\$
In-Kind	\$ -0-	\$	\$
Federal Funds:			
(Direct Costs)	\$ 6,075	\$	\$
(Statewide Indirect)	\$ NA	\$	\$
(Department Indirect)	\$ NA	\$	\$
Other Funds:			
(source) _____	\$	\$	\$
<b>TOTAL</b>	\$ 6,075	\$	\$

Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u>	<u>Amounts</u>
	0105770506	6,075

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
<b>TOTAL</b>	

12b. Equipment and space for these positions:

Is presently available.

Can be obtained with available funds.

NA

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.

Barbara A. Behrman  
 (Signature)  
 Deputy Commissioner  
 (Title)

10/14/92  
 (Date)

14. Action by Governor:

Approved  
 Rejected

[Signature]  
 (Signature)

[Date]  
 (Date)

15. Secretary of Administration:

Request to JFO  
 Information to JFO

[Signature]  
 (Signature)

[Date]  
 (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)

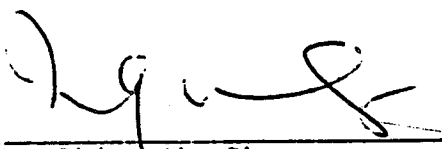
\_\_\_\_\_  
 (Date)



U.S. DEPARTMENT OF EDUCATION  
WASHINGTON, D.C. 20202

OFFICE OF BILINGUAL EDUCATION  
AND  
MINORITY LANGUAGES AFFAIRS

**GRANT AWARD NOTIFICATION**

<p><b>1</b> RECIPIENT NAME</p> <p>VERMONT STATE EDUCATION AGENCY COMPENSATORY EDUCATION RURAL EDUC CENTER/500 DORSET ST S BURLINGTON, VT 05403</p>	<p><b>4</b> AWARD INFORMATION</p> <p>PR/AWARD NUMBER T162A20015-92 ACTION NUMBER 01 ACTION TYPE ADMINISTRATIVE AWARD TYPE FORMULA</p>										
<p><b>2</b> PROJECT TITLE</p> <p>EMERGENCY IMMIGRANT EDUCATION PROGRAM</p>	<p><b>5</b> AWARD PERIODS</p> <p>BUDGET PERIOD 10/01/92 - 09/30/93 PROJECT PERIOD 10/01/92 - 09/30/93</p>										
<p><b>3</b> EDUCATION STAFF</p> <p>PLEASE DIRECT PROGRAM INQUIRIES TO HARPREET SANDHU (202)205-9808 U.S. DEPARTMENT OF EDUCATION SWITZER BLDG., ROOM 5086 400 MARYLAND AVENUE, SW WASHINGTON, DC. 20202</p> <p>PLEASE DIRECT FINANCIAL INQUIRIES TO MARION WINSTON (202)401-1504 U.S. DEPARTMENT OF EDUCATION FOB-6, ROOM 3083 400 MARYLAND AVENUE, SW WASHINGTON, DC. 20202</p>	<p><b>6</b> AUTHORIZED FUNDING</p> <p>CURRENT AWARD 6,075 CUMULATIVE AMOUNT 6,075 RECIPIENT COST SHARE 0%</p>										
<p><b>8</b> LEGISLATIVE &amp; FISCAL DATA</p> <p>AUTHORITY: EMERGENCY IMMIGRANT EDUCATION ACT OF 1984 PROGRAM TITLE: EMERGENCY IMMIGRANT EDUCATION PFOGRAM</p> <p>CFDA 84.162A</p> <table border="1"> <thead> <tr> <th>APPROPRIATION</th> <th>FY</th> <th>CAN</th> <th>OBJECT CLASS</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>91 21300</td> <td>92</td> <td>E001033</td> <td>4110</td> <td>6,075</td> </tr> </tbody> </table>	APPROPRIATION	FY	CAN	OBJECT CLASS	AMOUNT	91 21300	92	E001033	4110	6,075	<p><b>7</b> ADMINISTRATIVE INFORMATION</p> <p>PAYMENT METHOD ED PMS ENTITY NUMBER 1-036000274-C1 STATE APPL ID # ATTACHMENTS</p>
APPROPRIATION	FY	CAN	OBJECT CLASS	AMOUNT							
91 21300	92	E001033	4110	6,075							
<p><b>9</b> TERMS AND CONDITIONS OF AWARD</p> <p>Authority: Public Law 100-297, Part D - Immigrant Education</p> <p>Purpose : To provide financial assistance to States for supplementary education services and costs for immigrant children enrolled in elementary and secondary schools.</p> <p style="text-align: right;">             N. Ngoc-Bich, Acting Dir.            AUTHORIZED OFFICIAL         </p> <p style="text-align: right;">           SEP 15 1992            DATE         </p>											

**BURLINGTON SCHOOL DISTRICT  
APPLICATION FOR FUNDS UNDER THE  
EMERGENCY IMMIGRANT EDUCATION ACT**

**PART 1: NARRATIVE --**

Currently our district provides English as Second Language instruction and support for all students with limited or no English proficiency. It is our goal to supplement the existing ESL program by providing "mainstream" teachers with increased understanding of the needs of ESL students, and increased instructional options, strategies, books and materials for students.

Our goals for the funds received under the Emergency Immigrant Education Act are for:

Teachers within the regular program and curriculum to increase their awareness and understanding of meeting the needs of students with limited or no English proficiency. This will be achieved through staff development and related opportunities for professional growth.

To increase our library of books, videos, tapes, software, and other materials that will support the success of students with limited or no English proficiency in the regular program.

**PART 2: BUDGET --**

Staff Development

Substitutes so that classroom teachers can attend workshops and other staff development activities.	40 @ \$65/day	\$2,600
---	---------------	---------

Stipends to trainers to present staff development activities for teams of teachers.		\$ 750
---	--	--------

Books and Instructional Materials

Purchase of specialized books, videos, tapes, and materials to support students who have limited, or no English proficiency within the regular program and curriculum.		\$2,725
--	--	---------

<b>TOTAL</b>		<b>\$6,075</b>
--------------	--	----------------

Grant:

EMERGENCY IMMIGRANT EDUCATION PROGRAM

Provider:

United States Department of Education: Office of Bilingual Education  
Minority Languages Affairs

Award Number:

T162A20015-92

Recipient:

Submitted by Vermont State Education Agency; Compensatory Education  
· Compiled by Rural Education Center; Language and Cultural Affairs Program

Purpose:

To provide assistance for supplementary education services and costs  
for immigrant children enrolled in elementary and secondary schools.

Award Criteria:

State Education Agencies may apply for the EIEP if they can  
show that any Local Education Agency within the state has either 3% of the  
enrollment or 500 students (whichever is less), arrived in the U.S.A. in  
the last three years from countries where English is not the native  
language.

Funding:

A formula is applied which divides the total number of eligible  
immigrant children by the appropriated amount and should not exceed \$500  
per student. In the last several years the amount per student has  
averaged \$42. The total award this year for LEA #15 (Burlington S.D.) is  
\$6,075 for the district's 161 qualifying students (about \$38 each).

Need:

The Burlington School District has been enrolling increasing numbers of  
immigrant enrollments each year for over a decade. There have never been  
any State monies specifically directed to this population, and only once  
was a short-term federal grant received which assisted the district in  
their education. Federal laws require services addressing language and  
cultural needs of these students; other than this one minimal formula grant  
and a few highly competitive grants no funding is available to meet these  
requirements.

Budget:

Burlington S.D. plans to spend the grant monies on staff development  
and materials. See attached proposal from Burlington S.D.

Regulations:

Attached are also Public Law 100-297 -- Immigrant Education, and  
Part 581 Emergency Immigrant Education Program of the governing  
regulations.

APPLICATION FOR FUNDS UNDER THE  
EMERGENCY IMMIGRANT EDUCATION (CFDA 84.162)  
Federal fiscal year commencing 10/1/92, ending 9/30/93

PART 1: NARRATIVE -- Below, describe the specific services and activities this school district intends to provide through the use of these funds.  
(regulations attached)

SEE ATTACHED

PART 2: BUDGET -- Please attach a detailed budget projection.

PART 3: ASSURANCES

I certify that payments to be received under the Emergency Immigrant Education Program and its authorizing statutes (attached) will be used solely for services for children consistent with purposed, requirements, restrictions, and other conditions of use as stipulated under this program;

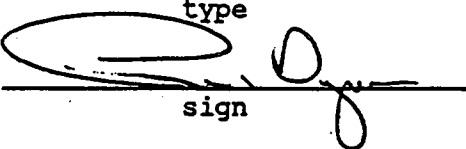
I further certify that the participation of this district in the EIEP will be conducted in accordance with all federal, state, and local laws and all requirements set forth in policies and procedures as issued by the Vermont Department of Education;

I further agree that all supporting documents for expenditures under this program will be maintained on file in the business office of the school district in an orderly manner to permit expenditures audit and will be made available to appropriate officials upon request;

I do hereby certify that all information contained in this application is true and correct, and the above-named local educational agency has authorized me as its representative.

Superintendent: Paul Danyow

type

Superintendent:   
sign

Date: 10.1.92

Return two copies of this application to: Heidi Western, UVM Rural Education Center, 500 Dorset St., Burlington, VT 05403.

Application Deadline: October 5, 1992



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

### MEMORANDUM

**TO:** Joint Fiscal Committee Members

**FROM:** Maria Belliveau, Fiscal Analyst 

**DATE:** October 27, 1992

**SUBJECT:** JFO #1523 - \$29,812 grant from the U.S. Department of Education

The Department of Education requests approval to accept a \$29,812 grant from the U.S. Department of Education, Foreign Languages Assistance Act Program. The grant funds will be subgranted to four school districts for the establishment of model programs to promote the study of critical foreign languages. The four school districts were selected on a competitive basis and must provide matching funds of 50 percent. No funds have been spent in anticipation of this grant.

Deferring this grant to the Budget Adjustment would interfere with the planned implementation date. This program is scheduled to start this current school year.

I recommend that this grant be approved and that appropriation number 0105772202 be increased by \$3,000 and appropriation number 0105772206 be increased by \$26,812 for fiscal year 1993.





JFO #1523

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

The Governor has approved acceptance of a grant from the U.S. Department of Education to the Vermont Department of Education. The grant will provide funds for the current school year for the establishment of model programs to promote the study of critical foreign languages. The funds are available through the federal Foreign Language Assistance Act of 1988. Joint Fiscal Committee approval is sought for \$29,812 in fiscal year 1993. In future years, funding for this program will be budgeted by the department.

Foreign Language Assistance grant funds are available to all states based on a formula allocation. Each state's allocation is then distributed to districts based on a competitive application process. The funds are targeted to districts to support the development of model programs to promote the study of critical foreign languages. Critical foreign languages as defined by federal regulation include the Japanese, Chinese, Russian, Korean, and Arabic languages. Competitive applications for funding have already been solicited by the State Department of Education and the districts have been selected. The districts are Milton, St. Johnsbury (Academy), Essex Junction, Addison Central (Supervisory Union), and South Burlington. While this is the first time that Vermont has received federal funding for this program, it is related to existing programs in Vermont funded by the Eisenhower Math/Science grant program that seeks to encourage curriculum improvement in area deemed critical by the federal government.

The funding allocated to the state under the current grant award includes an initial award of \$24,156 and a supplemental award of \$5,656. The supplemental award became available when several states failed to apply for their allocation. It is anticipated that federal funding of the program will increase from the current appropriation of \$5 million to \$10 million, hence the increase in funding in the second and third years of the grant.

Senator Mary Just Skinner  
October 21, 1992  
Page -2-

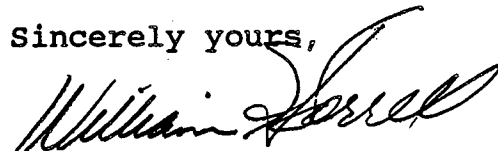
The State Department of Education will act as the fiscal agent for this grant. The grant includes \$3,000 in operating expense for the Department that will be used for the administration of program provisions. The Department is capturing indirect costs on the operating portion.

The grant has a one for one match requirement at either the state or local level. The match is flexible and can be met through either direct or in-kind funding. The districts that would receive funding under this grant would be required to pay for the match based on the conditions of the Request for Proposals that was used to solicit applications for the grant. There is no continuation requirement associated with this grant.

Please note that the grant amount of \$24,100 shown on the Request for Proposals in the accompanying packet reflects only the amount of the Vermont grant that was anticipated prior to the supplemental award.

Documentation for this grant including the grant award notification, descriptive information, and the Request for Proposals are attached. More detailed program information is available from the Department of Education. If you have any questions regarding this grant program, please feel free to give me a call.

Sincerely yours,



William H. Sorrell  
Secretary of Administration

WHS/slw  
Attachment

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

FORM AA-1  
(Rev. 9-90)

OCT 14 1992

1. Agency: Education
2. Department: Education
3. Program: Teaching and Learning
4. Legal Title of Grant: Foreign Languages Assistance Act Program
5. Federal Catalog No.: 84.249A
6. Grantor and Office Address: U.S. Dept of Education, Office of Elementary, Secondary Education, 400 Maryland Ave, SW, Washington, DC 20202
7. Grant Period: From: July 1, 1992 To: September 30, 1995

8. Purpose of Grant: (attach additional sheets if needed)  
To encourage the development of programs in critical foreign languages.

See attached

9. Impact on Existing Programs if Grant is not Accepted:  
Federal funds from this entitlement will benefit Vermont local school programs as they develop programs in critical foreign languages. The development of programs in selected sites will enable other schools to implement programs in the future.

10. Budget Information:	(1st State FY) <u>FY 19 93</u>	(2nd State FY) <u>FY 19 94</u>	(3rd State FY) <u>FY 19 95</u>
<b>EXPENDITURES:</b>			
Personal Services	\$	\$	\$
Operating Expenses	\$ 3,000	\$ 5,656	\$ 5,656
Other -grants to LEAs	\$26,812	\$ 43,844	\$ 43,844
<b>TOTAL</b>	<b>\$29,812</b>	<b>\$ 49,500</b>	<b>\$ 49,500</b>
<b>REVENUES:</b>			
State Funds:			
Cash	\$ -0-	\$ -0-	\$ -0-
In-Kind	\$ -0-	\$ -0-	\$ -0-
Federal Funds:			
(Direct Costs)	\$29,398	\$ 48,720	\$ 48,720
(Statewide Indirect)	\$ 93	\$ 175	\$ 175
(Department Indirect)	\$ 321	\$ 605	\$ 605
Other Funds:			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 29,812</b>	<b>\$ 49,500</b>	<b>\$ 49,500</b>

Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u>	<u>Amounts</u>
	0105772202	\$ 3,000
	0105772206	\$26,812

-over-

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

[ ] YES [x] 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
N/A	
TOTAL	

12b. Equipment and space for these positions:

[x] 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.

*Bruce B. ...* 10/14/92  
 (Signature) (Date)  
Deputy Commissioner  
 (Title)

14. Action by Governor:

[x] Approved  
[ ] Rejected

*[Signature]* 10/14/92  
 (Signature) (Date)

15. Secretary of Administration:

[x] Request to JFO  
[ ] Information to JFO

*William ...* 10/15/92  
 (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. DEPARTMENT OF EDUCATION  
WASHINGTON, D.C. 20202

OFFICE OF ELEMENTARY  
AND  
SECONDARY EDUCATION

GRANT AWARD NOTIFICATION

1	<b>RECIPIENT NAME</b> VERMONT STATE DEPT OF EDUCATION 120 STATE STREET MONTPELIER, VT 05602	4	<b>AWARD INFORMATION</b> PR/AWARD NUMBER S249A20044-92A ACTION NUMBER 02 ACTION TYPE REVISION AWARD TYPE FORMULA										
2	<b>PROJECT TITLE</b> FOREIGN LANGUAGES ASSISTANCE	5	<b>AWARD PERIODS</b> BUDGET PERIOD 07/01/92 - 09/30/93 PROJECT PERIOD 07/01/92 - 09/30/93										
3	<b>EDUCATION STAFF</b> PLEASE DIRECT PROGRAM INQUIRIES TO LEE E. WICKLINE (202)401-1062 U.S. DEPARTMENT OF EDUCATION FOB-6, ROOM 6264 400 MARYLAND AVENUE, SW WASHINGTON, DC. 20202  PLEASE DIRECT FINANCIAL INQUIRIES TO ACCOUNT REPRESENTATIVE (000)000-0000 FOR THE EDUCATION DEPARTMENT (ED/PMS) SEE ATTACHMENTS	6	<b>AUTHORIZED FUNDING</b> CURRENT AWARD AMOUNT 5,656 PREV. CUMULATIVE AMOUNT 24,156 CUMULATIVE AMOUNT 29,812 RECIPIENT COST SHARE 0%										
8	<b>LEGISLATIVE &amp; FISCAL DATA</b> AUTHORITY: FOREIGN LANGUAGES ASSISTANCE PROGRAM TITLE: FOREIGN LANGUAGE ASSISTANCE CFDA 84.249A <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>APPROPRIATION</th> <th>FY</th> <th>CAN</th> <th>OBJECT CLASS</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>91 1/21000</td> <td>92</td> <td>E002043</td> <td>4110</td> <td>5,656</td> </tr> </tbody> </table>			APPROPRIATION	FY	CAN	OBJECT CLASS	AMOUNT	91 1/21000	92	E002043	4110	5,656
APPROPRIATION	FY	CAN	OBJECT CLASS	AMOUNT									
91 1/21000	92	E002043	4110	5,656									
9	<b>TERMS AND CONDITIONS OF AWARD</b> <b>A. STATUTORY/REGULATORY</b> THIS GRANT IS ISSUED IN ACCORDANCE WITH THE PROVISIONS OF THE FOREIGN LANGUAGE ASSISTANCE ACT OF 1988 [PART B (FOREIGN LANGUAGES ASSISTANCE), TITLE II (CRITICAL SKILLS IMPROVEMENT) OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965, AS AMENDED BY THE AUGUSTUS F. HAWKINS-ROBERT T. STAFFORD ELEMENTARY AND SECONDARY SCHOOL IMPROVEMENT AMENDMENTS OF 1988 (PUB. L. 100-297)]. THIS AWARD IS ALSO SUBJECT TO THE PROVISIONS OF THE DEPARTMENT OF EDUCATION GENERAL ADMINISTRATIVE REGULATIONS (EDGAR), 34 CFR, PARTS 76, 77, 80, 81, AND 86. <b>B. EXPENDITURE LIMITATIONS</b> THESE GRANT AWARD FUNDS MAY BE USED ONLY TO DEFRAY THE FEDERAL SHARE OF THE COST OF MODEL PROGRAMS IN THE CRITICAL FOREIGN LANGUAGES, DESIGNATION OF WHICH WAS PROMULGATED IN PART III OF THE FEDERAL REGISTER ON JANUARY 30, 1992.												

*John T. MacDonald*

Ver. 1

AUTHORIZED OFFICIAL

DATE

*AE 9/24/92*

SECRET

## FOREIGN LANGUAGE ASSISTANCE PROGRAM

### FACT SHEET

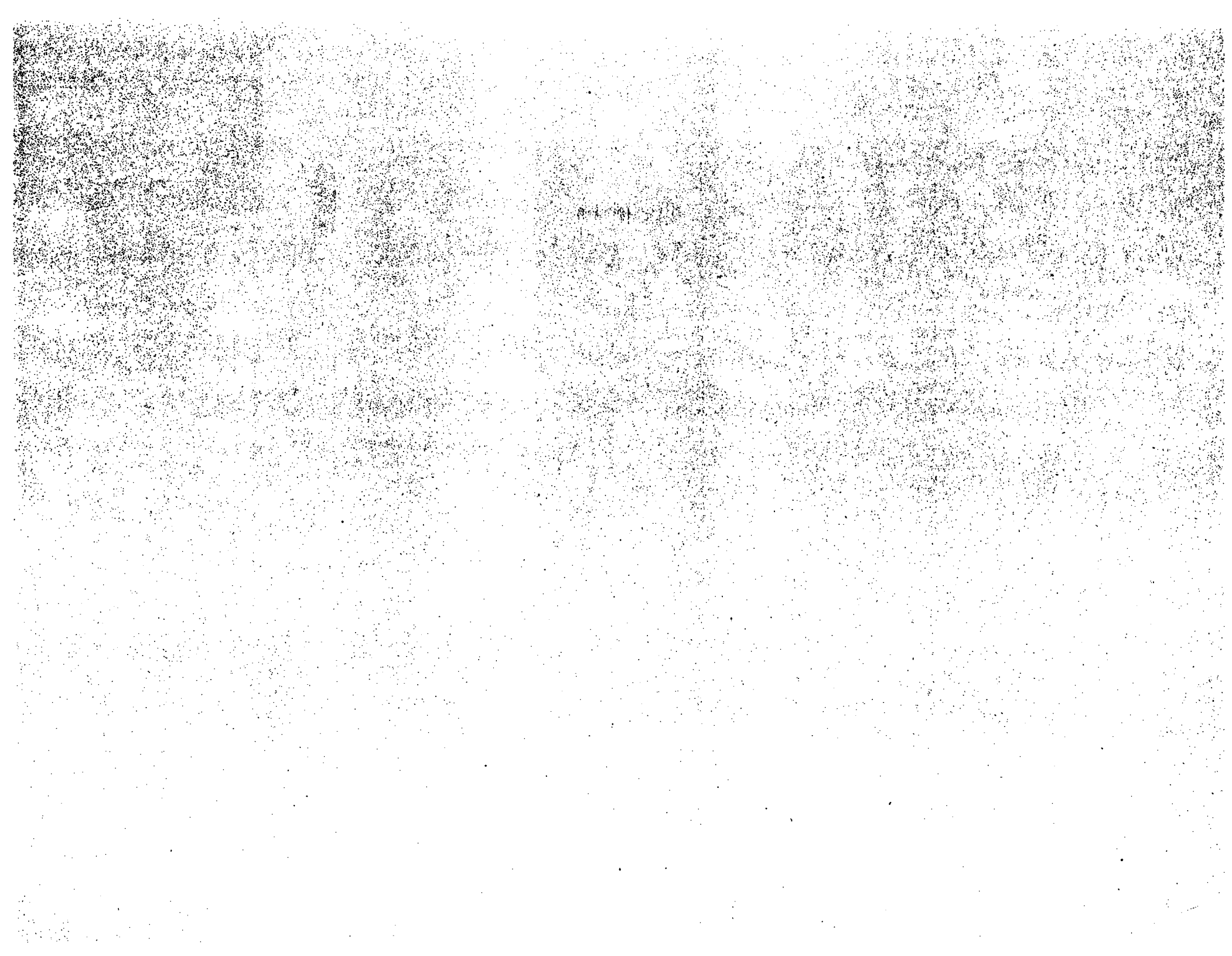
This Federal assistance program was authorized in the Foreign Language Assistance Act of 1988, enacted as Part B (Foreign Languages Assistance) of Title II (Critical Skills Improvement) of Public Law 100-297, the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvements Amendment of 1988, (Amendments to the Elementary and Secondary Education Act of 1965).

The Foreign Language Assistance Program is a formula grant program under which the Secretary of Education is to make grants to the State educational agencies to pay the Federal share of the cost of model programs, designed and operated by local educational agencies, for the commencement or improvement and expansion of foreign language study for students. Applications from the state educational agencies are to describe the competitively-selected, locally-designed, model programs. Thus the program combines aspects of both a formula (or entitlement) grant program and a discretionary (or competitive) grant program.

Congress first appropriated funds for the program in fiscal year 1991, when approximately \$5,000,000 were made available. The appropriation for fiscal year 1992 is \$10,000,000. The Federal share for the cost of approved model programs is 50 percent; in other words, State or local funds from public or private sources must be used for one-half the cost of each model program. States may apply for a waiver of this requirement. The approximate amounts to be allocated to each of the States are shown on the accompanying tables.

As required by the statute, the Secretary has designated Arabic, Chinese, Japanese, Korean, and Russian as the primary critical foreign languages in which model programs may be funded. Under very limited circumstances and only upon the Secretary's approval of a waiver, model programs may be offered in French, German, Italian, Portuguese, and Spanish which have been designated as alternate critical foreign languages. The notice of these designations was promulgated on January 30, 1992 in Part III of the *Federal Register*.

A request for proposals was sent out to Vermont schools in June in anticipation of federal funding. The four proposals selected to receive grant funds are St. Johnsbury Academy (Japanese), Milton Graded School (Russian), Essex Junction Educational Center (Japanese) and a collaborative project involving Addison Central, Franklin Northwest and South Burlington Schools (Chinese). Local schools are required to provide matching funds to support the proposed programs.







## SELECTION

Grants will be selected on a competitive basis. In order to be considered for rating, projects must meet criteria A1 through A6 below. Projects will then be rated numerically on criteria B1 through D3, based on the maximum number of points given in the parentheses following each.

### A. Program Requirements

Each funded project will:

A1. Implement a program that will teach participating students Arabic, Chinese, Japanese, or Russian for two or three consecutive school years.

A2. Be open to all children in those grade levels who reside in the area served by the local education agency, including those in private schools.

A3. Provide for standard, reliable, and valid evaluations of the language proficiency of participants at appropriate intervals in the program, and furnish the results of the evaluations to the State Program Officer.

A4. Complete annual evaluation forms to determine whether the funds made available during the first year were used as stated in the application.

A5. Use its funds primarily for the instruction of students.

A6. Match each federal dollar with a local dollar or its in-kind equivalent.

### B. Model Program Guidelines

Programs will be considered "model programs" by the State of Vermont to the extent that they meet several or all of the following criteria. Programs will be rated on a point scale, with maximum points shown below beside each criterion.

#### B. Program Quality:

B1. Provides at least two hours of foreign language instruction weekly. (15)

B2. Is based on a coherent philosophy of language learning. (10)

B3. Teaches to a wide range of learning styles, in such a way that it includes as many learners as possible. (10)

B4. Plays an integral part in a school restructuring program. (10)

B5. Makes strong links to other disciplines. (10)

B6. Is cost effective, and allocates no grant money for foreign travel. (10)

B7. Can show strong support from within the community and the school. (5)

B8. Utilizes innovative teaching methodologies. (5)

B9. Begins in first, second, or third grade. (5)

B10. Builds on a successful, related program in the district.

(10)

C. Teacher Qualifications

- C1. Lead teacher is a certified teacher. (5)
- C2. Lead teacher is a native speaker of the language. (5)
- C3. Lead teacher has resided in the language area for two months or more. (5)
- C4. Lead teacher holds over eighteen college credits in the language. (5)

D. Assessment and Follow-up

- D1. Allows for dissemination to other schools of information and results. (10)
- D2. Uses a student portfolio as a component of the assessment process. (5)

AMOUNT OF GRANT AWARDS

Because the federal government released its guidelines so late, it will be impossible for many schools to budget and plan for programs to begin in the fall of 1992, although this was the original intent of the Act. For this reason, some schools will be permitted to reduce the length of their model programs to two years, beginning in the fall of 1993, and spend both their Year One and Year Two allocations for the school year of 1993-1994. The complication here is that, as noted above, Year One funds must be spent or allocated by September 30, 1993, even though the program may have just begun.

It should also be noted that, although the Year Three funding has not yet been allocated, funding proposals from schools should include plans and a budget for the last year of the project -- i.e. the second year of a two-year program, or the third year of a three-year program -- the school year of 1994-1995.

Schools may apply for funds in any of the following amounts:

Total	\$8000	or	\$20000	or	\$40000	or	\$60000
Year One	\$2000		\$4000		\$8000		\$12000
Year Two	\$3000		\$8000		\$16000		\$24000
Year Three	\$3000		\$8000		\$16000		\$24000

A separate budget sheet, showing the sources of matching funds, must be provided for each year, although, as noted above, Year One and Year Two funds may be used concurrently.

## APPLICATIONS

Applications will consist of:

1) Title Page (Enclosed).

2) Project Description -- On a separate page, write a brief narrative stating the goals of the project and describing how they will be met.

3) Budget (Enclosed) -- Use attached budget pages to give details of the costs of the project and information on the sources for the local 50% match.

4) Compliance Outline -- A section numbered from A1 to A6 which shows how each of the similarly-numbered requirements for funded projects (See page # of this RFP) are met.

5) Model Program Points Outline -- A section which addresses, in numerical order (B1 to D3), any or all of the model program criteria established by the State of Vermont which the proposed program meets. (See page # of this RFP.)

## WAIVERS FROM MATCHING REQUIREMENT

To gain exemption from the 50% matching requirement, local districts will have to prove "hardship". Federal sources suggest that one indicator of hardship, for example, would be the possibility that a district's funding per pupil had recently declined. Because of the difficulties in proving "hardship", Vermont will strongly prefer proposals including matching funds.

## NOTIFICATION

Projects will be rated between July 15 and July 30. On or about August 1, local districts will be notified of grant awards. On August 15, the State application will be sent to the federal government, and on or about September 30, 1992, when Vermont receives its federal notification, the funds will be released.



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 29, 1992

**Subj:** JFO # 1534; Department of Mental Health;  
Decategorization Project

The U.S. Department of Health and Human Services has awarded a \$296,158 grant to the Vermont Department of Mental Health. The purpose of the grant is to design, purchase, install, and evaluate a computer network which will be used to gather financial and treatment information on clients.

The project period is two years and the total cost will be \$420,572. The Department of Mental Health will be contributing \$103,307 of in-kind match, i.e., work performed by existing staff, and \$21,107 of work financed with Robert Wood Johnson money. For fiscal year 1993, the Department of Mental Health is requesting the Joint Fiscal Committee to authorize the expenditure of \$156,684 in federal funds. The remaining federal funds will be included in the fiscal year 1994 budget request.

The state match required by this grant is already available to the Department of Mental Health and will not result in any net new cost to the general fund. The department is not requesting the creation of new positions, however, DMH will be entering into several personal services contracts. The

Commissioner of Mental Health has certified that the department will comply with contract bid guidelines. Aside from the cost of a commercial maintenance contract on the computer network, there appears to be no future obligation of general funds associated with acceptance of this grant.

Recommendation: This grant was just awarded on September 29, 1992. In order to accomplish the project goals within the period set forth by the federal grant, we recommend acceptance by the Joint Fiscal Committee. Specifically, we recommend that the following appropriations within the Department of Mental Health be increased by the amount of federal funds shown below:

<u>Appropriation</u>	<u>Amount</u>
0103520201	\$107,733
0103520202	48,951



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

JFO 1534

October 22, 1992

OCT 23 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved the acceptance of a \$420,572 grant from the U.S. Department of Health and Human Services, Administration for Children and Families, to the Vermont Department of Mental Health and Mental Retardation.

Joint Fiscal Committee approval is sought for \$156,684 in fiscal year 1993. Fiscal year 1994 will be budgeted.

The purpose of the grant is to develop an automated, integrated accounting and management information system that is capable of accomodating finanancial and programmatic information on individual clients who are receiving services from separate departments under multiple funding sources.

While the state has been successful in integrating services to clients with multiple, cross-departmental needs, it has not been particularly successful at devising a system which can track services and costs unique to individual clients, or groups of clients, and which can also aggregate costs at the program level, and subsequently allocate costs quickly and accurately to the appropriate funding source. Instead, departments have had to rely on cumbersome, time consuming manual systems to retrieve data.

The state match of \$124,414 will be met through the dedication of existing, budgeted staff resources to the project. No additional state funds will be required.

The grant will provide funds for additional department staff time, and some contractual arrangements for accounting and data processing systems services.

Selected pages of the grant are provided for your review; a complete copy of the grant is available from the Department of Mental Health and Mental Retardation.

Senator Mary Just Skinner  
October 22, 1992  
Page 2

The grant was awarded September 20, 1992.

Please feel free to call if you have any questions.

Sincerely,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS:njk  
Attachment



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

FORM AA-1  
(Rev. 9.90)

1. Agency: Human Services  
 2. Department: Mental Health and Mental Retardation  
 3. Program:  
 4. Legal Title of Grant: Decategorization Project  
 5. Federal Catalog No.: 93.647  
 6. Grantor and Office Address: Dept. of Health and Human Services  
 Administration for Children and Families  
 370 L'Enfant Promenade, S.W.  
 Washington, D.C. 20447

7. Grant Period: From: 09/29/92 To: 02/28/94

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

Is to develop accounting and management information systems which are integrated and which support the interagency planning and delivery systems, i.e., individualized systems of care developed under Robert Wood Johnson initiative for children.

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

This will result in a more efficient blending and pooling of funds for better coordination and continuity of services.

10. Budget Information:	(1st State FY) <u>FY 1993</u>	(2nd State FY) <u>FY 1994</u>	(3rd State FY) <u>FY 19</u>
-------------------------	----------------------------------	----------------------------------	--------------------------------

EXPENDITURES:

Personal Services	\$ 162,249	\$ 182,961	\$
Operating Expenses	\$ 52,910	\$ 22,452	\$
Other	\$ -0-	\$ -0-	\$

TOTAL	\$ 215,159	\$ 205,413	\$
-------	------------	------------	----

REVENUES:

State Funds			
Cash	\$	\$	\$
In-Kind	\$ 58,475	\$ 65,939	\$

Federal Funds:			
(Direct Costs)	\$ 146,373	\$ 127,847	\$
(Statewide Indirect)	\$ 5,155	\$ 5,814	\$
(Department Indirect)	\$ 5,156	\$ 5,813	\$

Other Funds: (source) _____	\$	\$	\$
--------------------------------	----	----	----

TOTAL	\$ 215,159	\$ 205,413	\$
-------	------------	------------	----

Grant will be allocated to these	<u>Appropriation Nos.</u>	<u>Amounts</u>
Appropriation expenditure accounts:	0103520201	\$107,733
	0103520202	\$ 48,951



1. RECIPIENT

*Marcel*

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
FINANCIAL ASSISTANCE AWARD

SAI NUMBER:

PMS DOCUMENT NUMBER:

01 90PD020601

1. AWARDING OFFICE: OPPL - CHILD WELFARE R & D	2. ASSISTANCE TYPE GRANT	3. AWARD NO: 90PD0206/01	4. AMEND. NO.
---	-----------------------------	-----------------------------	---------------

5. TYPE OF AWARD: DEMONSTRATION	6. TYPE OF ACTION: NEW	7. AWARD AUTHORITY: 42 USC 1310
------------------------------------	---------------------------	------------------------------------

8. BUDGET PERIOD: 09/29/92 THRU 02/28/94	9. PROJECT PERIOD: 09/29/92 THRU 02/28/94	10. CAT. NO.: 93.647
--	---	----------------------

11. RECIPIENT ORGANIZATION: VT STATE AGENCY OF HUMAN SERVICES DEPT OF MENTAL HEALTH & RETARDATION 103 SOUTH MAIN STREET WATERBURY VT 05671 WILLIAM A. DALTON, COMMISSIONER	12. PROJECT/PROGRAM TITLE PRIORITY AREA 14.04 DECATEGORIZATION PROJECT
---	--

13. COUNTY: WASHINGTON	14. CONGR. DIST.: 0	15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR: JOHN E PIERCE <i>x2722</i>
---------------------------	------------------------	--

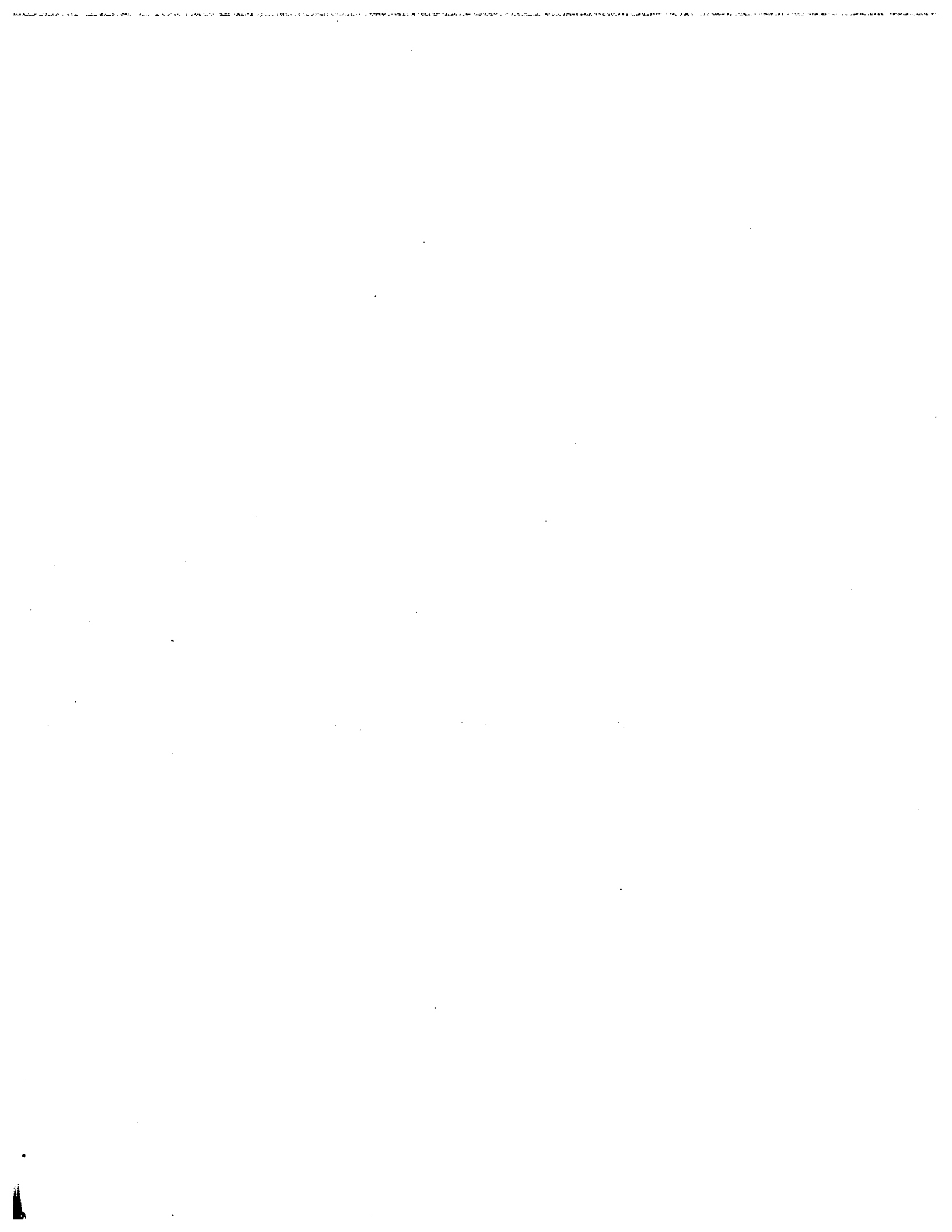
16. APPROVED BUDGET:		17. AWARD COMPUTATION:	
PERSONNEL .....	\$ 152,117	A. NON-FEDERAL SHARE .....	\$ 124,414 29.6%
FRINGE BENEFITS .....	42,593	B. FEDERAL SHARE .....	\$ 296,158 70.4%
TRAVEL .....	4,000	18. FEDERAL SHARE COMPUTATION:	
EQUIPMENT .....	33,000	A. TOTAL FEDERAL SHARE .....	\$ 296,158
SUPPLIES .....	0	B. UNOBLIGATED BALANCE FEDERAL SHARE .....	\$ 0
CONTRACTUAL .....	120,000	C. FED. SHARE AWARDED THIS BUDGET PERIOD .....	\$ 296,158
OTHER .....	68,862	19. AMOUNT AWARDED THIS ACTION: \$ 296,158	
TOTAL DIRECT COSTS .....	420,572	20. FEDERAL \$ AWARDED THIS PROJECT PERIOD: 7	
TOTAL INDIRECT COSTS CALCULATED .....	\$ 0	21. AUTHORIZED TREATMENT OF PROGRAM INCOME: ADDITIONAL COSTS	
AT % OF \$		22. APPLICANT EIN:	23. PAYEE EIN:
TOTAL IN-KIND CONTRIBUTIONS .....	\$ 0	1036000274B9	
TOTAL APPROVED BUDGET	\$ 420,572	24. OBJECT CLASS:	41.45

ORGN	FED %	XXSURT	PROG	APPROPRIATION	CAN NO	NEW AMT.	UNOBLIG.	NONFED %
OPPL	01	90PD020601	D18	7521536	21998035	296,158		

26. REMARKS: THIS GRANT IS PAID BY THE DHHS PAYMENT MGT. SYS., SEE ATTACHED FOR PAYMENT INFO ATTACHED ARE TERMS AND CONDITIONS, INSTRUCTIONS FOR REQUESTING FUNDS, REPORTING REQUIREMENTS, 45 CFR PART 74, 45 CFR PART 92 (FOR STATE, LOCAL, AND FEDERALLY RECOGNIZED TRIBAL GOVERNMENTS ONLY), A COPY OF THE ANTI-LOBBYING NOTICE, AND OTHER GRANT INFORMATION. THE INITIAL EXPENDITURE OF FUNDS BY THE GRANTEE CONSTITUTES ACCEPTANCE OF THIS AWARD. NO FUTURE SUPPORT IS ANTICIPATED THERE ARE SPECIAL CONDITIONS ATTACHED TO THIS AWARD. FUNDS FOR INDIRECT COSTS PLACED IN "OTHER" CATEGORY PENDING CURRENT NEGOTIATED RATE. CDP#4387

27. SIGNATURE-ACF GRANTS OFFICER <i>Maiso L. Bryant</i> MAISO L. BRYANT, E.D.	DATE: 9-30-92	28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY <i>[Signature]</i>	DATE:
---	---------------	---	-------

29. SIGNATURE AND TITLE-PROGRAM OFFICIAL(S) <i>Howard Rolston</i> HOWARD ROLSTON, DIRECTOR, OFFICE OF POLICY AND EVALUATION	DATE: 9/30/92
---	---------------



Priority Area Number 4.04

OMB Approval No. 0348-0043

**APPLICATION FOR FEDERAL ASSISTANCE**

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Non-Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED 09/10/92 (rev.)	Applicant Identifier
	3. DATE RECEIVED BY STATE	State Application Identifier
	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name: Vermont Department of Mental Health and Mental Retardation	Organizational Unit: Mental Health-Child, Adolescent and Family Unit
Address (give city, county, state, and zip code): 103 South Main Street Waterbury, Vermont 05671-1601 County: Washington	Name and telephone number of the person to be contacted on matters involving this application (give area code): John E. Pierce (802) 241-2722

6. EMPLOYER IDENTIFICATION NUMBER (EIN): 03 - 6000274	7. TYPE OF APPLICANT (enter appropriate letter in box): A. State      H. Independent School Dist. B. County      I. State Controlled Institution of Higher Learning C. Municipal      J. Private University D. Township      K. Indian Tribe E. Interstate      L. Individual F. Intermunicipal      M. Profit Organization G. Special District      N. Other (Specify): _____
--	---

8. TYPE OF APPLICATION:  
 New     Continuation     Revision  
 If Revision, enter appropriate letter(s) in box(es):  
 A. Increase Award    B. Decrease Award    C. Increase Duration  
 D. Decrease Duration    Other (specify): \_\_\_\_\_

9. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 9 3 6 4 7	10. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Decategorization Project
--	---

11. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):  
State of Vermont

12. PROPOSED PROJECT: Start Date: 10/01/92    Ending Date: 02/28/94	14. CONGRESSIONAL DISTRICTS OF: a. Applicant: Vermont    b. Project: Vermont
--	---

13. ESTIMATED FUNDING:	14. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
a. Federal: \$ 296,158.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____
b. Applicant: \$ .00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372
c. State: \$ 103,307.00	<input checked="" type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
d. Local: \$ .00	per S.P.O.C 8/5/92
e. Other: \$ 21,107.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
f. Program Income: \$ .00	<input type="checkbox"/> Yes    If "Yes" attach an explanation. <input checked="" type="checkbox"/> No
g. TOTAL: \$ 420,572.00	

16. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN ONLY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative William A. Dalton	b. Title Commissioner of DMH/MR	c. Telephone number 802-241-2610
d. Signature of Authorized Representative <i>William A. Dalton</i>		e. Date Signed 9/10/92

# BUDGET INFORMATION — Non-Construction Programs

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS	93,637	\$	\$	\$ 296,158.	\$ 124,414.	\$ 420,572.

## SECTION B - BUDGET CATEGORIES

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ NA	\$ NA	\$ NA	\$ NA	\$ 152,117.
b. Fringe Benefits	NA	NA	NA	NA	42,593.
c. Travel	NA	NA	NA	NA	7,000.
d. Equipment	NA	NA	NA	NA	38,500.
e. Supplies	NA	NA	NA	NA	-0-
f. Contractual	NA	NA	NA	NA	120,000.
g. Construction	NA	NA	NA	NA	NA
h. Other	NA	NA	NA	NA	38,424.
i. Total Direct Charges (sum of 6a-6h)	NA	NA	NA	NA	398,634
j. Indirect Charges	NA	NA	NA	NA	21,938.
k. TOTALS (sum of 6i and 6j)	\$ NA	\$ NA	\$ NA	\$ NA	\$ 420,572.
l. Program Income	\$ NA	\$ NA	\$ NA	\$ NA	\$ none

Authorized for Local Reproduction

Standard Form 424A (4-64)  
Prescribed by OMB Circular A-102

(rev. 9/2/92)

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$ NA	\$ NA	\$ NA	\$ NA	
9.	NA	NA	NA	NA	
10.	NA	NA	NA	NA	
11.	NA	NA	NA	NA	
12. TOTALS (sum of lines 8 and 11)	\$	\$ 103,307	\$ 21,107	\$ 124,414	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$ NA	\$ NA	\$ NA	\$ NA	\$ NA
14. Nonfederal	NA	NA	NA	NA	NA
15. TOTAL (sum of lines 13 and 14)	\$ NA	\$ NA	\$ NA	\$ NA	\$ NA
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIOD (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$ NA	\$ NA	\$ NA	\$ NA	
17.	NA	NA	NA	NA	
18. N/A	NA	NA	NA	NA	
19.	NA	NA	NA	NA	
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional sheets if necessary)					
21. Direct Charges:	NA	22. Indirect Charges: As per the Cost Allocation Plan between State of Vermont, Agency of Human Services and DHHS approved 1/14/89 by the Division of Cost Allocation, DHHS, Room 1512, JFK Federal Bldg., Boston, MA 02203			
23. Remarks					

Federal Register / Vol. 57, No. 113 / Thursday, June 11, 1992 / Notices

24901

Authorized for Local Reproduction

SEC 24A (4-88) Page 2  
Prescribed by OMB Circular A-102

BILLING CODE 4130-01-C

(rev. 9/2/92)

Decategorization Project Budget Detail

<u>A. Personnel: (12 mo.)</u>	<u>% FTE</u>	<u>12 mos. Cost</u>	<u>ACF Request</u>	<u>Match</u>
-Principal Investigator/Proj.Dir.	20%	\$ 9,394	-0-	\$ 9,394
-Project Coordinator	100%	\$ 30,000	\$ 30,000	\$ -0-
-Administrative Asst. A at DOE	50%	10,000	10,000	-0-
-Info. System Specialist at DOE	50%	15,000	15,000	-0-
-Accountant C at DMH/MR	100%	26,000	-0-	26,000
-Accountant C at SRS	50%	13,000	6,500	6,500
-Automated Systems Spec. B	50%	13,000	-0-	13,000
-Therapeutic Case Mgmt. Coord.	50%	15,123	-0-	15,123*
-RWJ Project Evaluator	50%	14,110	-0-	14,110*
-RWJ Project Coordinator	20%	6,490	-0-	6,490**
		<u>\$ 152,117</u>	<u>\$ 61,500</u>	<u>\$ 90,617</u>
<u>B. Fringe @ 28%</u>		<u>42,593</u>	<u>17,220</u>	<u>25,373</u>
<u>Total Personnel and Fringe:</u>		<u>\$ 194,710</u>	<u>\$ 78,720</u>	<u>\$ 115,990</u>
<u>C. Travel:</u>		\$ 7,000	\$ 7,000	\$ -0-
<u>D. Equipment:</u>				
-4 PCs for DMH/MR		\$ 7,000	\$ 7,000	\$ -0-
-10 PCs for CMHCs		20,000	20,000	-0-
-1 File Server		6,000	6,000	-0-
-Software, Cable, Cards		5,500	5,500	-0-
<u>Total Equipment:</u>		<u>\$ 38,500</u>	<u>\$ 38,500</u>	<u>\$ -0-</u>
<u>E. Supplies:</u> None		\$ -0-	\$ -0-	\$ -0-
<u>F. Contractual:</u>				
-Third party evaluation (17 mo.)		\$ 120,000	\$ 120,000	\$ -0-
<u>G. Construction:</u> None		\$ -0-	\$ -0-	\$ -0-
<u>H. Other:</u>				
<u>Consultation:</u>				
-Systems design: Financial and MIS systems @ \$150/day		\$ 7,000	\$ 7,000	\$ -0-
-Technical support to CMHCs @ 3 days per CMHC for 10 CMHCs @ \$600/day		18,000	18,000	-0-
<u>Training Costs:</u>				
-Materials and facilities costs		5,000	5,000	-0-
<u>Office Space:</u>				
-Office space for 3.5 FTE		8,424	-0-	8,424
<u>Total Other:</u>		<u>\$ 38,424</u>	<u>\$ 30,000</u>	<u>\$ 8,424</u>
<u>I. TOTAL DIRECT COSTS:</u>		<u>\$ 398,634</u>	<u>\$ 274,220</u>	<u>\$ 124,414</u>
<u>J. Indirect costs at 8% total Direct cost:</u>		<u>\$ 21,938</u>	<u>\$ 21,938</u>	<u>\$ -0-</u>
<u>TOTAL COSTS:</u>		<u>\$ 420,572</u>	<u>\$ 296,158</u>	<u>\$ 124,414 ***</u>

Match is from state general funds except as noted:

\* Match is 50% RWJ grant and 50% state funds

\*\* Match is 100% from the RWJ grant

(rev. 9/11/92)

\*\*\* 21,107 = RWJ



## BUDGET JUSTIFICATION

A. Personnel: The Decategorization Project staffing will include the following positions for the percentages of time (FTE) devoted to the Project as indicated. Support for Project Staff is requested for a 12 month period because it is anticipated that most project implementation activities will be completed within a 12 month period, while the evaluation of the project (see "Contractual" below) will be completed within the 17 month project period.

The Principal Investigator/Project Director (.2 FTE) will be John E. Pierce, M.Ed., Assistant Director of the Division of Mental Health, who has overall responsibility for systems and financial planning, program development, and human resource development within the Division of Mental Health. He will be the primary liaison with the Administration for Children and Families (ACF).

The Project Coordinator (vacant; 1.0 FTE) will have overall responsibility for implementing and managing the Project, including coordination between relevant state departments and local providers. Under the direction of the Project Director, the Coordinator will convene and chair the Interagency Fiscal Team and provide direction and guidance for all aspects of the Project activities.

The Administrative Assistant A (vacant; .5 FTE) at the Department of Education will provide support to the Project by collating information within DOE concerning its accounting and management information system, and will provide support to the DOE Information Systems Specialist.

The two Accountant C positions (vacant; 1.0 FTE at Department of Mental Health and Mental Retardation (DMH/MR); .5 FTE at Department of Social and Rehabilitation Services (SRS)) will be the primary liaisons with their respective state departments' fiscal management staff and will work with the Project on objectives related to integrating management information and accounting systems across state agencies and between state and local service providers. These are new positions, created for the purpose of managing state interagency and state/federal financial and accounting systems, including the Individualized Care and EPSDT projects. They will be located in and report through their respective departments, but will be actively involved in the Decategorization Project activities.

The Information Systems Specialist (vacant; .5 FTE at DOE) will be the primary liaison between DOE and the Decategorization Project, and between DOE and local schools. This position will also assist Project staff in linking accounting and management information systems within DOE.

The Automated Systems Specialist B (vacant; .5 FTE) will be located in DMH/MR and will have overall responsibility for managing the management information systems within DMH/MR. This position will be the primary liaison between the Project and existing data systems, and will work with the Project to integrate the various systems across state departments and between state and local providers. He/she will also be available for computer programming.

The Therapeutic Case Management Coordinator (.5 FTE) Suzanne Santarcangelo, M.A., reviews and approves individualized budgets funded with pooled funds from the three state departments (DMH/MR, SRS and Education), and is responsible for program development (including training), coordination, and tracking of services and costs for clients with services funded through individualized service plans. She will have the primary role under this

## BUDGET JUSTIFICATION

### Therapeutic Case Management Coordinator, Continued:

Project with regard to all aspects of individualized services development, authorization and tracking.

The Robert Wood Johnson (RWJ) Project Evaluator (.5 FTE) James T. Yoe, Ph.D., is responsible for evaluation of the RWJ project, including reporting costs and activities to the RWJ Foundation, developing management information systems to meet RWJ reporting requirements, and developing an outcome evaluation (the Vermont System for Tracking Client Progress) in conjunction with the University of Vermont. Dr. Yoe has also been working with the existing manual reporting systems to attempt to track expenditures and revenues by source. Under the Decategorization Project, he will have primary responsibility for linking RWJ reporting and evaluation requirements with Decategorization Project systems design and implementation activities.

The Robert Wood Johnson (RWJ) Project Coordinator (.2 FTE) Sherry Schoenberg, M.A., will provide liaison between the financial and information systems development and the systems and program development activities of the RWJ project, to ensure that information and financing strategies support the overall systems development occurring through the RWJ project.

B. Fringe for Project staff is calculated at the average state rate of 28%.

C. Travel for Project staff includes \$3,000 for out-of-town travel reimbursement (at \$.25/mile) to the local sites located in the 14 counties throughout Vermont, and \$4,000 for out-of-state travel to ACF-sponsored national meetings and conferences.

D. Equipment: The four PCs for DMH/MR will be used by the Therapeutic Case Management Coordinator, the Project Evaluator, and the Automated Systems Specialist, and a laptop for use by Project Staff when working at field sites (CMHCs). The ten PCs for community mental health centers (CMHCs) will be used for data entry and retrieval by therapeutic case managers. The file server, cable, and cards are necessary to link and integrate the PCs and the mainframe system at DMH/MR. Novell, QuatroPro and Paradox 4.0 software will be used in the system.

F. Contractual: A third party evaluation will be conducted under contract with DMH/MR. A contractor will be selected based upon a competitive Request for Proposal process. Contents of the evaluation will follow the outline proposed in the Workplan, Section III. Costs for the contract, (\$120,000) plus costs for the RWJ Project Evaluator (see above, \$14,110) meet the requirement that at least one-third of project costs are allocated to evaluation. The evaluation activities will be conducted over the full 17 month project period.

H. Other: Costs include consultation to DMH/MR, SRS, and DOE on systems design for financial and management information systems at an estimated \$150 per day; and technical support to CMHCs to update and integrate existing accounting and management information systems with systems developed through this Project, at a cost of \$600 per day for three days at each of ten CMHCs. In addition, the costs for training case managers, data entry and MIS staff in

BUDGET JUSTIFICATION

Other, Continued:

the CMHCs to use the integrated system are estimated at \$5,000 to cover training materials and training facility rentals. Office space for the 4.5 FTE key project staff positions (1.0 Project Coordinator, 1 Administrative Assistant [.5 at DMH/MR and .5 at DOE], 1.5 Accountant C positions, .5 Automated Systems Specialist at DMH/MR, and .5 Information Systems Specialist at DOE) is calculated at \$12.00 per square foot and 156 square feet per FTE position. Costs include electricity, heating and janitorial services.

J. Indirect costs are estimated at 8% of total requested direct costs, as per the Cost Allocation Plan between the State of Vermont, Agency of Human Services and DHHS, approved 2/14/89 by the Division of Cost Allocation, DHHS, Room 1512, JFK Federal Bldg., Boston, MA, 02203.

## OBJECTIVES AND TASKS

Tasks	Months																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	
<u>Develop Evaluation and Evaluate Project</u>																		
Task A: Revise evaluation plan (initial)	-----																	
Task B: Hire Evaluators		-----																
Task C: Revise evaluation plan (final)				---														
Task D: Develop measures					-----													
Task E: Pilot measures									---									
Task F: Revise measures									---									
Task G: Conduct structured interviews and time studies									---			---				---		
Task H: Review existing documentation									---			---				---		
Task I: Review project documentation									---			---				---		
Task J: Present quarterly evaluation reports										---			---			---		
Task K: Analyze data																-----		
Task L: Draft final evaluation report																	---	

\*Note: Project Evaluation Activities will be conducted throughout the entire 17-month Project Period.

See p. 4, ff.

PROGRAM NARRATIVE STATEMENT:

A. OBJECTIVES AND NEED FOR ASSISTANCE

1. Vermont's System of Care: Historical Overview and Current System

For more than five years, Vermont has been working toward developing a comprehensive service delivery system for children and adolescents experiencing a severe emotional disturbance and their families. Vermont's initiative is characterized by collaborative planning, coordinated service delivery and blended funding between the Departments of Mental Health/Mental Retardation, Social and Rehabilitation Services, and Education. This interagency effort is creating a community-based system with comprehensive, family centered, flexible services designed to prevent out-of-home or out-of-community placement of children.

Vermont's population of 563,000 includes approximately 139,200 youth under age 18. National prevalence research indicates that a conservative estimate of youth who are experiencing a severe emotional disturbance is five percent. In Vermont, this would translate to approximately 6960 children and adolescents. The first step in addressing the needs of these children and adolescents was to build collaboration among the agencies serving the children and their families. The two key agencies concerned with family and child welfare are the Agency of Human Services (AHS) and the Department of Education (DOE). The two departments within the AHS with primary responsibility for services to children who experience severe emotional disturbance and their families are the Department of Mental Health and Mental Retardation (DMH/MR) and the Department of Social and Rehabilitation Services (SRS).

Within DMH/MR, the Division of Mental Health established a Child, Adolescent and Family Unit in 1989. This unit provides a centralized structure to plan and coordinate the development of a statewide system of community-based services for children and adolescents with a severe emotional

disturbance and their families. The Child, Adolescent and Family Unit contracts with Vermont's 10 Community Mental Health Centers (CMHCs) to provide community-based services for the 13 service areas they cover. Currently, approximately 4000 children and adolescents and their families receive services through CMHCs each year.

SRS is the other principal department within the AHS responsible for child and family services. SRS provides services to approximately 1200 children and adolescents, including those adjudicated as delinquent who are in State custody. Approximately 75% of these children and adolescents meet Vermont's statutory definition of having a severe emotional disturbance. SRS contracts for residential placements of children and adolescents in state custody, using settings such as foster care, group homes, therapeutic foster care, and out-of-state placements. About 50% of the nearly 700 children and adolescents in foster care settings meet Vermont's definition of having a severe emotional disturbance, and about 95% of the 150 youth in more restrictive settings meet this definition. SRS also administers in-home services such as Intensive Family-Based Services which serves over 200 families per year.

DOE oversees special education services to 608 children and adolescents who have a severe emotional disturbance and are eligible for services through the "Individuals with Disabilities Education Act" (I.D.E.A., formerly PL 94-142). These youth are primarily served in local schools, with less than one quarter in regional special education programs.

Prior to 1987, these three departments often served the same children and families using categorical services. This led to a number of difficulties and inefficiencies, including duplication and fragmentation of services.

## 2. Building a Flexible, Individualized System of Care

In 1987, under the National Institute of Mental Health (NIMH) Child and

Adolescent Service System Program (CASSP), DMH took the lead in establishing strong interagency partnerships with SRS and DOE. A cooperative interagency agreement encouraging coordinated and complementary services was signed by the three departments in 1987. Interagency coordination was codified by the Vermont legislature in 1988 through the enactment of Act 264, which institutionalizes interagency collaboration at a variety of levels: State Advisory Board, State Interagency Team (SIT), and Local Interagency Teams (LIT). The Act mandates and implements principles of collaboration, coordination, and parent involvement at all levels of decision-making.

Act 264 also contains a definition of severe emotional disturbance and requires the development and implementation of a comprehensive, coordinated, community-based System of Care Plan. An Advisory Board with a membership of fifteen, five of whom must be parents of a child with severe emotional disturbance advises the Commissioners of DOE, DMH, and SRS on the development of the annual System of Care Plan, which must be updated and submitted to the legislature annually, and has effectively become the single planning and implementation document for Vermont state government for this population.

The System of Care Plan is based on two core values. First, a system of care must be youth-centered. This means a commitment to adapting services to meet the needs of youth and families, rather than expecting them to conform to pre-existing service configurations. It also means providing services in a manner which enhances the personal dignity of youth and families, respects their wishes and goals, and creates opportunities for involvement and self-determination in planning and delivery of services.

The second core value is that a system of care must be community-based. Priority is given to development and use of community-based treatment and services providing less restrictive, more normative settings within or close to youths' home communities, as opposed to traditional institutional settings

far from home. Management, control, and coordination of services should occur at the community level, in cooperation with state-level agencies.

Since 1986 Vermont has made great strides toward creating a comprehensive, flexible, community-based service system. The number of out-of-state placements has decreased by nearly half, from an average census of 53 to 29 per month, and the types and capacity of community-based services has increased. Respite, Intensive Family-Based Services, outpatient counseling, and parent support networks are now available in each of Vermont's 13 service areas. Therapeutic Foster Care and Therapeutic Case Management services are available in seven service areas, and mobile crisis outreach services are available in four service areas.



### 3. Decategorization of Services and Financing

Vermont has successfully undertaken a broad-based systems change initiative which uses a variety of strategies, including statutory reform, formal collaboration structures, state and local systems planning, human resource development and new financing approaches. Within the financing component a number of revenue enhancement and reimbursement restructuring changes have been achieved. For example, coverage under Title XIX (Medicaid) has been expanded to include case management and rehabilitation services. Administered by DMH/MR, Medicaid is now a major source of ongoing revenue for basic service components of the system of care such as Intensive Family-Based Services, Therapeutic Foster Care and Case Management. Match funds for increased Medicaid revenue have been transferred from SRS and DOE to DMH/MR.

A grant from the Robert Wood Johnson (RWJ) Foundation's, Mental Health Services Program for Youth (MHSPY) has been a major impetus for local service systems and state level infrastructure development. Vermont is one of seven states to receive a five year grant to build a system of care. Refinancing is a major goal of the RWJ project, and funds diverted from out-of-state



placements have been reallocated to new priority in-state services in the System of Care Plan. Increased Medicaid reimbursement is also a major source of funding for new services. System-wide over \$2.6 million in new and reallocated funds were spent in children's services in state Fiscal Year 1992 (7/1/91-6/30/92). Examples of restructuring include using DMH/MR administered Medicaid in SRS group homes (\$86,526), Therapeutic Foster Care (\$152,443), Therapeutic Case Management (\$166,017), and Intensive Family-Based Services (\$250,000). These examples of blending and cost-sharing between state departments have resulted in new interagency financing agreements, but have not necessarily been linked to an individualized case planning approach which authorizes, and then tracks total costs by case.

Vermont also has experience with decategorization of services in an individualized care approach through Therapeutic Case Management. Individualized care is based on a treatment plan designed to fit the needs and strengths of each child and family so that the child can live in the most normalized environment possible. Safety and structure are provided by "wrapping services around" the child and her/his family. Emphasis is on building family strengths and skills and offering supports.

The primary task of a Therapeutic Case Manager is to coordinate a team of human service and education providers, significant individuals in the child's life, and their family, in order to develop and implement an individualized treatment plan that creatively addresses the needs and strengths of the child and family. The Therapeutic Case Manager organizes brokers and advocates for the use of natural supports in the community and/or services provided by agencies. While Therapeutic Case Managers are based in CMHCs, interagency collaboration is an integral part of individualized care. All services are developed cooperatively and delivered in a coordinated fashion.

In partnership with the University of Vermont (UVM) Department of

Psychology, the Vermont System for Tracking Client Progress (VSTCP) was designed to collect more in-depth outcome information on children and adolescents receiving Individualized Care Services. In a preliminary evaluation of Individualized Care, UVM researchers found very positive responses to the Individualized Care model. The study focused on youths who had been placed out-of-state and were now in community settings. All had made major progress in maintaining normalized living and academic situations, and accessing community-based services.

Individualized, creative treatment plans are dependent on flexible, decategorized interagency funding. Current sources used in blended funding include: Medicaid (T.XIX), SSI, Adoption Subsidy, Medicaid Waiver, Title IV-E, Special Education (both state and local funds), private insurance, Robert Wood Johnson Foundation grant funds, mental health state and federal block grant funds, SRS state general funds, and self-pay dollars. DMH/MR, SRS and DOE have worked together to maximize T.XIX and T.IV-E revenues in 40 new projects, thus strengthening and expanding the system of care. At present, there are over 50 children and adolescents in various phases of decategorization through the Therapeutic Case Management Program, and 250 served through new or expanded programs developed with RWJ grant funds and funded through interagency services.

#### 4. Interagency Collaboration

Vermont's approach to systems change has uncompromisingly stressed interagency involvement and responsibility. State and Local Interagency Teams mandated by Act 264 are the formal structures through which interagency coordination and collaboration are achieved. The Local Interagency Teams (LITs) are made up of the Children's Mental Health Program Director from the local CMHC, the SRS district office director, a representative from a local educational agency, parents, and ad hoc members as needed to develop an

individual child's plan and to implement services. The LITs make recommendations for coordinated service plans and funding strategies to implement the plan. If obstacles arise to treatment plan implementation at the local level, cases are referred to the State Interagency Team (SIT), which works on resolving issues of policy and funding at a the state level, as well as on a case-by-case basis. The SIT is staffed by the Interagency Teams Administrator, and includes the Director of the DMH/MR Division of Mental Health and equivalent administrators from SRS, the DOE Special Education Unit and the Secretary's Office of the AHS, and a parent of a child experiencing a severe emotional disturbance. Children's specialists from SRS, DOE and DMH/MR Child, Adolescent and Family Unit, and other ad hoc members are also members of the SIT.

A recent evaluation found significant improvement in interagency collaboration regarding case review, system development, and public education since the creation of the Interagency Teams. The evaluation found teams reporting better coordinated treatment services, more individualized services, more interdisciplinary services, and fewer restrictive placements. The evaluation also found that ratings of the adequacy local service systems improved as a result of interagency team planning and program development activities.

Examples of recent collaboration include the development of a joint plan between DOE and AHS to further reduce out-of-state placements of youth. The plan specifies objectives, strategies, and a timeline for further reducing out-of-state placements. AHS and DOE have also initiated a "Success by Six" project to provide prevention and early intervention services for troubled families. These agencies are also initiating an Early and Periodic Screening, Diagnosis and Treatment (EPSDT) project which is analyzing funding patterns and delivery systems, and will implement procedures to comply with new EPSDT requirements to provide comprehensive early intervention and treatment

services for Medicaid recipients.

Vermont is also developing a coordinated system to make information exchange more efficient among departments. DMH/MR, through the NIMH "Mental Health Statistics Improvement Project", has upgraded its information system and is working cooperatively with SRS and other departments to develop methods to share data without duplicating data collection or entry.

The structures for collaboration built through the NIMH Child and Adolescent Service System Project (CASSP), Act 264 and the RWJ project give Vermont a strong foundation for the critical next step of developing an integrated interagency accounting and management information system.

#### 5. Problem: Inadequate Accounting and Information Management Systems

Vermont has formally agreed on principles for its system of care to guide planning and program development, has established an interagency problem-solving structure for identifying and addressing gaps and needs for individuals in the system, and develops an annual System of Care Plan update with input from Vermont stakeholders. While the principles support a philosophy of individualized care and community-based services, financial and information management procedures need to be developed, refined, and formalized in order to make the planning and administrative structure manageable and flexible.

Efforts to accommodate a flexible funding system within the rigid accounting practices of various state departments and local agencies have resulted in an extremely complex system to process and track individualized budgets and payments (see letters of support). The present system is cumbersome and time-consuming for all involved, including Therapeutic Case Managers, CMHC business managers, state level business managers and accounting staff, and other project staff. Timely assessments of progress and costs are not available, and the system's ability to track costs by source of revenue

and to implement effective long-term financial planning is limited. As a result, state government is taking a cautious approach to expanding services and developing new programs to serve more children and families. The lack of a streamlined integrated accounting and management information system at local and state levels prevents Vermont from expanding its decategorization program to other populations.

A number of obstacles must be addressed in developing a more efficient integrated accounting and management information system. These obstacles include the following:

- \* Diversity of service providers - A number of different providers may be involved with a child's financial plan. There are three state departments, 10 CMHC's, 60 school supervisory unions, and 279 school districts in the state.
- \* Diverse payment mechanisms - Each service system has its own unique payment mechanisms.
- \* Lack of integration - The collection of information is well established vertically within departments and with their local providers, but the system to collect information across departments is not well established.
- \* Lack of unique client identifying number - No common and unique identifying number (or mechanism to reconcile existing identifying numbers) exists to unify state and local systems. A child may have five or more identifying numbers.
- \* Information inefficiently processed - Cost and service provision information is not always readily transferable from local providers to state departments. Therefore some information is processed manually at both the state and local levels.
- \* Information processing periods differ - Each state department has

different information processing and reporting cycles. For example, DOE reports financial information at the end of the calendar year and again at the end of the fiscal year. DMH/MR and SRS report some financial information monthly and other information quarterly, using both state and federal fiscal years.

- \* Lack of administrative staff capacity - DMH/MR has been the lead agency in developing and maintaining communication about services and finances among individualized care providers. However, the individualized care system cannot expand and further decategorize services with the current level of staffing.

Vermont is uniquely poised to address these obstacles. Pathways for collecting and analyzing financial and service information have been developed among DMH/MR, SRS, DOE, and local providers through the Therapeutic Case Management Program. Therapeutic Case Managers provide detailed budget information on service type, frequency, and cost to DMH/MR, and Medicaid (federal and state) and some non-Medicaid costs are tracked. However, this process does not yet achieve a full accounting of other revenue sources which may apply to a given child's service plan.

The current project will provide bridge funding to build the capacity needed to move the Vermont system forward. Given the pressing fiscal crisis in Vermont, state funding is not available for this type of development, piloting, and evaluation.

#### 6. Goals and Objectives

The goal of the current project will be to develop an integrated accounting and management information system for the decategorization of services for children with severe emotional disturbance and their families. The project will be administered by the DMH/MR Division of Mental Health's Child, Adolescent and Family Unit in cooperation with SRS and DOE. The

accounting and management information system will be developed for use at the state level in each of the three participating departments, and as well as local offices (see section C, Approach for detailed objectives).

#### B. RESULTS AND BENEFITS EXPECTED

This project will provide an opportunity to make a significant breakthrough in expanding decategorization. By integrating and streamlining accounting systems, decategorization of service funding will be accomplished more efficiently, and can be expanded to all children and adolescents in need of interagency services.

Vermont will perform the technical work of developing the financial mechanisms which support decategorization, with broad applicability to other systems across the nation. As states involved with decategorization projects are learning, documentation and funding requirements across multiple federal and state funding sources are very complex because the goal of individualized, flexible services is typically not supported by current categorical funding streams. States and localities are faced with "retrofitting" their information and financing systems, or with adding new layers to these systems, in order to meet multiple and inconsistent requirements. Vermont proposes to develop an accounting and management information system which is specifically designed to support an individualized case planning approach, while minimizing duplication of data collection and reporting.

Unlike states which have used a single appropriation of general funds for decategorization services, Vermont's model relies on generic federal and state funding sources. Vermont's focus on the funding streams which are available to all state will make our accounting management information system replicable nationally.

Vermont is uniquely qualified to take the lead in developing an

accounting and management information system, given its national leadership in the effort to build a decategorized comprehensive system of services. The state has an excellent ongoing relationship with University of Vermont researchers, as well as regular participation in national training and dissemination efforts (e.g., NIMH's CASSP). Vermont has earned a national reputation as a leader in developing individualized, community-based care, perhaps best evidenced by a long history of consultation with other states. Finally, Vermont approaches decategorization of services as a statewide project rather than a local pilot. The accounting management information system developed through this project will be applicable at both local and state levels, thus serving as a unique pilot test of an integrated statewide system.

The proposed system would integrate information currently being gathered by each of the three state departments and by the local providers and integrate it into a single source. A streamlined accounting and management information system can be expected to significantly reduce staff time and costs, thus reducing administrative overhead at both the state and local levels. Such a system will focus a larger percentage of organizational energy on direct services, and bring the provider and state systems up to the higher standards of the modern health care industry. Moreover, an accessible integrated data base will allow for flexible and effective management practices by providing timely financial information.

The project will develop an integrated accounting and management information system based on a common database used by local providers. The database will be collated at the state level to generate reports by child, by provider, by funding source, and by state department. Characteristics of the system will include: timely billing and reporting from providers; timely funds transfers between state departments; and complete and accurate data for maximizing claims to federal funding sources. Information collected will then



be used to: generate reimbursements for local providers; compile various expenditures by state and federal sources; generate interdepartmental transfers that support blended funds; and support basic performance analyses for the state budgeting system.





Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## MEMORANDUM

**To:** Members, Joint Fiscal Committee

**From:** Douglas J. Williams, Deputy Fiscal Officer

**Date:** October 28, 1992

**Subj:** JFO # 1535; Department of Mental Health;  
Health and Human Services Grant

The U.S. Department of Health and Human Services has awarded a \$135,000 grant to the Vermont Department of Mental Health. The purpose of the grant is to improve service delivery to severely emotionally disturbed children who are transitioning to adulthood. Special emphasis will be placed on suicide prevention.

The project, known as the **Vermont Transition Initiative**, is anticipated to be a three year demonstration project which could receive a total of \$405,000 in federal funds. However, in fiscal year 1993, the Department of Mental Health is requesting the authority to expend \$101,250. Funding for subsequent years will be included in the Department's annual budget request.

There is no requirement to match the grant with state dollars and no new state government positions are being requested. The Department of Mental Health will be entering into several personal services contracts and the Commissioner has certified that the Department will comply with current contract bid guidelines. Depending upon the success of this demonstration project, there is the potential for a future obligation of general funds.

Recommendation: This grant was just awarded on September 30, 1992. In order to keep this initiative "on track" we recommend acceptance of this grant by the Joint Fiscal Committee. Specifically, we recommend that the following appropriations within the Department of Mental Health be increased by the amount of federal funds shown below:

<u>Appropriation</u>	<u>Amount</u>
0103520201	\$22,725
0103520202	21,525
0103520206	57,000



OCT 23 1992

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

JFO # 1535

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved acceptance of a \$135,000 grant from the U.S. Department of Health and Human Services, Alcohol, Drug Abuse and Mental Health Administration, to the Vermont Department of Mental Health and Mental Retardation.

Joint Fiscal Committee approval is sought for \$101,250 in fiscal year 1993. Subsequent fiscal years will be budgeted.

The purpose of the grant is to establish an interagency capacity at the local level to assist youths experiencing severe emotional disturbances to make the transition to adulthood, and to insure they will receive the appropriate support services they will need as young adults. Suicide prevention will be an area of special emphasis of the project.

Under the existing structure, there are systems in place to provide support to children, and separate systems of support are available for adults; however, there currently are no specific links between the two systems. Thus, as these troubled youths/young adults are leaving the security and relatively service-rich environment of the school system, they are left without the supports they need as they attempt to deal with the new stresses and responsibilities of young adulthood. This project is designed to build a bridge between the two systems to assure the transition is successful. The project will emphasize a suicide prevention component.

The funds requested are for the first year of an anticipated three year project. There is no state match required, although the department is allocating existing, budgeted staff resources to the project.

The grant will provide funds for additional department staff time, and the function of the Vermont Suicide Prevention Coordinator will be implemented through a contractual arrangement. The capacity at the local level will also be developed through contractual arrangements with the Community Mental Health Centers.

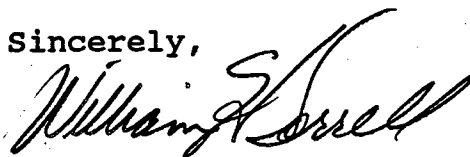
Senator Mary Just Skinner  
October 21, 1992  
Page 2

Selected pages of the grant are provided for your review; a complete copy of the grant is available from the Department of Mental Health and Mental Retardation.

The grant was awarded September 26, 1992.

Please feel free to call if you have any questions.

Sincerely,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS:njk  
Attachment

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

FORM AA-1  
(Rev. 9.90)

1. Agency: Human Services
2. Department: Mental Health and Mental Retardation
3. Program:
4. Legal Title of Grant: CASSP-Type II: Vt Transition Initiative
5. Federal Catalog No.: 93.125
6. Grantor and Office Address: Dept. of Health and Human Services  
Alcohol, Drug Abuse and Mental Health  
Administration  
NIMH  
5600 Fishers Lane  
Rockville, Maryland 20857

7. Grant Period: From: 09/30/92 To: 08/31/93

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

The project goal is to support the development of local interagency capacity to effectively assist youth experiencing severe emotional disturbance to transition to adulthood, and to connect with appropriate services to meet their needs as young adults. An area of special emphasis will be the development of local approaches to youth suicide prevention.

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

None

10. Budget Information:	<u>(1st State FY)</u> FY 1993	<u>(2nd State FY)</u> FY 1994	<u>(3rd State FY)</u> FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$ 22,725	\$ 7,575	\$
Operating Expenses	\$ 21,525	\$ 7,175	\$
Other	\$ 57,000	\$ 19,000	\$
<b>TOTAL</b>	<b>\$ 101,250</b>	<b>\$ 33,750</b>	<b>\$</b>
<b>REVENUES:</b>			
State Funds			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
Federal Funds:			
(Direct Costs)	\$ 96,187	\$ 32,062	\$
(Statewide Indirect)	\$ 2,532	\$ 844	\$
(Department Indirect)	\$ 2,531	\$ 844	\$
Other Funds:			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 101,250</b>	<b>\$ 33,750</b>	<b>\$</b>

Grant will be allocated to these	<u>Appropriation Nos.</u>	<u>Amounts</u>
Appropriation expenditure accounts:	0103520201	\$22,725
	0103520202	\$21,525
	0103520206	\$57,000

11. Will grant monies be spent by one or more personal service contract?  
 YES       NO  
 If YES, signature of appointing authority here indicates intent to follow current guidelines on bidding.

x W. Watson

12a. Please list any requested Limited Service positions:

Titles	Number of Positions
--------	---------------------

NONE

12b. Equipment and space for these positions:

- Is presently available.
  - Can be obtained with available funds.
- N/A

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.

W. Watson      10/19/92  
 (Signature)      (Date)  
 \_\_\_\_\_  
 (Title)

14. Action by Governor

- Approved
- Rejected

Phil Dan      10/24/92  
 (Signature)      (Date)

15. Secretary of Administration

- Request to JFO
- Information to JFO

William K. Russell      10/22/92  
 (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)



09/26/92

93.125

PUBLIC HEALTH SERVICE
Alcohol, Drug Abuse, and Mental Health Administration

NOTICE OF GRANT AWARD
AUTHORIZATION (Legislation/Regulation)

42 USC 241 42CF2 PART 52

1. SUPERSEDES AWARD NOTICE dated / /
except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.
4. GRANT NO. 1 H87 MH50895-01
5. ADMINISTRATIVE CODES MH-H87 / CS
6. PROJECT PERIOD From 09/30/92 Through 08/31/95
7. BUDGET PERIOD From 09/30/92 Through 08/31/93

3. TITLE OF PROJECT (OR PROGRAM) (Limit to 53 spaces)
CASSP-TYPE II: VERMONT TRANSITION INITIATIVE

2. GRANTEE NAME AND ADDRESS
VERMONT DEPT MENTAL MLTH/MEN RETARDATION
103 SOUTH MAIN STREET
WASHINGTON COUNTY
WATERBURY, VERMONT 05671-1601
ATTN: WILLIAM A DALTON

10. DIRECTOR OF PROJECT (PROGRAM OR CENTER DIRECTOR, COORDINATOR OR PRINCIPAL INVESTIGATOR)
DE CAROLIS, GARY
DEPT OF MENTAL HLTH/MED RETARD
103 SOUTH MAIN STREET
WATERBURY, VERMONT 05671-1601

11. APPROVED BUDGET (Excludes PHS Direct Assistance)

Table with 2 columns: Description and Amount. Includes rows for Personal Service, Fringe Benefits, Consultants, Travel, Equipment, Supplies, Contractual, Patient Care, Construction, Trainee Costs, Other, TOTAL DIRECT COSTS, Indirect Costs, TOTAL APPROVED BUDGET, Federal Share, and Non-Federal Share.

12. AWARD COMPUTATION FOR GRANT

Table with 2 columns: Description and Amount. Includes rows for Amount of PHS Financial Assistance, Less Unobligated Balance From Prior Budget Periods, Less Cumulative Prior Award(s) This Budget Period, and AMOUNT OF THIS ACTION.

13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO THE AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT):

Table with 4 columns: BUDGET YEAR, TOTAL DIRECT COSTS, BUDGET YEAR, TOTAL DIRECT COSTS. Includes rows for 02, 03, and N/A.

14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH):

Table with 2 columns: Description and Amount. Includes rows for Personal Service, Travel, Vaccine, Other, and TOTAL DIRECT ASSISTANCE.

15. PROGRAM INCOME SUBJECT TO 45 CFR 74.45 SHALL BE:

a. Used to further the objectives of the legislation under which the grant was made.
b. Deducted from total project costs for the purpose of determining the net costs on which the Federal share of costs shall be based.
c. Other-See Special Conditions
d. X N/A

16. THIS GRANT IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:

- a. The grant program legislation cited above.
b. The grant program regulation cited above.
c. This award notice including terms and conditions, if any, noted below under Remarks.
e. PHS Grants Policy Statement in effect as of the beginning date of the budget period.
f. 45 CFR Part 74, and 45 CFR Part 92.
In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail.
Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS: (Other Terms and Conditions Attached: Yes No)
1/VERMONT STATEWIDE COST ALLOCATION PLAN.

AGENCY OFFICIAL [Signature] BRUCE L. RINGLER
CHIEF, GRANTS MANAGEMENT BRANCH, NIMH

17. LIST NO. OBJ. CLASS. 41.5A 18. CRS - EIN 1036000274A1 19. ORGANIZATION DESCRIPTORS:
Table with 5 columns: FY-CAN, DOCUMENT NO., SECONDARY ADM. CODE, AMT. ACTION FIN. ASST., AMT. ACTION DIR. ASST.



## BUDGET INFORMATION — Non-Construction Programs

## SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. CASSP MH-92-05	93.125	\$	\$	\$ 135,000	\$	\$ 135,000
2.						
3.						
4.						
5. TOTALS		\$	\$	\$ 135,000	\$	\$ 135,000

## SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$ 30,300
b. Fringe Benefits					
c. Travel					7,000
d. Equipment					
e. Supplies					
f. Contractual					76,000
g. Construction					
h. Other					14,950
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					6,750
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$ 135,000
7. Program Income	\$	\$	\$	\$	\$ none

VERMONT TRANSITION INITIATIVE:  
LOCAL SYSTEM DEVELOPMENT PROJECT

PROJECT ABSTRACT

The project goal is to support the development of local interagency capacity to effectively assist youth experiencing severe emotional disturbance to transition to adulthood, and to connect with appropriate services to meet their needs as young adults. An area of special emphasis will be the development of local approaches to youth suicide prevention.

Project activities include:

o Establish the Vermont Transition Resource Center to serve as an information clearinghouse, provide technical assistance, and coordinate state-level activities, including advocacy for system improvements and several conferences.

o Contract with Community Mental Health Centers to enable Children's Services Coordinators to serve as "Local Transition Specialists". They will work with the currently operating Local Interagency Teams to: assess needs and resources; initiate and monitor new linkages between child and adult services; and design and implement new approaches to planning, support and advocacy for youth in transition. Parent and youth involvement will be actively sought.

o Contract with CMHCs for designated staff to serve as "Local Suicide Prevention Specialists". They will receive training to enable them to work with local schools to help them develop suicide prevention knowledge, curricula, and protocols. In addition, they will lead formation of local Youth Suicide Prevention Task Forces, which will develop and implement Youth Suicide Prevention Action plans in the community.

An implementation evaluation will assess impact and effectiveness of all activities.

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. (see Appendix H for explanation of other support)	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. 93,125	\$ 135,000	\$ 135,000	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 -19)	\$ 135,000	\$ 135,000	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges as per State of Vermont, Agency of Human Service Cost Allocation Plan approved 2/14/89 by Division of Cost Allocation, DHHS, Room 1512, JFK Federal Bldg., Boston, MA 02203
23. Remarks	

Budget Detail: YEAR 1

6a. PERSONNEL:

1. State Staff Contribution:

	<u>% Time</u>	<u>Total Costs</u>
Project Manager/Deputy Commissioner	10%	in kind
Interagency Teams Administrator	5%	in kind
Chief of Research and Statistics	5%	in kind

2. Project Staff:

Transition Initiative Project Manager (20 hours/week @ \$18.00/hour)	50%	\$18,700
Youth Suicide Prevention Coordinator (10 hours/week @ \$18.00/hour; contributed as in kind in Year 1)	25%	in kind
Resource Center Administrative Assistant (15 hours/week @ \$11.00/hour)	37.5%	8,600
Project Evaluation Consultant (10 days @ \$300/day)		3,000

Subtotal Personnel: \$30,300

6c. TRAVEL:

In-state travel (@ \$.25/mile)	\$2,000
Out-of-state travel	<u>5,000</u>

Subtotal Travel: \$7,000

6f. CONTRACTUAL:

Development and implementation of Transition Component: 12 catchment areas @ \$4,000 each: \$48,000

Youth Transition Focus Groups/Parent Advisory Groups: 12 catchment areas @ \$1,000 each: 12,000

Suicide Prevention Training/Coordination activities: 4 Phase 1 catchment areas @ \$4,000 each: 16,000

Subtotal Contractual: \$76,000

6h. OTHER:

Resource Center materials, supplies, postage, photocopying	\$5,500
Transition System Development Training Workshop	3,500
Transition System Development Statewide Conference	5,000
Youth Suicide Prevention Training Workshop	<u>950</u>

Subtotal Other: \$14,950

TOTAL DIRECT COSTS: \$128,250

6j. INDIRECT (@ 5% grant total) \$6,750

TOTAL COSTS: \$135,000

## Budget Detail: YEAR 2

## 6a. PERSONNEL:

1. State Staff Contribution:

	<u>% Time</u>	<u>Total Costs</u>
Project Manager/Deputy Commissioner	10%	in kind
Interagency Teams Administrator	5%	in kind
Chief of Research and Statistics	5%	in kind

2. Project Staff:

Transition Initiative Project Manager (20 hours/week @ \$18.00/hour)	50%	\$18,700
Youth Suicide Prevention Coordinator (10 hours/week @ \$18.00/hour)	25%	9,400
Resource Center Administrative Assistant (15 hours/week @ \$11.00/hour)	37.5%	8,600
Project Evaluation Consultant (7 days @ \$300/day)		2,100

Subtotal Personnel:		\$38,800
---------------------	--	----------

## 6c. TRAVEL:

In-state travel (@ \$.25/mile)	\$1,450
Out-of-state travel	<u>5,000</u>

Subtotal Travel:	\$6,450
------------------	---------

## 6f. CONTRACTUAL:

Implementation of Transition Component/Suicide Prevention Planning: 12 catchment areas @ \$4,000 each:	\$48,000
--	----------

Youth Transition Focus Groups/Parent Advisory Groups: 12 catchment areas @ \$500 each:	6,000
---	-------

Suicide Prevention Training/Coordination activities: 4 Phase 1 catchment areas @ \$2,000 each:	8,000
---	-------

Begin Youth Suicide Prevention Planning activities: 8 Phase 2 catchment areas @ \$1,500 each:	<u>12,000</u>
--	---------------

Subtotal Contractual:	\$74,000
-----------------------	----------

## 6h. OTHER:

Resource Center materials, supplies, postage, photocopying	\$3,000
---	---------

Youth Suicide Prevention Statewide Conference	5,000
---	-------

Transition Project Regional Workshops (collaborate with State Department of Education)	<u>1,000</u>
---	--------------

Subtotal Other:	\$9,000
-----------------	---------

TOTAL DIRECT COSTS:	\$128,250
---------------------	-----------

6j. INDIRECT (@ 5% grant total)	\$6,750
---------------------------------	---------

TOTAL COSTS:	\$135,000
--------------	-----------

Budget Detail: YEAR 3

6a. PERSONNEL:

1. State Staff Contribution:

	<u>% Time</u>	<u>Total Costs</u>
Project Manager/Deputy Commissioner	10%	in kind
Interagency Teams Administrator	5%	in kind
Chief of Research and Statistics	5%	in kind

2. Project Staff:

Transition Initiative Project Manager (20 hours/week @ \$19.00/hour)	50%	\$19,800
Youth Suicide Prevention Coordinator (10 hours/week @ \$19.00/hour)	25%	9,900
Resource Center Administrative Assistant (15 hours/week @ \$11.70/hour)	37.5%	9,100
Project Evaluation Consultant (10 days @ \$300/day)		2,100

Subtotal Personnel:	\$40,900
---------------------	----------

6c. TRAVEL:

In-state travel (@ \$.25/mile)	\$1,350
Out-of-state travel	4,000

Subtotal Travel:	\$5,350
------------------	---------

6f. CONTRACTUAL:

Implementation of Transition Component/monitor Task Force activities: 12 catchment areas @ \$3,500 each:	\$42,000
--	----------

Youth Transition Focus Groups/Parent Advisory Groups: 12 catchment areas @ \$500 each:	6,000
---	-------

Suicide Prevention Training/Coordination activities: 8 Phase 2 catchment areas @ \$4,000 each:	32,000
---	--------

Subtotal Contractual:	\$80,000
-----------------------	----------

6h. OTHER:

Resource Center materials, supplies, postage, photocopying	\$2,000
---	---------

Subtotal Other:	\$2,000
-----------------	---------

TOTAL DIRECT COSTS:	\$128,250
---------------------	-----------

6j. INDIRECT (@ 5% grant total)	\$6,750
---------------------------------	---------

TOTAL COSTS:	\$135,000
--------------	-----------



VERMONT TRANSITION INITIATIVE:  
LOCAL SYSTEM DEVELOPMENT PROJECT

ORGANIZATIONAL CONTEXT

State and Local Structure and Role of Mental Health Services

The Vermont Division of Mental Health Child, Adolescent, and Family Unit will be responsible for administering this project. The overall role of the Unit is to provide a centralized structure to plan and coordinate the development of a statewide network of community-based services for children and adolescents with a severe emotional disturbance and their families. The Division of Mental Health is one of two divisions within the Department of Mental Health and Mental Retardation (DMH/MR). DMH/MR is located within the Agency of Human Services, which serves a coordination and planning function for the agencies and offices within it.

The Child, Adolescent and Family Unit is directed by the Deputy Commissioner of DMH/MR, and has four branches: the Office of Individualized Services; the Office of Program Development; the Office of Interagency Teams Administration; and Special Projects and Services. This project will operate out of the Special Projects and Services Branch (see Organization Chart, Appendix A).

The Child, Adolescent and Family Unit contracts with Vermont's Community Mental Health Centers (CMHCs), which provide community-based services for the 12 catchment areas they serve. Each CMHC has a Children's Services Program, headed by Children's Program Directors, who are skilled administrators and clinicians. Among other responsibilities, they lead the Local Interagency Teams, Vermont's community networking structures for local system planning and coordination, which will play a major role in this project. The organization and function of the Local Interagency Teams are discussed in the context of the discussion of Vermont's System of Care Plan, beginning on page 2.

Role of Other Human Services Agencies

The Department of Social and Rehabilitative Services (SRS) is the other principal child-serving department within the Agency of Human Services. SRS provides services to approximately 1200 children and adolescents who are in state custody; approximately 75% of these meet the Child and Adolescent Service Systems Project (CASSP) definition of severe emotional disturbance. Many of these are older adolescents who present among the greatest challenges for SRS, as they "age out" of children's services and face a lack of preparation and services to meet their needs as young adults.

The Department of Education (DOE) provides special education services to children and adolescents who have a severe emotional disturbance and are eligible for services through PL 94-142. These youth are primarily served in local schools, with less than one quarter in regional special education programs.

DMH/MR has established strong interagency partnerships with the Departments of SRS and Education. A cooperative agreement encouraging coordinated and complementary services was signed by the three departments in late 1987. Interagency coordination was codified by the Vermont legislature in 1988 through the enactment of Act 264, as described in the discussion of Vermont's System of Care Plan below.

Target Population

This project will serve two subsets of transition-age youth in Vermont. Transition age is being defined as ages 14 through 21, which is a commonly accepted age range for planning and implementing transition services.

Vermont's Act 264, which defines "a child or adolescent with a severe emotional disturbance", includes in the definition "youth under 22 years of age and eligible for special education under state or federal law" (see Appendix B).

The target population for development of a system of transition services is transition-aged youth experiencing a severe emotional disturbance, as defined by Vermont Act 264. Vermont's population of 563,000 includes approximately 69,000 individuals aged 14 through 21 (based on 1990 Vermont Department of Health census data). A reputable review of national prevalence research (Knitzer, 1982) concluded that a conservative estimate of youth who are experiencing a severe emotional disturbance is five percent nationwide. In Vermont, this would translate to approximately 3,450 transition-aged youth experiencing severe emotional disturbance.

The target population for the youth suicide prevention initiative is transition-age youth at risk of attempting suicide. Many of these youth fit Vermont's definition of severe emotional disturbance. Those who take the extreme measure of attempting suicide are by definition experiencing severe emotional disturbance, which includes, according to the Act 264 definition, "an impairment of short duration and high severity". The 1988-1990 three-year average for suicides of 14-21 year olds in Vermont was 9.3 (Vermont Department of Health). Conservative estimates put the number of young suicide attempters at 100 to 200 times the number of those who complete the act (Cantor, 1987). Thus, it is estimated that approximately 930 to 1860 transition-age individuals attempt suicide in Vermont annually.

Vermont's population is over 98% white. By federal standards, Vermont is 100% rural; certain areas, especially the four most northern counties making up Vermont's "Northeast Kingdom", are particularly isolated and quite impoverished, with many residents having little access to mental health or other human services. Vermonters in general, and residents of the Northeast Kingdom in particular, are known for their independence, self-reliance, and reluctance to seek help or admit need for services. These unique geographical and socioeconomic characteristics must be kept in mind when designing services to reach youth and families.

## STATUS OF SYSTEM OF CARE DEVELOPMENT

### Core Values of the Vermont System of Care

Vermont's System of Care Plan, which drives statewide development and provision of services for children and youth experiencing severe emotional disturbances and their families, is based on two core values. The first is that a system of care must be youth-centered. This means a commitment to adapting services to meet the needs of youth and families, rather than expecting them to conform to pre-existing service configurations. It also means providing services in a manner which enhances the personal dignity of youth and families, respects their wishes and goals, and creates opportunities for involvement and self-determination in planning and delivery of services (Stroul and Friedman, 1986).

The second core value is that a system of care should be community-based. Priority is given to development and use of community-based treatment and services providing less restrictive, more normative settings within or close to youths' home communities, as opposed to traditional institutional settings far from home. Management, control, and coordination of services should also occur at the community level, in cooperation with state-level agencies.

Based on these two core values, Vermont has developed ten Guiding Principles for a System of Care, as well as nine Guiding Principles for Model Programs (see Appendix C).

### The Vermont System of Care Plan

The State of Vermont is in the process of implementing the Vermont System of Care Plan, the result of five years of extensive statewide planning efforts spearheaded by Vermont CASSP. Implementation of the System of Care Plan and an annual update were codified into Vermont State law by the passage of Act 264 in 1988.

Act 264 requires development and implementation of a comprehensive, coordinated, community-based system of care for children and adolescents who are experiencing a severe emotional disturbance and their families. The key coordinating mechanisms are the Local Interagency Teams and State Interagency Team established in 1985 under the auspices of Vermont CASSP, and mandated by Act 264. The 12 Local Interagency Teams, one in each catchment area (see Appendix D), are made up of the Children's Mental Health Program Director from each CMHC, as well as local representatives from SRS, DOE, and the Agency of Human Services, a parent, and ad hoc members as needed to help review an individual child's casework cooperatively together to plan and implement services.

The Local Interagency Teams make recommendations for individual children's coordinated service plans, service delivery options, and funding strategies to implement the plan. If obstacles arise to treatment plan implementation at the local level, cases are referred to the State Interagency Team, which works on resolving issues of policy and funding both for particular cases and system-wide. The State Interagency Team is staffed by the State Interagency Teams Administrator, and includes the Director of the Division of Mental Health, and equivalent administrators from SRS, DOE Special Education Unit, and the Agency of Human Services. Also included are a representative of the Child, Adolescent and Family Unit, as well as a parent of a child or adolescent experiencing severe emotional disturbance, and other ad hoc members.

The Plan also insures and maximizes parent involvement in planning and implementation of services and creates an Act 264 Advisory Board, made up of parents, advocates, and professionals.

### Progress Toward Achieving Full Implementation of the System of Care Plan

Since the Vermont CASSP initiative was first funded in 1985, Vermont has made great strides toward creating a system of community-based services within the least restrictive, most normal environment that is clinically appropriate. The chart in Appendix E shows the current status of child and adolescent services in Vermont's 12 catchment areas.

In 1991 an evaluation of Local and State Interagency Teams was conducted. Results demonstrate that they are having a significant positive impact in increased interagency collaboration regarding their three priority activities: case review of individual children, system development, and public education about emotional disturbance (see Appendix, F).

### Gaps in Local Systems of Care, Status of Activities to Address the Gaps, and Priorities for Local System Development

The Vermont System of Care Plan, and the CASSP planning efforts that preceded it, have been a blueprint for change in interagency relationships and approaches to service delivery. Despite impressive gains, areas of deficiency remain. Obtaining resources to address these needs in the current economic environment remains a formidable obstacle.

### TRANSITION SERVICES

The lack of services to help adolescents with severe emotional disturbance transition to young adulthood has been identified as a major problem. It was one of the two most frequent systems issues brought to the

attention of the State Interagency Team by Local Interagency Teams across the State in 1991. It was also identified by the Act 264 Advisory Board as one of three areas of unmet need which should receive priority in 1992.

As youth reach late adolescence, they become ineligible for most children's services. Even if they do qualify as children through age 22, as in the case of mental health services, the services are primarily geared for significantly younger children. Yet the adult mental health service system is focused almost exclusively on serving individuals in their mid-twenties and beyond with histories of severe and long-lasting mental illness. And few mainstream adult services provide special efforts to accommodate young adults experiencing severe emotional disturbances. Thus, as they are leaving the security and relatively service-rich environment of the school system, young adults experiencing severe emotional disturbance are left without the supports they need to deal with the stresses and new responsibilities of young adulthood.

This lack of appropriate services is compounded by the lack of attention paid in Vermont to preparing younger adolescents experiencing severe emotional disturbances for the transition period. A coordinated effort to begin the process of preparing young people experiencing severe emotional disturbances for adulthood should begin at age 14 or 15, enabling a strong foundation of skills and expectations to be built and a gradual transition to occur.

The 1990 Individuals with Disabilities Education Act (IDEA) mandates attention be devoted to transition issues for students with disabilities enrolled in special education programs, primarily through the Individualized Education Plans. While this clearly has service implications for students experiencing severe emotional disturbance, they are only a small proportion of all students with disabilities (nine percent, according to U.S. Department of Education 1988 statistics). Thus it is unlikely that most school districts possess the resources and expertise to address the multiple community support, social, residential, vocational, and other needs of transition-age youth experiencing severe emotional disturbance. Furthermore, the IDEA planning mandates do not apply to those with disabilities who have dropped out of school or are not enrolled in special education programs.

The Vermont Department of Education (DOE) and the Division of Vocational Rehabilitation (DVR) are completing the first year of a major five-year transition initiative, Vermont's Transition System Change Project. Funded by a federal Department of Education grant, the goal of this project is to strengthen state and local interagency relationships in order to enhance planning and delivery of transition services across schools and adult service agencies. Planning is primarily based in the schools; the two highest priorities are education and employment, with improving residential opportunities and participation in community life addressed to a lesser degree.

Mental health centers are one of the resources targeted for interagency coordination efforts. Unfortunately, being written from an education and vocational rehabilitation perspective, the grant provides no resources to CMHCs to enable them to carry out the kind of networking activities needed to create a strong coordinated transition effort. Thus CMHCs have been limited to a minimal role in this potentially very significant statewide project.

Another, lesser attempt to encourage interagency transition planning is the 1991 Interagency Agreement on Transition to Adulthood for Children in the State's Custody. Signed by four departments (including DMH/MR) and the Agency of Human Services, the Agreement commits each agency to cooperative planning and resource sharing. The Interagency Agreement is a positive step, but its impact is more symbolic than actual, as it carries no funding. In fact, adolescents transitioning out of state custody have recently been made more vulnerable. Until 1992, 19-21 year olds who were in the custody of the state through age 18 and eligible for special education could still receive

state-funded social services, if deemed necessary. Current economic constraints resulted in a new ruling that ends social service eligibility for all youth at age 19.

## YOUTH SUICIDE PREVENTION

A related gap in services that has had alarming consequences in Vermont is the lack of attention paid to suicide prevention among adolescents and young adults. The rates of suicide among young people have been increasing nationwide, and Vermont is no exception. At present the youth suicide rate in Vermont is 8th in the nation (14.6 per 100,000, based on Center For Disease Control statistics). Paralleling the rise in completed suicide figures has been a skyrocketing increase in the number of adolescents attempting suicide.

In four Vermont counties, the Centers for Disease Control (CDC) reported that the 1980-1988 overall suicide rate was at the 90th percentile or above nationally (see Appendix D); in an additional five counties, the rate was between the 75th and 89th percentiles. In every age category, the rates of suicide in these counties are higher than the national average.

In 1988, the Lieutenant Governor's Task Force on Youth Suicide Prevention in Vermont published a report recommending a broad range of primary, secondary, and tertiary suicide prevention training and other activities, primarily to be carried out through the high schools (see Appendix G). To assist in developing this capacity, the report proposed establishment of a Vermont Suicide Prevention Resource Center, to provide technical expertise to schools, parents, and interested community members. With the state in dire financial straits, adequate funding has not been forthcoming, and no systematic implementation of these recommendations has occurred.

Since 1990, Vermont has had a modest suicide prevention effort funded through federal Drug-Free Schools monies. Staffed only by a quarter-time director, it is housed at DMH/MR, with the program under the auspices of the Vermont Prevention Institute. A primary focus of the suicide prevention effort has been a pilot project to organize Suicide Prevention Task Forces in the four counties with the highest suicide rates. In Caledonia and Essex Counties, neighboring sparsely-populated counties in Vermont's Northeast Kingdom, one Suicide Prevention Task Force has been organized to serve both counties, which also share a mental health center. The Task Force has recently developed strategies for youth suicide prevention. The other two counties (Washington and Orange) have organized Task Forces, and are in the early stages of planning community approaches to youth suicide prevention.

Federal funding for the quarter-time Youth Suicide Prevention Director continues only for another year, and there is no funding for local strategy implementation. Funding for this project would enable continued building of state-level capacity to assist local communities in organizing youth suicide prevention efforts; most important, it would provide funds directly to CMHCs to create community and school-based youth suicide prevention capacity and networks which will have an impact long after federal funding ceases.

## PROJECT APPROACH

### Project Focus and Rationale

The project will focus on building local capacity statewide to help youth experiencing severe emotional disturbance successfully transition from childhood and children's services to adult responsibilities, expectations, and service systems. The project evaluation will assess the effectiveness of project initiatives.

Transition services are an identified area of deficiency and need in Vermont's System of Care. While the Local Interagency Teams serve to ensure that interagency collaboration occurs within the children and youth service

systems, transition services require yet another area of collaboration -- creating a "bridge" between child and adult service systems (Will, 1984). We must create new networks to support Vermont's young people experiencing severe emotional disturbances as they cross their personal bridges into adulthood. With the recent signing of the Interagency Agreement on Transition to Adulthood, and the new DOE/DVR Transition project, the time is ripe for an infusion of funds to strengthen this weak link in Vermont's System of Care.

Youth Suicide Prevention is a specific recognized area of need for transition-age youth. Vermont has begun to develop expertise at the state level and to build local resources. With additional funding, the state could capitalize on the groundwork that has occurred and immediately begin development of a strong locally-administered suicide prevention effort statewide.

### Goals and Objectives

The overriding project goal is to support the development of local capacity and networks to effectively assist adolescents experiencing severe emotional disturbance and at risk of severe emotional disturbance to transition to adulthood, and to connect with the appropriate services to meet their needs as young adults. An area of special emphasis will be the development of local youth suicide prevention mechanisms and initiatives.

The Vermont Transition Services Local Systems Implementation Demonstration Project will accomplish the following objectives in order to realize the overall project goal:

1) Establish and operate the Vermont Transition Resource Center to provide resources and expertise for local transition initiatives, including youth suicide prevention, and conduct state-level system coordination activities. This objective involves development and operation of a modestly funded Vermont Transition Resource Center, directed by a Transition Initiative Project Manager, with a Youth Suicide Prevention Coordinator and an Administrative Assistant. The Resource Center will 1) collect and disseminate materials; 2) provide training workshops and training curricula; 3) provide technical assistance; and 4) sponsor statewide conferences. The Transition Initiative Project Manager will work closely with the State Interagency Team, the DOE/DVR Transition Project, and other state entities to address the need for state-level system changes and coordinate efforts with other state agencies and initiatives.

2) Strategically plan and implement community-based transition mechanisms and strategies statewide. The project will fund CMHC Children's Mental Health Program Director to serve as Transition Service Coordinators, working through their Local Interagency Team. Activities will ensure that by project's end, transition planning from an interagency and family-focused perspective will be an integral part of treatment planning throughout Vermont. Ongoing local linkages will be in place between CMHC Children's Mental Health Services and adult mental health, schools and other service systems. Youth and family involvement in development of transition policies and practices will be well-established. The appropriate CMHC staff and all Local Interagency Teams will have received training in transition approaches. As a result, those experiencing severe emotional disturbances will experience a markedly smoother and more successful transition to adult services and the responsibilities and challenges of young adulthood.

3) Develop and implement community-based youth suicide prevention mechanisms and strategies statewide. This objective involves provision of funding and technical assistance to the 12 catchment areas on an incremental basis over the three-year grant period. Phase 1 catchment areas are those

schedule will be, if any (which will not exceed the cost of copying and mailing); the operation of a lending system for videotapes and books; and other issues.

A referral system will be developed between the Resource Center and the DOE/DVR Transition Project, to avoid duplication of effort and enable access to a broader range of materials.

Task 3: Sponsor statewide transition and youth suicide prevention workshops and conferences. The Resource Center will plan and coordinate the following workshops and conferences:

o Year 1, Transition System Development Training Workshop, an intensive training session for Local Transition Specialists and other Local Interagency Team members, will lay the groundwork for local transition system development. The workshop will provide an overview of transition needs for the target population; present approaches to ensuring that transition issues are addressed by CMHC case managers and therapists; discuss models for including parents and children in transition planning (individually and system-wide); present strategies for collaboration with other agencies for local system development; and identify common system barriers and how to overcome them. Topics identified as local priorities will be addressed. The workshop will be led by the Transition Initiative Project Manager. A nationally-respected leader on developing transition systems for the target population will be used as a consultant and presenter. Presenters from the DOE/DVR Transition Services Project and other relevant agencies may also be included.

o Year 1, Interagency Transition Systems Development Statewide Conference, a conference directed at sharing information and building coalitions will provide impetus and guidance to the creation of cross-discipline, cross-agency opportunities to meet the needs of youth with severe emotional disturbance in transition. The conference agenda will be based on locally-identified and state-wide needs. DOE/DVR Transition Project staff will be consulted in conference planning, and will be included on the agenda. The conference will be directed at a fairly broad audience, including CMHCs, schools, institutes of higher education, social services, employment programs, residential providers, and others.

o Year 1, Youth Suicide Prevention Training and Systems Development Workshop will be held for designated Youth Suicide Prevention Coordinators from the four Phase 1 catchment areas. This workshop, led by the Youth Suicide Prevention Initiative Director, will train Local Youth Suicide Prevention Specialists in Youth Suicide Prevention techniques and prepare them to work with schools to develop a full range of school-based youth suicide prevention approaches, including teacher, staff and student training, developing protocols in case of suicide threats or actual suicides, peer support activities, identification of "at-risk" students, and other activities.

o Year 2, collaborate on two DOE/DVR Transition Project Regional Workshops, technical assistance workshops sponsored by the DOE/DVR Transition Project four times per year in each of four state regions. Based on requests from Local Transition Specialists, other Local Interagency Team members, local needs assessments, and input from DOE/DVR Transition Project training staff, the Transition Initiative Project Manager will partially fund and be involved in the planning process for two technical assistance workshops focused on building transition services for youth experiencing severe emotional disturbance from the perspective of the DOE/DVR Transition Project.

o Year 2, Vermont Youth Suicide Prevention Conference, a statewide technical

four counties currently involved in Vermont's pilot project on suicide prevention (Essex, Caledonia, Washington and Orange); Phase 2 catchment areas comprise the remaining eight. Grant resources will enable CMHC catchment areas to develop expertise and local systems of youth suicide prevention for transition-aged youth through the schools and community activities. Technical expertise will also be provided directly to schools. By the end of the project period, each CMHC catchment area will have an active Youth Suicide Prevention Task Force, will have provided Youth Suicide Prevention training for designated staff in all high schools, and will have developed and be in the process of implementing Youth Suicide Prevention Action Plans as recommended by the Task Forces. High schools will have adopted suicide prevention curricula, will have created written protocols and an emergency staffing team, and will have instituted parent education activities.

### Three-year Action Plan:

#### **o Objective 1: ESTABLISH AND OPERATE THE VERMONT TRANSITION RESOURCE CENTER TO PROVIDE RESOURCES AND EXPERTISE FOR LOCAL TRANSITION INITIATIVES, INCLUDING YOUTH SUICIDE PREVENTION, AND CONDUCT STATE-LEVEL SYSTEM COORDINATION ACTIVITIES**

##### Task 1: Conduct state level project start-up and planning activities.

Staff recruiting will be done and contracts signed. The State Management Team will develop project policies and procedures. Contracts to carry out local project activities will be developed with CMHCs. A State Interagency Team meeting will be held to establish the State Interagency Team as a partner in addressing cross-agency transition issues. The Project Director and Transition Initiative Project Manager will meet with the appropriate DOE/DVR Transition Project staff to establish a collaborative working relationship.

Based on evaluation findings and local input, the State Management Team will meet early on in Years 2 and 3 to plan mid-program refinements and corrections. In Year 2 of the project, the State Management Team will begin exploration of post-grant funding to further realize project goals. Potential sources for future funding are: local service reimbursement, such as Medicaid Rehabilitation Services; state general funds, such as the DMH/MR Budget Enhancements; and private foundations.

Task 2: Develop resource bibliography and design and operate information dissemination system. Project staff will build a comprehensive collection of reports, journal articles, training curricula, evaluation materials, and videotapes on issues dealing with the target populations. This will be achieved through: 1) contacting national organizations for publications; 2) reviewing bibliographies on the relevant topics; 3) conducting computer searches; 4) requesting papers presented at conferences and workshops; and 5) regular review of the published literature contained in Current Contents.

The Resource Center will serve as a clearinghouse for in-state information on local transition system development and youth suicide prevention initiatives. All written policies, interagency agreements, training plans, and the like will be organized for easy accessibility.

Project staff will prepare and regularly update annotated bibliographies of materials in the Resource Center's holdings, which will be sent to the Resource Center's mailing list. The list will comprise CMHC Children's Mental Health Project Directors, Local Interagency Team members, appropriate school personnel, interested family members, DOE/DVR Transition Project staff, and appropriate state personnel.

In consultation with the State Planning Team, the Transition Initiative Project Manager will devise information dissemination policies, concerning the extent to which requesters can receive materials free of charge; what the cost



assistance, information, and program development conference will be held for mental health providers, school staff, parents, and others working with youth. The conference will cover primary, secondary, and tertiary suicide prevention approaches, and provide guidance on how CMHCs, school districts and individual schools can work together to identify and intervene with youth at risk for suicide. Representatives from local Youth Suicide Prevention Task Forces will present innovative and effective suicide prevention strategies they have adopted. A national expert on youth suicide prevention strategies will be the keynote speaker (possibly Pamela Cantor, or another individual associated with the Harvard Medical School Department of Continuing Education suicide prevention conference series).

Task 4: Provide technical assistance and information, and monitor local project activities.

o Transition Initiative: The Resource Center will provide Local Interagency Teams with technical assistance and information upon request on all aspects of local transition systems development and implementation. The Resource Center will conduct literature searches, provide written materials and videotapes, refer Local Transition Specialists to other Local Interagency Teams or DOE/DVR Transition Project regions which have developed successful approaches, and will contact state-level agencies on behalf of Local Transition Specialists when appropriate. The Transition Initiative Project Manager will keep abreast of local progress on transition system development activities through quarterly progress reports and regular telephone contact, and will provide technical assistance.

o Youth Suicide Prevention Initiative: The Resource Center will provide Local Youth Suicide Prevention Specialists with training to prepare them to become the local experts in youth suicide prevention, support them in their efforts to work with schools and school districts to carry out school-based education and coordination activities, and assist them in forming local Youth Suicide Prevention Task Forces and develop community Suicide Prevention Action Plans. Youth will provide resource materials, consultation, and attend Task Force Meetings as requested. The Transition Initiative Project Manager will make presentations and conduct training sessions throughout the state. Local progress on the Youth Suicide Prevention Initiative will be monitored through quarterly reports.

Task 5: Manage state-level coordination and system development activities. The Resource Center will serve as the state-level focal point for transition service systems development for youth experiencing severe emotional disturbances. The Transition Initiative Project Manager will closely coordinate activities with the State Interagency Team and with the DOE/DVR Transition Project to insure that information is shared, to avoid duplication of effort, and to work in concert on joint initiatives. To this end, the Transition Initiative Project Manager will attend State Interagency Team meetings at least quarterly to provide updates on project activities, achievements, and obstacles. The Project Manager will also serve as an ad hoc member of the DOE/DVR Transition Project's four Regional Policy Boards, and will attend Board meetings as appropriate and as time permits. Based on needs identified by Local Interagency Teams, the Transition Initiative Project Manager will advocate for state-level transition system improvements (e.g. new financing mechanisms; broader program eligibility criteria; or cross-agency pilot projects).

In regards to state-level Youth Suicide Prevention activities, the Transition Initiative Project Manager will advocate with appropriate Department of Education staff for suicide prevention curriculum requirements (as outlined in the Task Force Report on Youth Suicide Prevention in Vermont)

and support for school staff and faculty training. He will keep state Department of Education staff apprised of significant project activities in the schools.

**o Objective 2: DEVELOP AND IMPLEMENT COMMUNITY-BASED TRANSITION MECHANISMS AND STRATEGIES STATEWIDE**

Task 1: Conduct Local Needs Assessments. Once contracts have been executed with CMHCs, CMHC Children's Services Program Directors will be designated Local Transition Specialists. They will work with their respective Local Interagency Teams to assess local transition needs and resources, insuring input from service providers, schools, family members, and youth themselves. Information will also be drawn from DOE/DVR Transition Project needs assessments. Based on this information, Local Interagency Teams will prepare preliminary Transition Needs and Strengths Reports, to be revised every six months, which will be the basis for planning for local transition system development.

Task 2: Recruit and utilize Youth Focus Groups and Parent Advisory Groups. Local Transition Specialists will recruit "Youth Focus Groups" from CMHC caseloads and local high schools, to include eight to ten adolescents, approximately half experiencing severe emotional disturbance. Youth Focus Groups will meet three to four times annually, with coordination by Local Transition Specialists. The purpose will be to receive input from young persons on the needs and challenges of transition to adulthood, and their recommendations regarding helpful approaches, supports, and services. This input will be used in revising local Transition Needs and Strengths reports and to help guide planning and service system development.

Parent Advisory Groups will be recruited in each catchment area through local Vermont Federation of Families for Children's Mental Health support groups. The Federation's local chapters will lead Parent Advisory Group meetings three to four times annually, with support from Local Transition Specialists. Recommendations will be provided to the Local Interagency Team. One meeting annually will be a presentation from each parent advisory group to its Local Interagency Team, to provide parents' perspectives and recommendations and the opportunity for discussion. A Parent Advisory Group member will serve on each Local Interagency Team; they will be full-fledged members of local transition planning efforts.

Task 3: Determine Local Transition System Development Goals and Annual Objectives. Under the leadership of Transition Initiative Specialists, Local Interagency Teams will determine three-year goals and annual specific objectives for local transition system development. The goals will be largely guided by the Local Needs and Strengths Reports. Before adoption, they will be reviewed, adapted if necessary, and approved by each catchment area's Youth Focus Group, Parent Advisory Group, CMHC Executive Director, and the DOE/DVR Transition Project's Regional Policy Board that covers their area. Other agencies or groups may be involved as determined locally. The goals and objectives will address the following: 1) development and implementation of an individual transition planning process for all youth beginning at age 14, to be carried out by Local Interagency Teams, and to include designation of a case manager for each client; 2) creation of new interagency linkages to increase opportunities for transition age youth and/or address system barriers; 3) development and implementation of training in transition issues affecting youth experiencing severe emotional disturbances for CMHC staff, school special education and other relevant staff, SRS case managers, parents, and others as deemed appropriate; and 4) maintaining active contact with the DOE/DVR Transition Project; to ensure that the needs of this project's target

population are understood and adequately addressed and to build a mutually supportive, effective relationship. Goals and objectives will be reviewed and revised at least annually.

Task 4: Carry out Transition System Development Objectives as planned.

For each annual objective, Local Interagency Teams will designate one or more members to take the lead. The Local Transition Specialist will be one of the key designers of the individual transition planning process, which will require gaining expertise and assistance to create a written draft of a planning model; "field testing" it; and revising it prior to adoption. While varying across objectives, common activities for other efforts will be to: obtain materials from the Transition Resource Center and technical assistance from the Transition Initiative Project Manager; meet with agencies or programs targeted for coordination or training efforts and develop a mutually agreeable approach; prepare written plans, cooperative agreements, and the like; conduct a "pilot" of the planned strategy; review, revise, and adopt the approach.

Collaboration with the DOE/DVR Transition Project will include membership of one or more Local Transition Specialists on each of the DOE/DVR Transition Project's four Regional Policy Boards and their inclusion on the 60 school-based interagency core teams which meet to develop and implement transition plans for disabled youth. Core team members will be invited to Local Interagency Team meetings dealing with transition issues; in some cases, the two may work together to devise an integrated school/Local Interagency Team planning process for target population adolescents. At minimum, they will devise and carry out joint efforts aimed at easing transition for the target population.

**o Objective 3: DEVELOP AND IMPLEMENT COMMUNITY-BASED YOUTH SUICIDE PREVENTION MECHANISMS AND STRATEGIES STATEWIDE**

Task 1: Year 1: Four Phase 1 catchment areas: Plan and implement youth suicide prevention strategies in schools; refine and begin implementation of community-based Youth Suicide Prevention Action Plans; develop additional funding resources. Following signing of contracts with the four Phase 1 catchment areas, each CMHC will designate a "Local Youth Suicide Prevention Specialist" (most likely the staff member involved in the current suicide prevention pilot project). They will attend a cross-catchment area training session and then begin work with schools to adopt and implement youth suicide prevention curricula and activities; develop procedures to identify and intervene with at-risk youth; establish protocols to follow in case of a suicide attempt or completed suicide; and plan and undertake parent education activities.

The Local Youth Suicide Prevention Specialists will chair the Youth Suicide Prevention Task Forces in their catchment areas and will be instrumental in organizing and carrying out Local Youth Suicide Prevention Action Plans. The Essex and Caledonia catchment areas, which have formed a two-catchment area Task Force, are poised to begin implementing their Action Plan in both counties. Among proposed activities are: 1) a Community Mentor Project, which matches youth identified as at-risk for suicide with local volunteers; and 2) a series of education/training activities for local business people, to alert them to the extent of the problem. The other two Task Forces, in Washington and Orange Counties, are just beginning to plan their Action Plans. In addition, Task Forces will explore opportunities for continued funding. In Year Two, project funding for Phase 1 youth suicide prevention initiatives will be halved, with no project funding for Year Three. Thus, establishing other means to continue youth suicide prevention activities must begin in Year One. Alternatives to be explored include approaching school district and state education officials to encourage them to fund

school-based youth suicide prevention initiatives; persuading local businesses to support youth suicide prevention activities as a worthy investment in their communities; and encouraging the legislature to allocate funds to maintain and improve youth suicide prevention activities and local expertise.

Task 2: Year 2: Eight Phase 2 catchment areas: Form Task Forces; develop Youth Suicide Prevention Action Plans; begin liaison with schools; receive training. CMHCs serving the eight catchment areas will designate a staff member for each catchment area to serve as the Local Youth Suicide Prevention Specialist. While minimal funding is provided for the preliminary planning involved in this task, this is a standard approach; CMHCs have the expectation that their role involves start-up of new initiatives, with little reimbursement until a service or system has been well-established.

The Youth Suicide Prevention Coordinator will provide guidance to help Local Suicide Prevention Specialists carry out the following activities: approach high schools in their catchment areas to determine youth suicide prevention needs and capabilities; bring together appropriate mental health, social service, school, and community members to form a Youth Suicide Prevention Task Force (whose core membership may well be the Local Interagency Team); assess community needs; and begin developing Youth Suicide Prevention Action Plans with the Task Forces.

Task 3: Years 2 and 3: Four Phase 1 catchment areas: Continue to work with schools on Youth Suicide Prevention initiatives; revise and continue to implement Youth Suicide Prevention Action Plans. It is anticipated that it will take the complete three-year grant period to fully develop and implement high school suicide prevention approaches and the community-based activities proposed in the Youth Suicide Action Plans. Some Local Youth Suicide Prevention Specialists may concentrate on one or two schools at a time, ensuring that the whole complement of youth suicide prevention activities is underway before working with other schools. Others may decide to work with all schools in their catchment area at the same time (which may be only three or four), fully developing one system component before undertaking the next one. Both the timeline and specific activities will be mutually determined by the Local Youth Suicide Prevention Specialist and local education officials.

The Youth Suicide Prevention Action Plans will likewise be gradually implemented over the three-year period. As with the school-based activities, Suicide Prevention Task Forces may focus attention on one high-priority community, and then move on to others; alternatively, some Task Forces may feel local needs are better served by beginning a smaller number of activities in several communities at once.

Task 4: Year 3: Eight Phase 2 catchment areas: Plan and implement youth suicide prevention strategies in schools; refine and begin implementation of community-based Youth Suicide Prevention Action Plans. The Phase 2 catchment areas will begin active implementation of Youth Suicide Prevention Initiatives, as described under Task 1, Year 1, Page 11.

#### Year One Management Plan

See Figure 1, pages 13-15.

#### **BUDGET**

##### Budget Narrative:

- 6a. Personnel. State Management Team staff time will be contributed as in-kind by DMH/MR. Project Staff and the Evaluation Consultant will be hired under contract. Note that in Year 1 the Youth Suicide Prevention

VERMONT TRANSITION INITIATIVE: LOCAL SYSTEM DEVELOPMENT PROJECT

Figure 1:  
Year 1 Management Plan

OBJECTIVE 1- Establish and Operate The Vermont Transition Resource Center

TASK	MONTHS	RESPONSIBLE PERSONS	MILESTONES
TASK 1- Conduct state-level start-up and planning activities	1-2	State Management Team	Month 1- Project staff hired. Month 1- Contract with CMHCs signed. Month 2- State-level policies and procedures adopted.
TASK 2- Develop and organize resource materials; design and operate dissemination function	1-12	Transition Initiative Project Manager; Resource Center Administrative Assistant	Month 1- Ongoing- Build a comprehensive collection of resource materials. Month 1- Ongoing- Develop and add to Resource Center mailing list. Month 2- Begin responding to information requests. Month 2- Referral system with DOE/DVR Transition Project in place. Month 3- Initial annotated bibliography prepared. Month 9- Annotated bibliography expanded.
TASK 3- Sponsor statewide workshops and conferences	2-12	Transition Initiative Project Manager; Youth Suicide Prevention Coordinator	Month 3- Hold Transition Systems Development Training Workshop. Month 3- Hold Youth Suicide Prevention Training Workshop. Month 11- Hold Interagency Transition Systems Development statewide conference.
TASK 4- Provide technical assistance/monitor local project activities	2-12	Transition Initiative Project Manager; Youth Suicide Prevention Coordinator	Month 2- Begin provision of technical assistance. Months 4, 8 & 12- Review Quarterly Progress Reports submitted by CMHCs.
TASK 5- Manage state-level coordination and system development activities	2-12	Transition Initiative Project Manager; Youth Suicide Prevention Coordinator	Month 2- Beginning ongoing state-level coordination/advocacy activities. Month 2- Meet with appropriate DOE/DVR Transition Project staff to begin collaboration.

Year 1 Management Plan, Figure 1, continued

OBJECTIVE 2- Develop and Implement Community-Bases Transition Mechanisms and Strategies Statewide

TASK	MONTHS	RESPONSIBLE PERSONS	MILESTONES
TASK 1- Conduct local needs assessments	2-9	Local Transition Specialists; Local Interagency Teams	Month 3- Preliminary transition needs and strengths report prepared. Month 4- Transition needs and strengths report revised.
TASK 2- Recruit and utilize youth focus groups and parent advisory groups	2-12	Local Transition Specialists; Vt. Federation of Families for Children's Mental Health local chapters	Month 3- Youth Focus Groups and Parent Advisory Groups formed. Months 4-12- Minimum of 3 Youth Focus Group and Advisory Group meetings held.
TASK 3- Determine local transition system development goals and annual objectives	3-5	Local Transition Specialists; Local Interagency Teams	Month 4- Draft goals and annual objectives prepared (following local transition systems development workshop). Month 5- Goals and objectives adopted (following review and approval process).
TASK 4- Carry out transition system development objectives as planned	6-12	Local Transition Specialist; Local Interagency Teams	Month 6- Designate key Local Interagency Team member(s) for each objective. Month 6- Establish ongoing collaborative role with DOE/SRS transition project. Month 8- Begin pilot of: individual transition planning process; at least one new interagency linkage; and at least one staff transition training initiative. Month 12- Complete pilots; assess and revise strategies; adopt revised approaches.

**OBJECTIVE 3- Develop and Implement Community-Based Youth Suicide Prevention Mechanisms and Strategies Statewide**

TASK	MONTHS	RESPONSIBLE PERSONS	MILESTONES
TASK 1- Four Phase 1 catchment areas: Plan and implement youth suicide prevention strategies	1-12	Local Youth Suicide Prevention Specialists; Youth Suicide Prevention Task Forces	<p><u>Essex-Caledonia Task Force:</u></p> <p>Month 2- Goals set for Year 1 implementation of Action Plan activities.                      Month 12- Year 1 Action Plan goals met.</p> <p><u>Washington County &amp; Orange County Task Forces:</u></p> <p>Month 3- Action Plan objectives/activities initiated.                      Month 4- Action Plan Year 1 activities initiated.</p> <p><u>Coordination with Schools:</u></p> <p>Month 3- Goals set with respect to planning/training activities with schools in each catchment area.                      Month 4- Planning/training activities with schools begun.</p> <p><u>Develop Funding Resources:</u></p> <p>Month 6- Plan developed and initiated to seek additional funding sources.</p>

Budget Narrative, Continued:

Coordinator's time will be contributed as in-kind (see Appendix H, Resources/Other Support); in Years 2 and 3 the position will be funded under this grant. In Year 3, a small cost of living increase is budgeted for Project Staff.

- 6c. Travel. In-state travel will be reimbursed at the current State rate of \$.25 per mile for Project Staff to provide on-site consultation to the twelve catchment areas. Out-of-state travel costs are estimated at \$1,000 per trip for staff, for example the Project Director and/or Project Manager, to attend requisite CASSP-related meetings including the two CASSP Directors' meetings and the bi-yearly Institute. Travel costs will be increasingly supported by DMH/MR in Years 2 and 3.
- 6f. Contractual. Local Project activities will primarily be carried out through contracts with the CMHCs to fund activities in their Local Interagency Team catchment areas:
- o The 12 catchment areas will be funded at \$4,000 each in Years 1 and 2 for the Transition Initiative System Development and Implementation activities, to support the time and expenses of the Local Transition Specialists. In Year 3 this contribution will be reduced to \$3,500 for each area.
  - o The \$1,000 per catchment area in Year 1 for Youth Focus Groups and Parent Advisory Groups will be disbursed as follows: \$300 per catchment area will be provided through the CMHC project contracts for Youth Focus Groups to hold 3 to 4 meetings per year (to cover materials, mileage and meeting amenities). \$700 per catchment area will be provided through the Vermont Federation of Families for Children's Mental Health to fund the Parent Advisory Groups, including organizing, recruiting participants, providing mileage and child care for participants, and providing meeting space and amenities for 3 to 4 meetings per year. In Years 2 and 3 this line item is reduced to \$500 per catchment area, (\$150 per Youth Focus Group; \$350 per Parent Advisory Group). (See Objective 2, Task 2, page 10.)
  - o Finally, the four Phase 1 catchment areas implementing Youth Suicide Prevention activities in Year 1 will receive \$4,000 each through contracts with the appropriate CMHCs to designate local Youth Suicide Prevention Specialists and organize and support the Task Forces. This includes a stipend to the Specialists of \$3,000 for approximately 4-5 hours per week, and \$1,000 for materials, supplies, local mileage, and Task Force meeting expenses. In Year 2, the four Phase 1 sites will be reduced to \$2,000 each for these activities; by Year 3 the Phase 1 sites will have completed these activities. The eight Phase 2 catchment areas will begin planning activities in Year 2 for \$1,500 each; in Year 3 they will receive \$4,000 apiece to fully implement these activities. (See Objective 3, pages 11-12.)
- 6h. Other. Other Transition Initiative project costs include the costs of developing and operating the Vermont Transition Resource Center, and training costs related to grant activities:
- o The Vermont Transition Resource Center, housed at DMH/MR, will be allocated \$5,500 in Year 1 for materials acquisition to develop a basic resource library on the two subjects, and for postage, copying and



supplies needed to disseminate information. (See Objective 1, Task 2, page 7.) In Years 2 and 3, an increasing proportion of Resource Center costs will be borne by DMH/MR.

- o The Transition System Development Training Workshop, to be held early in Year 1, is allocated \$3,500 for a one-day training for the 12 local Transition Initiative Specialists and other interested Local Interagency Team members (see Objective 1, Task 3, page 8). Costs are estimated to include \$1,000 for a nationally-recognized consultant/presenter, and \$2,500 for materials and facilities costs for approximately 40 trainees.
  - o The Interagency Transition Systems Development Statewide Conference, planned for the end of Year 1 (see Objective 1, Task 3, page 8), is estimated to attract 100-150 participants to share the learnings from Year 1; \$5,000 is budgeted to cover conference costs including presenter(s) honoraria, materials, facility fees and amenities. In Year 2, \$1,000 is budgeted to collaborate on two DOE/DVR Transition Project regional technical assistance workshops (see Objective 1, Task 3, page 8).
  - o The Youth Suicide Prevention Training and Systems Development Workshop will be held early in Year 1 to prepare the four Phase 1 Youth Suicide Prevention Coordinators to work on this Initiative (See Objective 1, Task 3, page 8). \$950 is budgeted to support the costs of this workshop, including materials, facility fees and amenities. In Year 2, a Youth Suicide Prevention Statewide Conference will be held (see Objective 1, Task 3, page 8). \$5,000 is budgeted to cover conferences costs including the fee and expenses of a national youth suicide prevention expert as keynote speaker and materials and facilities fees.
- 6j. Indirect Costs. Indirect costs are budgeted at 5% of the grant total, and DMH/MR assures that not more than 10% of the grant monies will be expended for administrative purposes.

Budget Detail

See pages iv-vi.



**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

## **MEMORANDUM**

**TO: Joint Fiscal Committee Members**

**FROM: Maria Belliveau, Fiscal Analyst**

Handwritten initials "MB" in dark ink, positioned to the right of the "FROM:" line.

**DATE: October 27, 1992**

**SUBJECT: JFO #1536 - \$14,850 grant from the Vermont Community Foundation**

The Vermont Department of Forests, Parks and Recreation requests approval to accept a \$14,850 grant from the Vermont Community Foundation to winterize the Department's Cheney House on the shore of Lake Willoughby in the town of Westmore. The winterized building will be used as a community resource to meet off-site educational and conference needs of schools, agencies, institutions and community groups.

The grant funds will be spent on materials and services, as well as a part-time caretaker. Deferring this grant to the budget adjustment would prevent the building from being winterized in time for the building to be used as a resource for the Vermont Youth Conservation Corps.

I recommend that this grant be accepted and that appropriation number 0106620301 be increased by \$6,000 and appropriation number 0106620302 be increased by \$8,850 in fiscal year 1993.



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

JFO 1536

October 22, 1992

Senator Mary Just Skinner  
Chairman  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

OCT 23 1992

Dear Senator Skinner:

The Governor has approved acceptance of a \$14,850 grant to the Department of Forests, Parks & Recreation from the Vermont Community Foundation. The monies will be made available to the Department in two (2) installments -- \$7,425 upon approval of the grant by the Joint Fiscal Committee and the remaining \$7,425 on February 1, 1993.

This grant will provide funding to effect winterization and winter operation of the Department's Cheney House located on the shore of Lake Willoughby in the town of Westmore. This will be the first year of winter use of this property by the Vermont Youth Conservation Corps, and the improvements made possible by this grant will aid in the Department's evaluation of the future suitability of this property for use by local youth groups, as directed in Section 31e of Act 256 of the 1991 Adjourned Session. No additional positions or personal services contracts are involved in this undertaking.

The department was informed of the award on October 6, 1992.

If you have any questions regarding this project, please feel free to give me a call.

Sincerely,

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS:njk  
Attachment





# State of Vermont

Department of Fish and Wildlife  
Department of Forests, Parks and Recreation  
Department of Environmental Conservation  
State Geologist  
Natural Resources Conservation Council



AGENCY OF NATURAL RESOURCES  
103 South Main St., 10 South  
Waterbury, Vermont 05671-0601

DEPT. OF FORESTS, PARKS AND RECREATION

FAX: (802) 244-1481  
802-244-8714  
TDD Relay -  
1-800-253-0191

## MEMORANDUM

To: Governor Howard B. Dean, M.D.  
Through: Chuck Clarke, Secretary, ANR *Chuck cpm*  
From: Conrad M. Motyka, Commissioner, FPR  
Re: Grant Request  
Date: October 19, 1992

We are requesting your approval to accept a grant of \$14,850 from the Vermont Community Foundation for winterization and winter operation of the Department's Cheney House property on Lake Willoughby.

The grant will allow for use of the facility to meet off-site educational and conference needs of schools, state government offices, institutions, and community groups on a year-round basis. This grant is specific in nature and would fund work that is not currently budgeted.

Attached is a letter from the Vermont Community Foundation confirming the grant award.

CMM:ps/j  
cc Elsie Beard, Administrative Services, ANR  
Arlene McLeod, Budget and Management  
Peter Strobridge, Business Manager, FPR  
Enc.



# ***NORTHEAST KINGDOM COMMUNITIES PROJECT***

Vermont Community Foundation  
P.O. Box 406  
Hardwick, VT 05843-0406  
(802) 472-5811

Oct. 6, 1992

Tom Hark  
Vermont Youth Conservation Corps  
Agency of Natural Resources  
103 South Main Street, 10 South  
Waterbury, VT 05676

Dear Tom:

At its September 25 meeting, the Northeast Kingdom Communities Project Steering Committee recommended to the Vermont Community Foundation Board of Directors that VYCC's Cheney House proposal be funded for the amount of \$14,850. The VCF Board of Directors approved this recommendation at its October 5 meeting.

The Vermont Community Foundation's main office in Middlebury will soon be contacting you to make a payment of \$7,425, with the remainder of the grant award to be paid on February 1, 1993.

We look forward to working with you to help make the Cheney House a valuable year-round resource for residents of the Northeast Kingdom, and the State of Vermont at large.

Sincerely,



Eddie Gale  
Program Officer

cc/David Rahr, Executive Director, VCF



Cheney House  
Operating Budget  
9 Months October 1, 1992 - July 1, 1993

Heat - Oil estimated by Webb Plumbing Supply contractor/engineer of new system	\$3,000
Interior plastic for all windows labor donated	\$250
Water line needs to be set deeper for winter use - labor & materials	\$1,000
Electric @ \$60/mo. (estimate Lyndon Electric Co.)	\$540
Phone - @ \$40/mo.	\$360
Trash/Plowing (plowing and sanding of long driveway necessary for user access and fire protection)	\$1,000
Consumables - trash bags, cleaning supplies, toilet paper, etc.	\$300
Caretaker @ \$20/day x 30 days x 9 months (includes daily inspection and mileage)	\$5,400
Emergency repair reserve (plumbing, heating, etc.)	\$1,000
Contingency - Since overhead costs (heat, electric, plowing are estimated and the building has no winter history.) VYCC requests \$2,000 to be available in a contingency reserve.	\$2,000
<b>Total Request</b>	<b>\$14,850</b>



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

M E M O R A N D U M

To: Members, Joint Fiscal Committee

From: Margaret S. Maxfield *Marg*  
Legislative Fiscal Officer

Date: October 29, 1992

Subj: JFO Item # 1524 - Request from the Department of Health to accept a grant from the U.S. Department of Health and Human Services, Centers for Disease Control for \$125,344 for FY 1993

The Governor has accepted a grant from the U.S. Department of Health and Human Services, Centers for Disease Control to the Department of Health to develop a program for breast and cervical cancer prevention. The will include public and professional education components, the implementation of a quality assurance program for cancer screening and the establishment of a population based cancer registry.

This is a three year grant. Each year's grant award will be \$250,688. The \$125,344 is the amount for State Fiscal Year 1993. The program will be starting in January. There are no matching funds required.

There are two limited-term positions being requested. These will be offset by a reduction of two positions elsewhere in State Government.

**RECOMMENDATION:**

Although the back-up budget does not agree with the current plans for the expenditure of funds, I would recommend that the grant be accepted and that two limited service positions be approved.



JFO # 1524

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved the acceptance of a grant from the U.S. Department of Health and Human Services, Centers for Disease Control, to the Vermont Department of Health.

The purpose of the three year, \$250,688 per year grant is to develop a program for breast and cervical cancer prevention, which will include public and professional education components, the implementation of a quality assurance program for cancer screening, and the establishment of a population based cancer registry.

Joint Fiscal Committee approval is sought for \$125,344, which represents the funding required to operate the project for the second half of Fiscal Year 1993. Subsequent years will be budgeted.

The project will be implemented by employees of the Health Department, including existing staff and two new limited service positions.

We are requesting that the two (2) limited service positions needed to carry out the project - Public Health Epidemiologist and Epidemiologist Associate - be authorized by the Joint Fiscal Committee pursuant to 1992 Act 245 Section 270(c). While we are cognizant of the fact that limited service positions created by the Joint Fiscal Committee are not subject to the restriction on increasing positions during Fiscal Year 1993, we believe that in fact any increase in the total number of authorized state positions due to this grant will be offset by reductions within State government.

There are no matching funds required, and this project does not commit the state to future obligations.

Attached for your review are selected pages of the grant document; a complete grant document is available from the Department of Health.

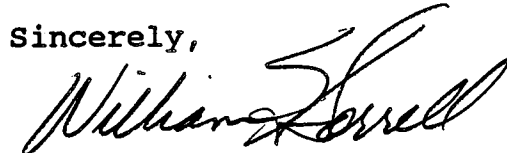
Senator Mary Just Skinner  
October 21, 1992  
Page 2

In reviewing those documents, you will note that the budget justification does not fully agree with the budget information presented on the AA-1, and that the positions listed on the summary statement differ from those on the budget justification. These discrepancies occurred as a result of negotiations with federal officials subsequent to the original submission. Representatives of the Health Department will be available to explain those differences, as well as to answer any other questions you might have.

The grant was awarded on September 30, 1992.

Please feel free to call if you have any questions.

Sincerely,



William H. Sorrell  
Secretary of Administration

WHS:njk  
Attachment

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

FORM AA-1  
(Rev. 9-90)

1. Agency: Agency of Human Services
2. Department: Department of Health
3. Program: Epidemiology Division
4. Legal Title of Grant: Core Capacity Building for Breast and Cervical Cancer
5. Federal Catalog No.: 93.283 Prevention and Control
6. Grantor and Office Address: Centers for Disease Control  
Atlanta, Georgia 30305
7. Grant Period: From: 9/30/92 To: 9/29/93

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

To develop a comprehensive breast and cervical cancer screening system. (see attached summary)

9. Impact on Existing Programs if Grant is not Accepted:  
none

10. Budget Information:	(1st State FY) <u>FY 1993</u>	(2nd State FY) <u>FY 1994</u>	(3rd State FY) <u>FY 1995</u>
<b>EXPENDITURES:</b>			
Personal Services	\$ 71,665	\$ 143,330	\$ 143,330
Operating Expenses	\$ 53,679	\$ 107,358	\$ 107,358
Other	\$	\$	\$
<b>TOTAL</b>	<u>\$125,344</u>	<u>\$ 250,688</u>	<u>\$ 250,688</u>
 <b>REVENUES:</b>			
State Funds:			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
 Federal Funds:			
(Direct Costs)	\$ 80,765	\$ 161,530	\$ 161,530
(Statewide Indirect)	\$ 8,916	\$ 17,832	\$ 17,832
(Department Indirect)	\$ 35,663	\$ 71,326	\$ 71,326
 Other Funds:			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<u>\$ 125,344</u>	<u>\$ 250,688</u>	<u>\$ 250,688</u>

Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u> 010347020	<u>Amounts</u> \$125,344
--	--	-----------------------------

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

[ ] YES [xx] 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
Public Health Epidemiologist	1
Epidemiologist Associate	1
TOTAL	2

12b. Equipment and space for these positions:

[xx] 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.

*J. H. [Signature]*  
\_\_\_\_\_  
(Signature)  
Commissioner  
(Title)

10/15/92  
\_\_\_\_\_  
(Date)

14. Action by Governor:

[x] Approved  
[ ] Rejected

*[Signature]*  
\_\_\_\_\_  
(Signature) 10/15/92  
\_\_\_\_\_  
(Date)

15. Secretary of Administration:

[x] Request to JFO  
[ ] Information to JFO

*[Signature]*  
\_\_\_\_\_  
(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)

REQUEST FOR GRANT ACCEPTANCE  
SUMMARY STATEMENT  
BREAST AND CERVICAL CANCER PREVENTION

The Vermont Department of Health has received a grant award of \$250,688 from the Centers for Disease Control to develop a comprehensive breast and cervical cancer screening system. This award would fund the first year (9/30/92-9/29/93) of a three-year project for which we expect to receive continued, level funding. We are seeking approval to receive \$125,344 of these funds for expenditure during State Fiscal Year 1993. This request assumes that the project will be implemented in January, 1993. Federal funding for subsequent years will be included in the Department's regular budget request. No State matching funds are required for this grant.

With these funds, the Department will provide public and professional education, implement a quality assurance program for cancer screening, and establish a population-based cancer registry. The project will be administered by the Department's Epidemiology Division and staffed by a project coordinator, a public health epidemiologist, a health educator and an epidemiologist associate. We will be transferring to this project two current, limited-service positions which were established under the federally-funded Cancer Prevention and Control project and are requesting the establishment of two new, limited-service positions.

09/30/1992

93.283

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
PUBLIC HEALTH SERVICE  
CENTERS FOR DISEASE CONTROL  
PROCUREMENT AND GRANTS OFFICE  
255 E. PACES FERRY ROAD, N.E.  
ATLANTA, GEORGIA 30305

VERSEDES AWARD NOTICE DATED

THAT ANY ADDITIONS OR RESTRICTIONS

PREVIOUSLY IMPOSED REMAIN IN EFFECT UNLESS SPECIFICALLY RESCINDED.

4. GRANT NO.  U57/CCU108348-01 FORMERLY:	5. ADMINISTRATIVE CODES  CCU57
6. PROJECT PERIOD FROM 09/30/1992	THROUGH 09/29/1995
7. BUDGET PERIOD FROM 09/30/1992	THROUGH 09/29/1993

NOTICE OF COOPERATIVE AGREEMENT  
AUTHORIZATION (LEGISLATION/REGULATION)  
SECS 301(A) AND 1507, PHS ACT AS AMENI

8. TITLE OF PROJECT (OR PROGRAM) (LIMIT TO 53 SPACES)  
**CORE CAPACITY BUILDING FOR BREAST & CERVICAL CANCER PREVENTION & CONTROL**

9. GRANTEE  
**VERMONT DEPARTMENT OF HEALTH  
JAN K CARNEY, MD, COMMISSIONER  
PO BOX 70 - 60 MAIN STREET  
BURLINGTON, VT 05402**

10. DIRECTOR OF PROJECT (PROGRAM OR CENTER DIRECTOR,  
COORDINATOR OR PRINCIPAL INVESTIGATOR)  
**JEAN EWING  
DEPARTMENT OF HEALTH  
60 MAIN STREET - PO BOX 70  
BURLINGTON, VT 05402**

11. APPROVED BUDGET (EXCLUDES PHS DIRECT ASSISTANCE)	
<input checked="" type="checkbox"/> GRANT FUNDS ONLY	<input type="checkbox"/> TOTAL PROJECT COSTS INCLUDING GRANT FUNDS AND ALL OTHER FINANCIAL PARTICIPATION.
A. PERSONAL SERVICE.....	\$ 112,858
B. FRINGE BENEFITS.....	30,472
C. CONSULTANTS.....	0
D. TRAVEL.....	11,450
E. EQUIPMENT.....	0
F. SUPPLIES.....	4,750
G. CONTRACTUAL.....	0
H. PATIENT CARE.....	0
I. CONSTRUCTION(A & R).....	0
J. TRAINEE COSTS.....	0
K. OTHER.....	2,000
L. TOTAL DIRECT COSTS.....	161,530
M. INDIRECT COSTS.....	
RATE: 79.0000 * .....	89,158
N. TOTAL APPROVED BUDGET.....	250,688
O. FEDERAL SHARE .....	\$ 250,688
P. NON-FEDERAL SHARE * .....	\$ 0

\* MUST MEET ALL MATCHING OF COST PARTICIPATION REQUIREMENTS. SUBJECT TO ADJUSTMENT IN ACCORDANCE WITH PHS POLICY.

12. AWARD COMPUTATION FOR GRANT	
A. AMOUNT OF PHS FINANCIAL ASSISTANCE (FROM 11.0).....	\$ 250,688
B. LESS UNOBLIGATED BALANCE FROM PRIOR BUDGET PERIODS.....	\$
C. LESS CUMULATIVE PRIOR AWARD(S) THIS BUDGET PERIOD.....	\$
D. AMOUNT OF THIS ACTION.....	\$ 250,688

13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO THE AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT)			
BUDGET YEAR	TOTAL DIRECT COSTS	BUDGET YEAR	TOTAL DIRECT COSTS
A. 2	250,688	E. 0	
B. 3	250,688	F. 0	
C. 0	0	G. 0	
D. 0	0		

14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH)	
A. PERSONAL SERVICE.....	\$
B. TRAVEL.....	
C. VACCINE.....	
D. OTHER.....	\$
E. TOTAL DIRECT ASSISTANCE.....	\$

15. PROGRAM INCOME SUBJECT TO 45 CFR 74.42 SHALL BE:  
A.  USED TO FURTHER THE OBJECTIVES OF THE LEGISLATION UNDER WHICH THE GRANT WAS MADE.  
B.  DEDUCTED FROM TOTAL PROJECT COSTS FOR THE PURPOSE OF DETERMINING THE NET COSTS ON WHICH THE FEDERAL SHARE OF COSTS SHALL BE BASED.  
C.  OTHER--SEE SPECIAL CONDITIONS  
D.  N.A.

16. THIS GRANT IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:  
A. THE GRANT PROGRAM LEGISLATION CITED ABOVE.  
B. THE GRANT PROGRAM REGULATION CITED ABOVE.  
C. THIS AWARD NOTICE INCLUDING TERMS AND CONDITIONS, IF ANY, NOTED BELOW UNDER REMARKS.  
D. PHS GRANTS POLICY STATEMENT IN EFFECT AS OF THE BEGINNING DATE OF THE BUDGET PERIOD.  
E. 45 CFR PART 74.

IN THE EVENT THERE ARE CONFLICTING OR OTHERWISE INCONSISTENT POLICIES APPLICABLE TO THE GRANT, THE ABOVE ORDER OF PRECEDENCE SHALL PREVAIL. ACCEPTANCE OF THE GRANT TERMS AND CONDITIONS IS ACKNOWLEDGED BY THE GRANTEE WHEN FUNDS ARE DRAWN OR OTHERWISE OBTAINED FROM THE GRANT PAYMENT SYSTEM.

REMARKS  
**45 CFR PART 92 APPLIES TO THIS AWARD**

SPONSOR:  
\*IDC RATE BASE: SEE ATTACHED

AGENCY OFFICIAL  
**EDWIN L. DIXON, GRANTS MANAGEMENT OFFICER** *Edwin L. Dixon*

17. PHS LIST NO. <b>C3-007-D92</b> FY-CAN	OBJ.CLASS <b>41.51</b> DOCUMENT NO. <b>CCU108348</b>	CRS.EIN <b>1-036000274-A7</b> SECONDARY ADM.CODE <b>CCU57</b>	17. ORGANIZATION DESCRIP <b>12--40</b> AMT.ACTION FIN.ASST <b>250,688</b>
20.A <b>2-A4G12 2-9210617</b>	B.	C.	D. <b>250,688</b>
21.A	B.	C.	D.
22.A	B.	C.	D.



## BUDGET INFORMATION — Non-Construction Programs

### SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Breast & Cervical	93-283	\$ 250,688	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$ 250,688	\$	\$	\$	\$

### SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ 112,858	\$	\$	\$	\$
b. Fringe Benefits	30,472				
c. Travel	11,450				
d. Equipment	0				
e. Supplies	4,750				
f. Contractual	0				
g. Construction	0				
h. Other	2,000				
i. Total Direct Charges (sum of 6a - 6h)	161,530				
j. Indirect Charges	89,158				
k. TOTALS (sum of 6i and 6j)	\$ 250,688	\$	\$	\$	\$
7. Program Income	\$ 0	\$	\$	\$	\$

BUDGET JUSTIFICATION

LINE A. PERSONNEL

\$82,914

Principal Investigator \$5,379  
Jean Ewing; 10% effort until 6/1/93; then 25% effort. She will work directly with the population-based registry following expected legislative approval in June. As director of the project, Ms. Ewing will provide management and technical assistance to all project activities. She will coordinate the efforts of the project staff so that the specific aims are achieved. She will be responsible for the scientific and technical performance of the project and support staff, and for effective and efficient integration of resources. She will supervise and review all progress reports on activities, evaluation, surveillance and the preparation of results.

Program Coordinator \$29,746  
Terri Foster; 100% effort;  
Ms. Foster will have overall direction and day to day management of program activities which address all project objectives. She will also be directly responsible for implementing the surveillance and evaluation activities.

Health Promotion Specialist \$22,890  
TBN; 100% effort  
This position will be responsible for the development of community groups in the southern part of the state and will work directly with the breast cancer professional education/quality assurance and public education working groups in developing and carrying out their education plans. First year salary assumes that the position will not be filled until approximately 11/15/92.

Health Promotion Specialist \$ 4,677  
Kerri Frenya; 50% effort beginning 6/1/93  
Ms. Frenya will be responsible for the development of community groups in the northern part of the state and will work with the cervical cancer professional education/quality assurance working group in developing and carrying out their plans following the analysis of the professional surveys.

Secretary \$20,222  
TBN; 100% effort  
Will be directly involved in scheduling, meetings, mail surveys, tracking and data entry for all program areas  
First year salary assumes that the position will not be

filled until approximately 11/15/92.

Assistant Project Director

Dr. Len Paulozzi; 5% effort in-kind

Dr. Paulozzi will be responsible for providing medical consultation and review documents and reports which use surveillance data. He will also provide guidance in the planning, implementation, and assessment of evaluation activities.

Assistant Project Director

Marge Hamrell; 20% effort in-kind

Marge Hamrell will provide technical assistance in the development and coordination of community coalitions and development of public education campaigns.

LINE B. FRINGE BENEFITS \$22,387

The cost of fringe benefits is estimated at 27% of the salary total (Line A. Personnel), based on the cost of current employee benefits.

LINE C. TRAVEL \$15,050

Instate Travel \$6,650  
Community meetings, surveys, and site visits will require extensive instate travel. The cost of this travel is estimated at a reimbursement rate of \$.25/mile and according to the current State schedule for meals and overnight lodging when required.

Out-of-State Travel \$8,400  
Required travel to CDC quarterly meetings in Atlanta Georgia for principal investigator and 2 educational meetings at CDC for other staff as required by CDC (a total of 6 round trips to Atlanta @ \$1,200 each). One round trip to Raleigh, N.C. for American Association of Central Cancer Registries meeting at \$1,200. Current state schedule for meals and overnight lodging used.

LINE D. EQUIPMENT \$5,000

Microcomputer workstation (60 mg hard disk) with printer, and software for use in cancer registry with Cansur/Net software

LINE E. SUPPLIES \$35,000

Miscellaneous office supplies \$2,000

CD ROM Reader \$ 500  
Required for accessing CDC and NCI databases on breast and cervical cancer control education projects.

Laptop Computers 2 @ \$2,250. \$4,500  
One laptop computer (with 40 mg hard disk) required for tumor registry field work with Cansur/net software. One laptop computer (with 40 mg hard disk) required for surveillance and quality control field activities of project coordinator.

Cansur/Net 14 @ \$2,000 \$28,000  
Cansur/Net computer software will be provided to each of the hospitals in the state to assure that the data reported to the state registry are on compatible systems with built-in edits.

LINE F. CONTRACTUAL \$45,000

Mammography Registry \$35,000  
The development, purchase of required equipment, training of staff at all mammography and pathology facilities, implementation and operation of the mammography registry for six months.

Macro Systems, Inc. \$10,000  
This marketing research firm carried out the last Cancer Control Survey in 1990. Over 3,000 Vermonters will be contacted regarding their cancer knowledge, beliefs, and attitudes. This cost is only 25% of the expected cost.

LINE H. OTHER \$14,000

Survey Mailing \$ 5,000  
The mailing costs of surveys with up to 2 follow-up letters to radiologists, pathologists, radiological technologists, cytotechnologists, nurses, primary care physicians, and other selected groups will be extensive.

Meetings \$ 2,000  
Costs for community, coalition, and working group meetings throughout the state including meeting room costs, advertisements, booths at professional meetings.

Cansur/Net Training \$ 7,000  
Two days training for 15 people for hotel, meals, and travel; meeting room space with 15 computers for training; shared airfare cost for instructors from American College of Surgeons, Chicago, Il.

LINE I. TOTAL DIRECT CHARGES \$219,351

LINE J. INDIRECT CHARGES

\$ 65,502

The Vermont Department of Health uses a Cost Allocation Plan, not an Indirect Rate. This Cost Allocation Plan was approved by the U.S. Department of Health and Human Services effective October 1, 1987. (A copy of the approval document is attached.) The Cost Allocation Plan summarizes actual, allowable costs incurred in the operation of the program. These costs include items which are often shown as direct costs, such as telephone and general office supply expenses, as well as items which are often included in an indirect rate, such as the cost of office space and administrative salaries. These costs are allocated to the program based on the salaries and wages paid in the program relative to the total salaries and wages paid in the department (or division) bearing the original expense. Because these are actual costs, unlike an Indirect Cost Rate, these costs will vary from quarter to quarter and cannot be fixed as a result of program costs. Based on costs allocated to similar programs during recent quarters, we would currently estimate these allocated costs at 79% of the direct salary line item.

LINE K. TOTALS

\$284,853



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

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

**To:** Members, Joint Fiscal Committee

**From:** Margaret S. Maxfield  
Legislative Fiscal Officer

*Margaret*

**Date:** November 2, 1992

**Subj:** JFO Item # 1525 - Request from the Department of Health to accept a grant from the U.S. Department of Health and Human Services, Health Resources and Services Administration for \$135,441 for FY 1993.

The Governor has accepted a grant from the U.S. Department of Health, Health Resources and Services Administration for \$181,170 to establish a state-wide trauma system plan and a state-wide trauma injury register. This is a one year grant. The development of this plan will not commit the state to any future costs. The Registry will be continued with fees. The amount requested in Fiscal Year 1993 is \$135,441. There is no state match required.

There are two limited service positions requested, a project coordinator and a secretary. This increase in positions will be offset by the reduction of two positions elsewhere in state government.

**RECOMMENDATION:**

Recommend acceptance of the grant and an increases in appropriation 010347030 of \$135,441 in Fiscal Year 1993 and the addition of two limited service positions.





JFO #1525

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved the acceptance of a grant from the U. S. Department of Health and Human Services, Health Resources and Services Administration, to the Vermont Department of Health.

The purpose of the \$181,170 grant, for which we are requesting Joint Fiscal Committee approval of \$135,441 estimated to be expended in Fiscal Year 1993, is to establish a statewide trauma injury registry and develop a plan for the state's trauma care system.

Under the project, the Department would establish a Vermont Trauma System Development Committee (VTSDC), which would review established standards for trauma care systems, formulate policies required by such a system, and define a plan for the development of a trauma care system in Vermont. A subcommittee of the VTSDC would design a statewide trauma registry, a computer based capability for collecting and analyzing prehospital and hospital data on trauma patients.

This grant will be implemented using existing Health Department staff, specifically continuing two limited service positions currently engaged under the federally-funded Emergency Medical Services for Children project, which will be ending in December of 1992.

To effect the transition to this trauma grant, we are requesting that two (2) limited service positions - Project Coordinator, and Secretary - be authorized by the Joint Fiscal Committee pursuant to 1992 Act 245 Section 270(c).

There are no matching funds required.

Attached for your review are selected pages of the grant document; a complete grant document is available from the Dept. of Health.



Senator Mary Just Skinner  
October 21, 1992  
Page 2

The grant was awarded September 22, 1992.

Please feel free to call if you have any questions.

Sincerely

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS:njk  
Attachment

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

FORM RA-1  
 (Rev. 9-90)

1. Agency: Agency of Human Services
2. Department: Department of Health
3. Program: Emergency Medical Services
4. Legal Title of Grant: Vermont Trauma Care Systems Planning
5. Federal Catalog No.: 93.953
6. Grantor and Office Address: Bureau of Health Resources Development  
 Rockville, Maryland 20857
7. Grant Period: From: 10/1/92 To: 9/30/93

OCT 16 1992

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

To establish a statewide trauma registry and to plan for the development of the state's trauma care systems.  
 (see attached summary)

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

none

10. Budget Information:	(1st State FY) FY 1993	(2nd State FY) FY 1994	(3rd State FY) FY 19
<b>EXPENDITURES:</b>			
Personal Services	\$ 40,731	\$ 26,016	\$
Operating Expenses	\$ 94,710	\$ 19,713	\$
Other	\$	\$	\$
<b>TOTAL</b>	<b>\$135,441</b>	<b>\$ 45,729</b>	<b>\$</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$ 103,369	\$ 30,929	\$
(Statewide Indirect)	\$ 4,811	\$ 2,220	\$
(Department Indirect)	\$ 27,261	\$ 12,580	\$
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 135,441</b>	<b>\$ 45,729</b>	<b>\$</b>

Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u> 010347030	<u>Amounts</u> \$135,441
--	--	-----------------------------

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

[ ] YES [x] 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
Two limited service positions, originally authorized under the Emergency Medical Services for Children grant, will be continued under this funding source.	
1 Secretary	1
1 Project Coordinator	1
TOTAL	2

12b. Equipment and space for these positions:

[x] Is presently available.

[x] 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]*  
 \_\_\_\_\_  
 (Signature)  
 Commissioner  
 \_\_\_\_\_  
 (Title)

10/5/92  
(Date)

14. Action by Governor:

[x] Approved  
[ ] Rejected

*[Signature]*  
 \_\_\_\_\_  
 (Signature) 10/5/92  
 \_\_\_\_\_  
 (Date)

15. Secretary of Administration:

[x] Request to JFO  
[ ] Information to JFO

*[Signature]*  
 \_\_\_\_\_  
 (Signature) 10/21/92  
 \_\_\_\_\_  
 (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)

1. DATE ISSUED (Mo./Day/Yr.) 09/22/92	2. FEDERAL CATALOG NO. 93.953	DEPARTMENT OF HEALTH AND HUMAN SERVICES PUBLIC HEALTH SERVICE HEALTH RESOURCES AND SERVICES ADMINISTRATION BUREAU OF HEALTH RESOURCES DEVELOPMENT  NOTICE OF GRANT AWARD  MODIFICATION OF TRAUMA CARE COMPONENT/STATE EMS PLAN  AUTHORIZATION (Legislation/Regulation) P.L. 101-590 PHS ACT AS AMENDED
3. SUPERSEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.		
4. GRANT NO. BRP 610020-01-0 Formerly:	5. ADMINISTRATIVE CODES BRP61	
6. PROJECT PERIOD From 10/01/92	Through 09/30/93	
7. BUDGET PERIOD From 10/01/92	Through 09/30/93	

8. TITLE OF PROJECT (OR PROGRAM)(Limit to 57 spaces) Modification of State Trauma Plan	9. GRANTEE NAME AND ADDRESS STATE OF VERMONT DEPARTMENT OF HEALTH 131 MAIN STREET BURLINGTON, VT 05402	10. DIRECTOR OF PROJECT (PROGRAM OR CENTER DIRECTOR, COORDINATOR OR PRINCIPAL INVESTIGATOR)  W. Daniel Manz, Director EMS
---	--	--

11. APPROVED BUDGET (Excludes PHS Direct Assistance) I <input checked="" type="checkbox"/> Grant Funds Only II <input type="checkbox"/> Total project costs including grant funds and all other financial participation		12. AWARD COMPUTATION FOR GRANT	
a. Personal Service.....	\$ 59,818	a. Amount of PHS Financial Assistance (FROM 11.o).....	\$ 181,1
b. Fringe Benefits.....	17,096	b. Less Unobligated Balance from Prior Budget Periods.....	\$
c. Consultants.....	0	c. Less Cumulative Prior Award(s) This Budget Period.....	\$
d. Travel.....	11,150		\$
e. Equipment.....	0	d. AMOUNT OF THIS ACTION.....	181,1
f. Supplies.....	43,200	13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT):	
g. Contractual.....	3,500	BUDGET YEAR	TOTAL DIRECT COSTS
h. Patient Care.....	0	a.	0
i. Construction(A&R).....	0	b.	0
j. Trainee Costs.....	0	c.	0
k. Other.....	3,200	d.	0
l. TOTAL DIRECT COSTS.....	\$ 137,964	14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH):	
m. Indirect Costs..... (Rate 56.17% of S&W/TADC)	\$ 43,206	a. Personal Service.....	\$
n. TOTAL APPROVED BUDGET	\$ 181,170	b. Travel.....	
o. Federal Share.....	\$ 181,170	c. Vaccine.....	
Non-Federal Share*.....	\$ 0	d. Other.....	
*Must meet all matching or cost participation requirements. Subject to adjustment in accordance with PHS policy.		e. TOTAL DIRECT ASSISTANCE.....	\$

15. PROGRAM INCOME SUBJECT TO 45 CFR 74.45 SHALL BE:			
a. ( ) Used to further the objectives of the legislation under which the grant was made.	b. (X) Deducted from total project costs for the purpose of determining the net costs on which the Federal share of costs shall be based.	c. ( ) Other- See Special Conditions	d. ( ) N/A
16. THIS GRANT IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:			
a. The grant program legislation cited above.	d. PHS Grants Administration Manual Chapters in effect as of the beginning date of the budget period.	e. PHS Grants Policy Statement in effect as of the beginning date of the budget period.	
b. The grant program regulation cited above.	f. 45 CFR Part 74. and 45 CFR Part 92.		
c. This award notice including terms and conditions, if any, noted below under Remarks.			

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

REMARKS: (Other Terms and Conditions Attached: (x) YES ( ) NO)

AGENCY OFFICIAL		<i>Glenna Wilcom</i> Glenna Wilcom, Grants Management Officer, BHRD	
17. LIST NO. TPM-04-92	OBJ. CLASS. 41.51	18. CRS-EIN 1-03600027488	19. ORGANIZATION DESCRIPTORS: TYPE 1
FY-CAN	DOCUMENT NO.	SECONDARY ADMIN CODE	AMT. ACTION FIN. ASST
20.a. 2-3770685	b. BRP610020A	c.	d. 181,170
21.a.	b.	c.	e. 0
22.a.	b.	c.	e.



The Vermont Trauma Care System Planning  
& Development Project

Budget Modification

9/21/92

Supplies -

The Project will reduce the budget line item for the Trauma Registry by \$ 5000.00, to \$43,200.00. The scope of the implementation of the registry will be reduced during the grant period. It is hoped that this budget reduction will be made up by increased cost efficiency in other areas.

Indirect Costs -

In an effort to retain funds for direct program costs, the Vermont Department of Health has agreed to reduce Indirect Costs charged to the grant by \$ 2942.00, to \$43,206.00

The total reduction in the grant request is \$ 7942.00, lowering the total request to \$181,170.00..

REQUEST FOR GRANT ACCEPTANCE  
SUMMARY STATEMENT  
TRAUMA CARE SYSTEM PLANNING

The Vermont Department of Health has received a grant award of \$181,170 from the Bureau of Health Resources Development to establish a statewide trauma registry and plan for the development of the state's trauma care systems. This award would fund a one-year project ending on 9/30/93. We are seeking approval to receive \$135,441 of these funds for expenditure during State Fiscal Year 1993. This request assumes that the project will be underway by December of 1992 with most operating expenditures completed by June, 1993. Federal funding for activities to complete the project during State Fiscal Year 1994 will be included in the Department's regular budget request. No State matching funds are required for this grant.

Under this project, the Department would first establish and support a Vermont Trauma System Development Committee (VTSDC) which would include representation from state government, physician, nurse, pre-hospital, hospital and consumer organizations. The VTSDC would review established standards for trauma care systems, formulate policies entailed by such a system and define a plan for the development of a trauma care system in Vermont. Early in the project, a subcommittee of the VTSDC would design a statewide trauma registry, a computer-based facility for collecting and analyzing prehospital and hospital data on trauma patients, to be implemented during the project year.

The project would be administered by the Department's Emergency Medical Services Division and would be staffed by a coordinator and secretary, continuing two positions established under the federally-funded Emergency Medical Services for Children project, which will be ending in December of 1992. The grant would also reimburse the costs of setting up the computer system for the registry and would fund the purchase of software for participating hospitals as well as training for hospital staffs.

## PROJECT ABSTRACT

1. The Vermont Trauma Care Systems Development Grant will be administered by the Vermont Department of Health, Division of Emergency Medical Services which has seven full time employees. The Department of Health is located within the Agency of Human Services. The Secretary of the Agency of Human Services reports to Howard Dean, M.D., Governor of Vermont. The EMS Director will oversee the grant project. Two employees of the division will work in conjunction with a Vermont Trauma System Development Committee (VTSDC) in the administration and management of the project. The members of the multi-disciplinary committee will be appointed by the Commissioner of the Department of Health.
  
2. Vermont presently has no formally established trauma care system or mechanism to monitor and evaluate trauma care. The state has identified two areas that require immediate support in order to develop it's trauma care and corresponding emergency medical services systems. The first priority is to develop a formal trauma care plan. The second priority is to establish a consistent statewide mechanism of data collection and analysis of trauma patients.
  
3. The project will achieve the following objectives during the next year :
  - \* Establish a Vermont Trauma System Development Committee.



- \* Establish a state trauma system development plan that is achievable, affordable and medically defensible with input from a variety of special interest groups.
- \* Select and implement a statewide trauma registry.

4. The key to success in the development of a trauma care plan is the involvement of appropriate individuals and organizations from the very beginning. Establishing the VTSDC as the first activity is essential. Members of this committee will include representation from state government, physician, nurse, pre-hospital, hospital and citizen organizations. The group will be led by the Chair of the Vermont Chapter of the American College of Surgeons Committee on Trauma.

The committee will accomplish the following tasks in the development of a trauma care system: review and report on nationally established trauma center and system standards; formulate triage, transport and transfer policies will be determined; determine if legislation is necessary to establish authority to designate trauma centers and support other improvements; determine a process of verification and designation; identify appropriate public education and injury prevention initiatives; and integrate regionalized trauma care in coordination with systems in New York and New Hampshire.

A subcommittee of the VTSDC will be charged with design and implementation of a statewide trauma registry. With the support of a Vermont Department of Health Systems Analyst, they will evaluate available trauma registries and select the most appropriate for use in Vermont. The group will procure the necessary software and hardware. Hospital staffs will receive training in use of the registry. This will be closely monitored to assure data quality from the onset.

While the goals and objectives of the Vermont Trauma Care Development Project are ambitious, a consensus plan and a trauma registry are the foundation blocks upon which a working trauma system can be built and monitored.

## BUDGET

### Personnel

Patrick Malone, Trauma Project Coordinator	\$31,158
Tina Chicoine, Trauma Secretary	21,160
VDH Systems Analyst	7,500

<b>Total Personnel</b>	<b>\$59,818</b>
------------------------	-----------------

### Fringe Benefits

Fringe Benefits @ 27% of Salaries & Contractual	\$17,096
---	----------

<b>Total Fringe Benefits</b>	<b>\$17,096</b>
------------------------------	-----------------

### Travel

#### Out of State Travel

Washington, D.C. meeting	\$ 700
--------------------------	--------

#### In-State Travel for Staff and Committee Members

4 VTSDC Meetings (150 mi. X 15 people X 4 meetings X \$.25)	2,250
--	-------

24 Sub-committee meetings (150 mi. X 4 people X 24 meetings X \$.25)	3,600
---	-------

Staff Travel	
(200 mi. X 50 trips X \$.25)	2,500
(30 overnights X \$45/rm & \$25/meals)	2,100

<b>Total Travel</b>	<b>\$11,150</b>
---------------------	-----------------

**Equipment**

<b>Total Equipment</b>	<b>\$ 0</b>
------------------------	-------------

**Supplies**

Office Supplies	\$ 2,000
Photocopy and Printing	1,200

**Trauma Registry Costs**

**System Acquisition and Modification.**

This is the purchase of the required licenses, and modification of software to fit Vermont. We will need to buy a host PC with suitable peripherals.

\$45,000

<b>Total Supplies</b>	<b>\$48,200</b>
-----------------------	-----------------

**Contractual**

Training and Installation. This will cover the costs associated with establishing and verifying registry data entry capacity at local hospitals.

\$ 3,500

<b>Total Contractual</b>	<b>\$ 3,500</b>
--------------------------	-----------------

**Construction**

**Total Construction** \$ 0

**Other**

Meeting Expenses

4 VTSDC Meetings

(20 people X 4 meetings X \$10/meal) \$ 800

24 Sub-committee meetings

(5 people X 24 meetings X \$10/meal) 1,200

4 VTSDC Meeting Room Rental (\$50/meeting) 200

Public Hearing Expenses

2 Public Hearings on Trauma Center and Trauma System

Standards using the Vermont Interactive Television Network at 8 sites. (\$500 per hearing) \$ 1,000

**Total Other Expenses** \$ 3,200

**Indirect Costs**

The Vermont Dept. of Health does not operate with a negotiated indirect rate. Instead we use a cost allocation plan approved by DHHS on 3/2/89. The amounts shown as indirect in this grant are established costs that would be charged to this grant under the approved plan based on past experience with

similar grants.

State Indirect @ 60% of Salary and Fringe \$46,148

**Total Indirect Costs \$46,148**

**Total Grant Request \$189,112**

The value of in-kind contributions of Dr. Vane's time as VTSDC Chairperson and the time of other committee members has not been included as a part of the budget.

**Computer purchase justification-** A host PC dedicated to the trauma registry is included as part of the budget request. Preliminary projections by the Department of Health's systems analysis staff indicate that the PC will need to be a 486 machine with a fairly large hard drive. The Department of Health does not own a 486 computer today. All other PCs owned by the Department of Health are routinely dedicated to other functions.

**Priority of budget items-** The proposed budget includes the following priorities in ranked order:

- o Personnel costs- Project staff is the top budget priority. Funding the staff positions will support the establishment and operation of the VTSDC to begin development of a trauma care plan and trauma registry.
- o Meeting expenses and travel- These budget items will facilitate the work of the staff and the VTSDC as described elsewhere.
- o Trauma registry- This includes the costs associated with software evaluation by the systems analyst, purchase of required licenses and modification of software,

and a PC with suitable peripherals for support of the trauma registry.

- o All other costs



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

M E M O R A N D U M

To: Members, Joint Fiscal Committee

From: Margaret S. Maxfield *Margaret*  
Legislative Fiscal Officer

Date: November 2, 1992

Subj: JFO Item # 1526 - Request from the Department of Health to accept a two grants from the U.S. Department of Health and Human Services, Centers for Disease Control, for \$35,164 for FY 1993

The Governor has accepted two grants from the U.S. Department of Health and Human Services, Centers for Disease Control for the purpose of establishing a single statewide blood lead surveillance system. This system will have separate components for adult and children. Each of these two grants is for three years. The later years will be budgeted.

The first grant is for adult surveillance for elevated blood lead levels and is for \$31,736 annually. The second grant is for child surveillance for elevated blood lead levels and is for \$38,592 annually. There are no matching funds required.

The grants will be administered by the Health Department's Epidemiology Division and one limited service position, Public Health Nurse:Epidemiologist is requested. This addition of one position will be offset by a reduction of one position elsewhere in state government.

The State of Vermont has regulations requiring reporting of lead poisoning in adults and children, but it does not have any surveillance activity that follows this reporting. The proposal is to institute state-wide laboratory based surveillance for all blood lead levels that are not within the safety margin. Analysis of data will identify specific worksites, industries, communities or demographic subgroups that require special attention.



Joint Fiscal Members  
November 2, 1992  
Item #1526  
Page 2

**RECOMMENDATION:**

Recommend acceptance of the two grants, increases in appropriation 010347040 of \$2,404 and appropriation 010347020 of \$32,760, and the addition of one limited service position, Public Health Nurse - Epidemiologist.



JFO#1526

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 21, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear Senator Skinner:

The Governor has approved the acceptance of two grants from the U.S. Department of Health and Human Services, Centers for Disease Control, to the Vermont Department of Health. The grants are in the amounts of \$31,736 and \$38,592, for a total of \$70,328 per year.

We are seeking Joint Fiscal Committee approval for \$35,164 which we estimate will be expended in Fiscal Year 1993. Subsequent fiscal years will be budgeted.

The purpose of the three year grants is to establish a single, statewide blood level surveillance system, with separate adult and child components. <sup>lead</sup>

The project will be administered by the Health Department's Epidemiology Division. We are requesting that the one (1) limited service position needed to carry out the project - Public Health Nurse: Epidemiologist - be authorized by the Joint Fiscal Committee pursuant to 1992 Act 245 Section 270(c). While we are cognizant of the fact that limited service positions created by the Joint Fiscal Committee are not subject to the restriction on increasing positions during fiscal year 1993, we believe that in fact any increase in the total number of authorized state positions due to this grant will be offset by reductions within State government.

Data for the surveillance system will be obtained from laboratory reports of tests in which blood levels exceed predetermined levels; the data will be subjected to computer analysis. The grants will fund the position as well as the associated computer hardware and software.

There are no matching funds required.

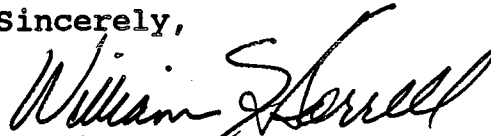
Senator Mary Just Skinner  
October 21, 1992  
Page 2

Attached for your review are selected pages of the grant document;  
a complete grant document is available from the Department of Health.

The grant was awarded September 30, 1992.

Please feel free to call if you have any questions.

Sincerely,

A handwritten signature in cursive script that reads "William H. Sorrell". The signature is written in dark ink and is positioned above the printed name and title.

William H. Sorrell  
Secretary of Administration

WHS:njk  
Attachment

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

FORM AA-1  
(Rev. 9-90)

1. Agency: Agency of Human Services
2. Department: Department of Health
3. Program: Epidemiology Division
4. Legal Title of Grant: Blood Lead Surveillance
5. Federal Catalog No.: 93.283
6. Grantor and Office Address:  
Centers for Disease Control, Atlanta, Georgia 30305
7. Grant Period: From: 9/30/92 To: 9/29/93

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

To establish a statewide blood lead surveillance system.  
(see attached summary)

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

none

10. Budget Information:	(1st State FY) FY 19 93	(2nd State FY) FY 19 94	(3rd State FY) FY 19 95
<b>EXPENDITURES:</b>			
Personal Services	\$ 20,023	\$ 40,047	\$ 40,047
Operating Expenses	\$ 15,141	\$ 30,281	\$ 30,281
Other	\$	\$	\$
<b>TOTAL</b>	<b>\$ 35,164</b>	<b>\$ 70,328</b>	<b>\$ 70,328</b>
<b>REVENUES:</b>			
<b>State Funds:</b>			
Cash	\$	\$	\$
In-Kind	\$	\$	\$
<b>Federal Funds:</b>			
(Direct Costs)	\$ 27,606	\$ 55,212	\$ 55,212
(Statewide Indirect)	\$ 1,512	\$ 3,023	\$ 3,023
(Department Indirect)	\$ 6,046	\$ 12,093	\$ 12,093
<b>Other Funds:</b>			
(source) _____	\$	\$	\$
<b>TOTAL</b>	<b>\$ 35,164</b>	<b>\$ 70,328</b>	<b>\$ 70,328</b>

Grant will be allocated to these appropriation expenditure accounts:	<u>Appropriation Nos.</u>	<u>Amounts</u>
	010347040	\$ 2,404
	010347020	\$ 32,760

-over-

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

[ ] YES [x] 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
Public Health Nurse - Epidemiologist	1
TOTAL	1

12b. Equipment and space for these positions:

[ ] Is presently available.  
[x] 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.

*Janet Lawrence*  
(Signature)  
Commissioner  
(Title)

10/2/92  
(Date)

14. Action by Governor:

[x] Approved  
[ ] Rejected

*[Signature]*  
(Signature)

10/20/92  
(Date)

15. Secretary of Administration:

[x] Request to JFO  
[ ] Information to JFO

*William Howell*  
(Signature)

10/31/92  
(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)

**Abstract: Adult Blood Lead Surveillance**

The State of Vermont has a regulation requiring the reporting of lead poisoning, but it does not do surveillance for this condition. Examination of line lists from a local laboratory indicate that significant numbers of adult Vermonters have blood lead levels  $\geq 25$  ug/dL, however. Their exposures are principally occupational in nature. The Vermont Health Department proposes to institute state-wide, laboratory-based surveillance for all blood lead levels  $\geq 10$  ug/dL and urine lead levels  $\geq 100$  ug/l. Laboratories will send reports in to the Epidemiology Division where they will be entered into a database. Interviews with patients will be conducted to provide education and obtain information about the source of their lead exposure. Form letters of an educational nature will also be sent to the physicians and -- when applicable -- employers of affected adults. A subset of cases will be followed up by industrial hygienists at the Vermont Occupational Safety and Health Administration. This subset will include all individuals with BLLs  $\geq 40$  ug/dl. Analysis of aggregate data in the database will identify specific worksites, industries, or demographic subgroups that require special attention. Various evaluation strategies will assess the program's simplicity, timeliness, sensitivity, and utility.

-----

**Abstract: Child Blood Lead Surveillance (submitted separately)**

State of Vermont regulations require the reporting of lead poisoning, although there is no surveillance activity that follows this reporting. Limited data available indicate that there is a significant number of Vermont children with blood lead levels  $\geq 10$  ug/dL. The Vermont Department of Health proposes to institute state-wide, laboratory based surveillance for all blood lead levels  $\geq 10$  ug/dL. Laboratories will send reports to the Epidemiology Division where blood lead results for children (age 15 years or less) will be entered into the STELLAR program manager database. Parents will be provided educational material explaining the significance of lead poisoning and illustrating ways of reducing their child's lead exposure. Form letters will be sent to the owner of the home where the child lives, if other than the parents, and to the child's physician, with information relevant to the case. An environmental assessment will be conducted on the homes and secondary residences of children with blood lead levels of 20 ug/dL or greater. Analysis of data in the database will identify communities with an increased prevalence of lead poisoning which will require special community-wide intervention. Various evaluation strategies will assess the program's effectiveness.

ISSUED  
09/30/1992

2. FEDERAL CATALOG NO.  
93.283

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
PUBLIC HEALTH SERVICE  
CENTERS FOR DISEASE CONTROL  
PROCUREMENT AND GRANTS OFFICE  
255 E. PACES FERRY ROAD, N.E.  
ATLANTA, GEORGIA 30305

SUPERSEDES AWARD NOTICE DATED  
EXCEPT THAT ANY ADDITIONS OR RESTRICTIONS  
PREVIOUSLY IMPOSED REMAIN IN EFFECT UNLESS SPECIFICALLY RESCINDED.

4. GRANT NO.  
U60/CCU108423-01  
FORMERLY:  
6. PROJECT PERIOD  
FROM 09/30/1992  
THROUGH 09/29/1995  
7. BUDGET PERIOD  
FROM 09/30/1992  
THROUGH 09/29/1993

NOTICE OF COOPERATIVE AGREEMENT  
AUTHORIZATION (LEGISLATION/REGULATION)  
SECTION 301 PHS ACT AND SECTION 20 OSH

8. TITLE OF PROJECT (OR PROGRAM) (LIMIT TO 53 SPACES)  
SURVEILLANCE OF ELEVATED BLOOD LEAD LEVELS IN ADULTS AND CHILDREN

9. GRANTEE  
STATE OF VERMONT  
GRANTS MANAGER  
60 MAIN STREET  
BURLINGTON, VT 05402

10. DIRECTOR OF PROJECT (PROGRAM OR CENTER DIRECTOR,  
COORDINATOR OR PRINCIPAL INVESTIGATOR)  
LEN PAULOZZI, M.D.  
VERMONT DEPARTMENT OF HEALTH  
60 MAIN STREET  
BURLINGTON, VT 05402

11. APPROVED BUDGET (EXCLUDES PHS DIRECT ASSISTANCE)

12. AWARD COMPUTATION FOR GRANT

<input checked="" type="checkbox"/> GRANT FUNDS ONLY		<input type="checkbox"/> TOTAL PROJECT COSTS INCLUDING GRANT FUNDS AND ALL OTHER FINANCIAL PARTICIPATION.	
A. PERSONAL SERVICE.....	\$	13,874	
B. FRINGE BENEFITS.....		3,745	
C. CONSULTANTS.....		0	
D. TRAVEL.....		1,860	
E. EQUIPMENT.....		0	
F. SUPPLIES.....		500	
G. CONTRACTUAL.....		0	
H. PATIENT CARE.....		0	
I. CONSTRUCTION(A & R).....		0	
J. TRAINEE COSTS.....		0	
K. OTHER.....		500	
L. TOTAL DIRECT COSTS.....		20,479	
M. INDIRECT COSTS.....			
RATE: 0.0000	*	11,257	
N. TOTAL APPROVED BUDGET.....		31,736	

A. AMOUNT OF PHS FINANCIAL ASSISTANCE (FROM 11.0).....	\$	31,736
B. LESS UNOBLIGATED BALANCE FROM PRIOR BUDGET PERIODS.....	\$	
C. LESS CUMULATIVE PRIOR AWARD(S) THIS BUDGET PERIOD.....	\$	
D. AMOUNT OF THIS ACTION.....	\$	31,736

13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO THE AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT)			
BUDGET YEAR	TOTAL DIRECT COSTS	BUDGET YEAR	TOTAL DIRECT COSTS
A. 2	31,736	E. 0	
B. 3	31,736	F. 0	
C. 0	0	G. 0	
D. 0	0		

O. FEDERAL SHARE ..... \$ 31,736  
P. NON-FEDERAL SHARE \* ..... \$ 0

14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH)  
A. PERSONAL SERVICE..... \$  
B. TRAVEL..... \$  
C. VACCINE..... \$  
D. OTHER..... \$  
E. TOTAL DIRECT ASSISTANCE..... \$

\* MUST MEET ALL MATCHING OF COST PARTICIPATION REQUIREMENTS. SUBJECT TO ADJUSTMENT IN ACCORDANCE WITH PHS POLICY.

15. PROGRAM INCOME SUBJECT TO 45 CFR 74.42 SHALL BE:  
A. \_\_\_\_\_ USED TO FURTHER THE OBJECTIVES OF THE LEGISLATION UNDER WHICH THE GRANT WAS MADE.  
B. \_\_\_\_\_ DEDUCTED FROM TOTAL PROJECT COSTS FOR THE PURPOSE OF DETERMINING THE NET COSTS ON WHICH THE FEDERAL SHARE OF COSTS SHALL BE BASED.  
C. \_\_\_\_\_ OTHER--SEE SPECIAL CONDITIONS  
D.  N.

16. THIS GRANT IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:  
A. THE GRANT PROGRAM LEGISLATION CITED ABOVE.  
B. THE GRANT PROGRAM REGULATION CITED ABOVE.  
C. THIS AWARD NOTICE INCLUDING TERMS AND CONDITIONS, IF ANY, NOTED BELOW UNDER REMARKS.  
D. PHS GRANTS POLICY STATEMENT IN EFFECT AS OF THE BEGINNING DATE OF THE BUDGET PERIOD.  
E. 45 CFR PART 74.

IN THE EVENT THERE ARE CONFLICTING OR OTHERWISE INCONSISTENT POLICIES APPLICABLE TO THE GRANT, THE ABOVE ORDER OF PRECEDENCE SHALL PREVAIL. ACCEPTANCE OF THE GRANT TERMS AND CONDITIONS IS ACKNOWLEDGED BY THE GRANTEE WHEN FUNDS ARE DRAWN OR OTHERWISE OBTAINED FROM THE GRANT PAYMENT SYSTEM.

REMARKS  
45 CFR PART 92 APPLIES TO THIS AWARD

SPONSOR:  
\*IDC RATE BASE: SEE ATTACHED  
AGENCY OFFICIAL *Henry S. Caspell III*  
HENRY S. CASPELL, III, GRANTS MANAGEMENT OFFICER

17. PHS LIST NO. C3-106-C92 FY-CAN	OBJ.CLASS 41.51 DOCUMENT NO.	CRS.EIN 1-036000274-A7 SECONDARY ADM.CODE	17. ORGANIZATION DESCRIP 12--40 AMT.ACTION FIN.ASST
20.A 2-A492S 2-9278509	B. CCU108423	C. CCU60	D. 31,736
21 A	B.	C.	D.

**PROGRAM ANNOUNCEMENT NUMBER 229****ADULT BLOOD LEAD SURVEILLANCE**

N.B.: Vermont is applying for Adult Blood Lead Surveillance (ABLS) as a state without an existing surveillance system for adult lead poisoning.

**I. Introduction****A. Description of the problem of lead poisoning**

Since lead is malleable, has a low melting point, resists corrosion, and makes brightly colored pigments, it is more widely used than any other metal. Two thirds of lead consumed in the United States goes into electric storage batteries. The remainder goes into cable coverings, sheeting, ammunition, solder, brass, and exterior paints, among others.<sup>1</sup>

The extent of adult lead poisoning is difficult to measure. As of May, 1992, only 18 states required the reporting of elevated blood lead levels ( $\geq 25$  ug/dL) (BLs). During 1991, 13 states provided 18,879 reports of elevated blood lead levels to NIOSH.<sup>2</sup> Adults acquire lead poisoning primarily from their work and secondarily from hobby or domestic exposures. Occupational exposure occurs in battery plants, lead smelters, radiator repair shops, and anywhere old coats of paint are disrupted, such as in shipbreaking, bridgeburning, and construction projects. Hobbyists who make stained glass windows, bullets, or fishing sinkers also may have exposure. Domestic exposure comes from lead-glazed earthenware, illicitly distilled alcohol, and folk remedies.<sup>3</sup>

The number of lead-using companies in Vermont is not known. However, the state has a number of companies in SIC categories where lead use is known to occur. For example, 18 four-digit SIC categories reported lead-poisoned workers in 1987 in California.<sup>4</sup> There were 223 employers registered with the State of Vermont in these 18 categories in 1991.<sup>5</sup> Self-employed people with lead exposure are, of course, not included among these 223.

No cases of elevated blood lead levels among adults have been reported to the Vermont Department of Health Epidemiology Division since 1988, despite a reporting requirement. Adults with elevated BLs reside in Vermont, however, and some have had their intoxication documented. During fiscal year 1990, the state's only tertiary care hospital's laboratory conducted 123 blood lead tests on people 16 or more years old, ordered by



various private physicians. Of these, 22 (17.9%) people had lead levels  $\geq 25$  ug/dL. Men constituted 65.8 percent of the adults tested and 95.4 percent of those with elevated BLLs. Of the men with elevated BLLs, 90.5 percent were between 20 and 45 years old. These findings suggest that the bulk of documented elevated BLLs in Vermont, at least, are occupational in origin.

#### **B. Scientific basis for lab-based surveillance**

Using laboratories for the surveillance of lead poisoning is attractive for a number of reasons. A lab test result showing an elevated BLL is sufficient to make the diagnosis. The blood lead test is sensitive and specific. Blood lead testing is performed by a limited number of laboratories, especially in a state of small hospitals such as Vermont. Therefore, the number of reporting sources is manageable, unlike reporting based on physicians.

The disadvantages of laboratory reporting are two. First, laboratories may be less likely to report identifying information than physicians in the absence of regulations requiring such reporting. Second, lab tests conducted out of state and sent directly back to ordering physicians may never be reported.

The utility of laboratory-based surveillance has been amply demonstrated in a number of states.<sup>6,7,8</sup> Followup of lab reports in California, for example, identified a large number of lead-poisoned workers who were not in routine medical monitoring programs. Problems identified with this type of surveillance in California, on the other hand, included lack of complete demographic information on cases and slower than desirable notification for cases with markedly elevated BLLs.

#### **C. Existing occupational surveillance in Vermont**

No formal surveillance for occupational illnesses other than lead poisoning exists in Vermont. Adult lead poisoning is reportable in the state, but surveillance is currently passive and physician-based. The health department has never published an appeal to physicians to report adult lead poisoning cases. Since 1988, only childhood cases have been reported to the state health department. (The state has regional offices but no free-standing county health departments.) No laboratories in the state routinely report BLLs to the Vermont Department of Health.

Lead-using industries to which the OSHA lead standard applies are known to be conducting medical monitoring. However, these employers do not routinely report BLLs to Vermont OSHA (VOSHA).

The Vermont Department of Health Epidemiology Division surveyed hospital and community labs in the state in 1990. All

laboratories contacted indicated their willingness to report identifying information on people with elevated BLLs. An unknown percentage of blood lead tests are being conducted out of state.

#### D. Lead poisoning reporting requirement

Vermont communicable disease regulations require that "health care providers who know or suspect that a person is sick or has died of a disease dangerous to the public health report to the Health Department within 24 hours of the time they become aware of the disease" (section 4-201)(Appendix A). Those required to report include physicians, nurses, hospital administrators, and laboratory directors. The report must include the name, age, sex, address, and attending physician of the person affected as well as "any other pertinent facts." (section 4-203). The diseases required to be reported are listed in section 4-204 and include lead poisoning. The regulations do not distinguish between blood and urine lead levels, nor do they define the levels that constitute poisoning. Defining a reportable level for laboratory tests has been the Health Department's prerogative in other areas, however.

All Vermont laboratories currently report cases of infectious diseases to the Epidemiology Division on a standardized reporting form at prescribed intervals. They are given regular feedback on how well they do in complying with the reporting schedule. Those with poor records receive remedial attention.

## II. Objectives

- A. Set up an adult blood lead surveillance system by January 1, 1993. By this date, staff will have requested reports from all state labs, all appropriate out-of-state labs, and all lead programs in other jurisdictions. In addition, a database will be created and ready to receive incoming reports.
- B. Vermont OSHA will have conducted a regulatory or voluntary inspection at all worksites that employ one or more workers with BLLs  $\geq 40$  ug/dl within one month of receipt of the report. All adults with BLLs between 10 and 39 ug/dL will at a minimum be contacted and educated as needed by the adult lead program manager or VOSHA within one month of receipt of the report.
- C. By April, 1993, produce a first report describing data on reported cases. This report will include analysis by gender, race, age, county, SIC category, job title, month, lead level, and reporting source.

### III. Methods

#### A. Data collection methods

First, an existing list of the addresses and telephone numbers of all laboratories in the state will be obtained. To this list will be added the names of commercial labs outside Vermont that may be analyzing specimens from Vermont residents or employees. The list of out-of-state labs will be compiled by querying hospital labs that currently send their tests outside and by contacting lead screening programs in other states for their suggestions as to large commercial labs. Finally, contacts at lead surveillance programs in the New England states and in the other states reporting BLLs to NIOSH in 1991<sup>9</sup> will be identified and added to the mailing list.

We will send a letter to the mailing list requesting the report of any individuals with blood lead levels  $\geq 10$  ug/dl or urine lead levels (ULLs)  $\geq 100$  ug/l resident in or known to be working in Vermont. The letter will request the patient's name, date of birth, address, phone, test result, date of test, name of lab and ordering physician. Labs will be encouraged to send such reports to us immediately, but we will accept reports submitted on a weekly basis. Labs can send individual reports on a special form that we will design. Labs reporting large number of cases will be permitted to send line listing printouts. In some cases, labs may be even able to send diskettes.

Additionally, we will send a mailing to all Vermont physicians during the first grant year requesting that they also report cases of elevated BLLs and ULLs to us. This may capture some cases tested by laboratories not reporting to us.

Additional reporting sources include VOSHA inspectors, who may hear of lead poisoning cases in the course of their work, and workers' compensation claims data.<sup>10</sup> We will review computerized claims data every six months to capture any unreported cases. Once cases are identified at specific companies, physicians or nurses providing occupational health services at these companies will be contacted and reminded of their obligation to report lead poisoning cases.

In order to encourage physician reporting, we will attempt to convince labs to define the normal levels for a blood lead test as less than 10 ug/dL. Currently, some labs still define the normal range of blood lead as zero to 40 ug/dL. A worker may have significant exposure and subtle health effects at levels less than 40 ug/dL yet never be picked up because the result is read out as "normal" by the testing lab.

## B. Data management

All telephone and mail reports will go directly to the program manager. The manager will input the known variables on each case into a standard form. The manager will then attempt to fill in the unknown variables -- if any -- by contacting the patient when a phone number is available or by contacting the physician when it is not. The variables to be recorded on each case include those requested from the laboratories (listed above), plus:

- place of work
- work address
- work phone
- employment history and current job title
- exposure history and current exposure
- industry
- SIC code
- number of employees
- nature of medical monitoring
- history of any previous blood lead tests in this job
- personal protective equipment used
- lead screening history of any children 6-72 months old in the employee's household
- date of interview
- name of physician
- whether permission to discuss the case with the person's employer was obtained

Information unknown to the employee in some cases, such as SIC code, can be obtained from the Vermont Department of Labor and Industry or the employer. Other variables may be added to this list following consultation with other states already involved in occupational lead poisoning surveillance. Some modifications to this list may also be necessary for people whose lead exposure turns out to be avocational or from some other nonoccupational source.

Once information collection is complete, the program manager will key the data into a mainframe database using data entry screens constructed with existing software (Vax 1032 database manager). Full name and date of birth will serve as a unique case identifier. The names of individuals who report previous blood lead tests in the same job will be sought before entering them as new cases. Individuals with existing records will be updated into data fields provided for this purpose on every record. The database will be accessible only to the program manager and staff of VOSHA. All name-identified paper records will be stored in a locked file cabinet. Paper forms will be filed by company rather than patient name.

### C. Data analysis

Data analysis will consist primarily of line listings and frequency distributions. The number of individuals with elevated BLLs in specific industrial classifications and companies will be of particular interest. Routine analyses will be repeated quarterly as soon as a total of 50 cases are reported. All analyses required for the quarterly reports will be part of the routine.

Analysis will be accomplished by the program manager using the SPSS statistical package already loaded on the mainframe. An existing interface or "user procedure" allows immediate creation of an SPSS systems file from mainframe databases.

### D. Case follow-up

The program manager will handle all follow-up of self-employed people or nonoccupational exposures. The program manager will also be responsible for the basic education of all identified individuals regarding lead poisoning and its prevention. This education will begin during the initial telephone contact. Later, the manager will mail written information to all people reported to have elevated BLLs.

The manager will also mail a form letter, when permissible, to the employer. The form letter will notify the employer that the case has been reported, briefly outline the hazards of lead and the legal requirements in the OSHA lead standard, and indicate the availability of voluntary consultation through VOSHA.

A second form letter will be sent to the worker's personal physician. This letter will ensure that the physician is aware of the test and the suspected exposure source as well as the need for retesting. Accompanying it will be a reprint describing the appropriate medical surveillance of lead-exposed workers.<sup>11</sup> Hopefully this will motivate the physician to monitor this patient over time. Physicians with questions on management will be urged to contact the principal investigator, Dr. Len Paulozzi. Dr. Paulozzi will be able to provide the name of occupational medicine specialists in Albany or Boston with whom local physicians might consult. There is also an occupational medicine clinic at the University of Vermont College of Medicine that may prove helpful to local physicians.

In some cases, the program manager will decide that educating the person's employer or regulatory action by VOSHA is necessary. Such cases will be immediately referred to the VOSHA health program manager for action. (Vermont OSHA is a state program responsible for the enforcement of federal OSHA regulations, including the OSHA lead standard.) The VOSHA manager will then decide what form of intervention, including possible inspection,

is indicated. At a minimum, all worksites with employees with lead levels  $\geq 40$  ug/dL will be inspected.

In some circumstances, where the OSHA lead standard cannot be invoked, such as among the self-employed or construction workers, coworkers of individuals with elevated BLLs may be unable to afford blood lead testing even though they have similar exposure. The cost of testing might then be borne by the Health Department. The Health Department might also test workers where significant exposure is suspected but never documented.

All reported individuals will be recontacted three months after their initial test result to determine if they have been retested and if work practices or assignment have changed. Recontact will also provide a second educational opportunity. Further contacts will be made as necessary, judging primarily from the frequency and results of reported followup blood lead tests.

#### **E. Information dissemination**

Quarterly surveillance reports will be sent to all reporting laboratories, VOSHA, the employers of five or more people with elevated BLLs, any self-identified occupational health clinics or services in the state, and various business and labor groups in the state. Every year, the program manager will write a summary of surveillance results for the Vermont Disease Control Bulletin, which is mailed to all Vermont physicians. One press release each year will attempt to highlight any newsworthy aspect of the surveillance findings.

We will attempt to target specific populations of workers that may be at particular risk in Vermont through presentations at their professional gatherings or articles in their newsletters or posters where they may tend to congregate. We may also choose to do special mailings to all employers in specific industrial categories, e.g., all painting contractors, to point out some widely unappreciated risk or suggest a better way to prevent exposure.

#### **F. Evaluation methods**

The surveillance system will be evaluated according to a number of criteria:<sup>12</sup>

##### Simplicity:

1. A flow chart describing the flow of information and response options will be created to help assess simplicity.
2. The program manager will be required to keep track of how much time s/he spends collecting data, analyzing it, and transmitting recommendations. The cost for each activity per reported case will be calculated.

Acceptability:

1. Number and percent of laboratories conducting lead testing in the area that report cases as requested.
2. Percent of cases reported by laboratories also reported by the physician.
3. Interview completion rates.
4. Percentage of missing information for each variable in the database.

Timeliness

1. Mean interval between test result date and date of report overall and for each reporting source.
2. Mean interval between date of report and date of entry into the database.
3. Mean interval between date of report and date of interview of patient.
4. Mean interval between date of report and inspection of workplace by VOSHA

Sensitivity

1. Percent of cases identified from nonlaboratory sources, such as physicians, also identified through laboratory surveillance.
2. Percent of Vermont industries known to be conducting medical monitoring for lead whose lead test results are available through the surveillance system. (Lists of such lead-using industries must be obtained through VOSHA records.)

Effectiveness of recommendations:

1. Percent of individuals at the three-month followup that have had a repeat blood test, stratified by initial blood lead level.
2. Percent of individuals at the three-month followup that have changed work practices or otherwise lowered their exposure appropriately.
3. Percent of referrals to VOSHA that have led to voluntary contacts or visits or regulatory visits.
4. Mean difference in blood lead level between initial and first followup blood tests.
5. Percent of cases that led to the testing of other employees in the same work place and number of such employees identified with elevated BLLs.
6. Percent of workers with elevated BLLs whose children 6-72 months old are being screened as high-risk children according to the CDC's October, 1991 guidelines.<sup>13</sup>

Each of these evaluation measures will be assessed quarterly and reported to NIOSH.

### G. Timeline

Activity	Year 1 month									Year 2 quarter				Year 3 quarter						
	10	11	12	1	2	3	4	5	6	7	8	9	1	2	3	4	1	2	3	4
Data collection																				
Hire staff person		X																		
Compile list of reporting sources			X																	
Create reporting form			X																	
Create data base			X																	
Request reports from sources				X																
Letter to labs re normals								X												
Article on ABLIS for physicians					X															
Case follow-up																				
Interviews				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Data entry					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Recontacts of cases							X	X	X	X	X	X	X	X	X	X	X	X	X	X
Information sharing																				
Quarterly reports				X			X			X			X	X	X	X	X	X	X	X
Article on ABLIS results in physician newsletter													X					X		
Press release										X										
Evaluation																				
Simplicity, acceptability, and timeliness							X			X			X	X	X	X	X	X	X	X
Effectiveness										X			X	X	X	X	X	X	X	X



Project Sustainability beyond the Grant Period

The Health Department's ability to sustain these grant activities beyond the grant period cannot be guaranteed, given that staffing and budgetary considerations are difficult to predict three years in advance. However, once the system is well established and basic data is recorded on the majority of workers with elevated BLLs in the state, the loss of salary monies will not mean an end to program activities. Most of the program activities can be shifted in that eventuality to existing staff in the Office of Environmental and Chronic Disease Epidemiology.

## V. BUDGET JUSTIFICATION

LINE A. PERSONNEL \$13,874

ABLS Project Manager (.5 FTE) \$13,874  
This position will provide overall management of the Adult Blood Lead Surveillance project, under the supervision of Dr. Len Paulozzi. Responsibilities will include data collection, management and analysis and case follow-up.

LINE B. FRINGE BENEFITS \$3,745

The cost of fringe benefits is estimated at 27% of the salary total (Line A. Personnel), based on the cost of current employee benefits.

LINE C. TRAVEL \$3,360

Instate Travel \$660  
We anticipate that case follow-up and site visits will require occasional instate travel of the ABLs Project Manager. We have estimated the cost of this travel based on a reimbursement rate of \$.25/mile and the current State reimbursement schedule for meals and overnight lodging when required.

Out-of-State Travel \$2,700  
These funds would cover the cost of out-of-state travel for the ABLs Project Manager to attend a NIOSH training course for five days, estimated at \$1500, and to attend a 3-day occupational health conference, estimated at \$1200. The estimated costs of these out-of-state trips are based on recent, similar travel by Department staff and the current State schedule for reimbursement of travel expenses.

LINE D. EQUIPMENT \$125

This item would cover the cost of a telephone headset to be used by the ABLs Project Manager when contacting patients with elevated BLLs.

LINE E. SUPPLIES \$1,500

The Department of Health may need to pay for blood lead tests in situations where workers cannot or will not pay. This cost is estimated at \$30/test for 50 tests.

LINE H. OTHER \$1,000

Postage \$500

We have estimated the cost of mailings to patients, employers and physicians, as described under "Data collection methods."

Training Fees \$500

This item would cover the cost of fees for training for the ABLS Project Manager.

LINE I. TOTAL DIRECT CHARGES \$23,604

LINE J. INDIRECT CHARGES \$12,348

The Vermont Department of Health uses a Cost Allocation Plan, not an Indirect Rate. This Cost Allocation Plan was approved by the U.S. Department of Health and Human Services effective October 1, 1987. (A copy of the approval document is attached.) The Cost Allocation Plan summarizes actual, allowable costs incurred in the operation of the program. These costs include items which are often shown as direct costs, such as telephone, routine postage and general office supply expenses, as well as items which are often included in an indirect rate, such as the cost of office space and administrative salaries. These costs are allocated to the program based on the salaries and wages paid in the program relative to the total salaries and wages paid in the department (or division) bearing the original expense. Because these are actual costs, unlike an Indirect Cost Rate, these costs will vary from quarter to quarter and cannot be fixed as a percentage of program costs. Based on costs allocated to similar programs during the last three fiscal quarters (6/1/91-3/31/92), we would currently estimate these allocated costs at 89% of the direct salary line item.

LINE K. TOTALS \$35,952

ISSUED  
09/30/1992

2. FEDERAL CATALOG NO.  
93.283

3. SUPERSEDES AWARD NOTICE DATED  
ACCEPT THAT ANY ADDITIONS OR RESTRICTIONS  
PREVIOUSLY IMPOSED REMAIN IN EFFECT UNLESS SPECIFICALLY RESCINDED.

4. GRANT NO.  
#64/CCH108428-01  
FORMERLY:

5. ADMINISTRATIVE CODES  
CCH64

6. PROJECT PERIOD  
FROM 09/30/1992 THROUGH 09/29/1995

7. BUDGET PERIOD  
FROM 09/30/1992 THROUGH 09/29/1993

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
PUBLIC HEALTH SERVICE  
CENTERS FOR DISEASE CONTROL  
PROCUREMENT AND GRANTS OFFICE  
255 E. PACES FERRY ROAD, N.E.  
ATLANTA, GEORGIA 30305

NOTICE OF GRANT AWARD  
AUTHORIZATION (LEGISLATION/REGULATION)  
SECTION 301 AND 317A OF THE PHS ACT

8. TITLE OF PROJECT (OR PROGRAM) (LIMIT TO 53 SPACES)

9. GRANTEE  
VERMONT DEPARTMENT OF HEALTH  
GRANTS AND CONTRACTS OFFICE  
60 MAIN STREET  
BURLINGTON, VT 05402

10. DIRECTOR OF PROJECT (PROGRAM OR CENTER DIRECTOR,  
COORDINATOR OR PRINCIPAL INVESTIGATOR)  
DR. LEN PAULOZZI  
VERMONT DEPARTMENT OF HEALTH  
60 MAIN STREET  
BURLINGTON, VT 05402

11. APPROVED BUDGET (EXCLUDES PHS DIRECT ASSISTANCE)

GRANT FUNDS ONLY     TOTAL PROJECT COSTS INCLUDING GRANT FUNDS AND ALL OTHER FINANCIAL PARTICIPATION.

A. PERSONAL SERVICE.....	\$ 17,660
B. FRINGE BENEFITS.....	4,768
C. CONSULTANTS.....	0
D. TRAVEL.....	5,700
E. EQUIPMENT.....	3,625
F. SUPPLIES.....	0
G. CONTRACTUAL.....	2,080
H. PATIENT CARE.....	0
I. CONSTRUCTION(A & R).....	0
J. TRAINEE COSTS.....	0
K. OTHER.....	900
L. TOTAL DIRECT COSTS.....	34,733
M. INDIRECT COSTS.....	
RATE 10.0000 * .....	3,859
N. TOTAL APPROVED BUDGET.....	38,592

12. AWARD COMPUTATION FOR GRANT

A. AMOUNT OF PHS FINANCIAL ASSISTANCE (FROM 11.0).....	\$ 38,592
B. LESS UNOBLIGATED BALANCE FROM PRIOR BUDGET PERIODS.....	\$ 0
C. LESS CUMULATIVE PRIOR AWARD(S) THIS BUDGET PERIOD.....	\$ 0
D. AMOUNT OF THIS ACTION.....	\$ 38,592

13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO THE AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT)

BUDGET YEAR	TOTAL DIRECT COSTS	BUDGET YEAR	TOTAL DIRECT COSTS
A. 2	38,592	E. 0	0
B. 3	38,592	F. 0	0
C. 0	0	G. 0	0
D. 0	0		

O. FEDERAL SHARE ..... \$ 38,592  
P. NON-FEDERAL SHARE \* ..... \$ 0  
\* MUST MEET ALL MATCHING OF COST PARTICIPATION REQUIREMENTS. SUBJECT TO ADJUSTMENT IN ACCORDANCE WITH PHS POLICY.

14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH)

A. PERSONAL SERVICE.....	\$ 0
B. TRAVEL.....	0
C. VACCINE.....	0
D. OTHER.....	\$ 0
E. TOTAL DIRECT ASSISTANCE.....	\$ 0

15. PROGRAM INCOME SUBJECT TO 45 CFR 74.42 SHALL BE:  
A. USED TO FURTHER THE OBJECTIVES OF THE LEGISLATION UNDER WHICH THE GRANT WAS MADE.    B. DEDUCTED FROM TOTAL PROJECT COSTS FOR THE PURPOSE OF DETERMINING THE NET COSTS ON WHICH THE FEDERAL SHARE OF COSTS SHALL BE BASED.    C. OTHER--SEE SPECIAL CONDITIONS    D.  N.A.

16. THIS GRANT IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:  
A. THE GRANT PROGRAM LEGISLATION CITED ABOVE.    D. PHS GRANTS POLICY STATEMENT IN EFFECT AS OF THE BEGINNING DATE OF THE BUDGET PERIOD.  
B. THE GRANT PROGRAM REGULATION CITED ABOVE.    E. 45 CFR PART 74.  
C. THIS AWARD NOTICE INCLUDING TERMS AND CONDITIONS, IF ANY, NOTED BELOW UNDER REMARKS.

IN THE EVENT THERE ARE CONFLICTING OR OTHERWISE INCONSISTENT POLICIES APPLICABLE TO THE GRANT, THE ABOVE ORDER OF PRECEDENCE SHALL PREVAIL. ACCEPTANCE OF THE GRANT TERMS AND CONDITIONS IS ACKNOWLEDGED BY THE GRANTEE WHEN FUNDS ARE DRAWN OR OTHERWISE OBTAINED FROM THE GRANT PAYMENT SYSTEM.

REMARKS  
45 CFR PART 92 APPLIES TO THIS AWARD

SPONSOR:  
\*IDC RATE BASE: SEE ATTACHED

AGENCY OFFICIAL *Henry S. Casse*  
HENRY S. CASSE, III, GRANTS MANAGEMENT OFFICER

17. PHS LIST NO. C3-095-C92 FY-CAN	OBJ.CLASS 41.51 DOCUMENT NO.	CRS.EIN 1-036000274-A7 SECONDARY ADM.CODE	17. ORGANIZATION DESCRIPTION 12--40 AMT.ACTION FIN.ASST AMT.ACTION DIR.AS
--	------------------------------------	---	--

**PROGRAM ANNOUNCEMENT NUMBER 229****CHILD BLOOD LEAD SURVEILLANCE**

**N.B.:** Vermont is applying for a Child Blood Lead Surveillance (CBLS) grant as a state without an existing surveillance system for childhood lead poisoning.

**II. Introduction****A. Description of the problem of lead poisoning**

Concern about lead poisoning in children has increased in recent years due to mounting evidence that exposure to low levels of lead can lead to serious health consequences. Some of the older lead studies that were conducted in Vermont had screening cutoff levels of 25 ug per dL and, therefore, are not useful given the 1991 CDC Guidelines. The recommendation that blood lead levels of 10 ug/dL or more require action will increase the numbers of children who are defined as being "at risk" in Vermont. Based on experience in western Massachusetts, the Department estimates that approximately four percent of all children age 6 to 72 months old in Vermont will have blood levels of 10 ug/dL or higher.

Historically, high risk lead poisoning has most often been associated with poor urban children living in dilapidated housing, with deteriorating lead-based paint. Poor urban housing does exist in Vermont. Deteriorating rural housing may also expose a significant portion of the population to lead. Frequently old housing is restored by the population migrating to Vermont, suggesting the possibility of children being exposed to lead during renovation. Farm children may also be at risk due to exposure to lead from paint and heavy equipment in old farm buildings. Exposure to lead may also come from drinking water due to lead solder used in pipes.

Using 1990 census data, high risk counties in Vermont have been identified. Important risk factors include homes built before 1960, children under 5 years of age living at the poverty level, and percentage of rental units. Using this data, Orleans County, with 21.9% of children under 5 years old and 49% of its' housing built before 1960, is a high risk area. Other counties at high risk include Caledonia, Bennington and Essex. A battery manufacturing plant is located in Bennington County, further increasing risk for children in that area.

Based on 1980 census data, Vermont's highest risk populations are in its two largest cities. In Rutland City approximately 81% of dwellings were built before 1960, and 36% of housing units are

rented. In Burlington 77% of housing is older than 1960 and 42% is renter occupied.

#### **B. Scientific basis for lab-based surveillance**

Using laboratories for the surveillance of lead poisoning is attractive for a number of reasons. A lab test result showing an elevated BLL is sufficient to make the diagnosis. The blood lead test is sensitive and specific. Blood lead testing is performed by a limited number of laboratories, especially in a state of small hospitals such as Vermont. Therefore, the number of reporting sources is manageable, unlike reporting based on physicians.

The disadvantages of laboratory reporting are two. First, laboratories may be less likely to report identifying information than physicians in the absence of regulations requiring such reporting. Second, lab tests conducted out of state and sent directly back to ordering physicians may never be reported.

The utility of laboratory-based surveillance has been amply demonstrated in a number of states. Followup of lab reports in California, for example, identified a large number of lead-poisoned workers who were not in routine medical monitoring programs. Problems identified with this type of surveillance in California, on the other hand, included lack of complete demographic information on cases and slower than desirable notification for cases with highly elevated BLLs.

#### **C. Existing childhood surveillance in Vermont**

No formal surveillance for childhood lead poisoning exists in Vermont. Childhood lead poisoning is reportable in the state, but surveillance is currently passive and physician based. The Health Department has published a request to physicians to report childhood lead poisoning cases, but we have no indication on the rate of compliance. No laboratories in the State routinely report blood lead levels to the Vermont Department of Health.

The Vermont Department of Health Epidemiology Division surveyed hospital and community labs in the State in 1990. All laboratories contacted indicated their willingness to report identifying information on people with elevated BLLs. An unknown percentage of blood lead tests are being conducted out of state.

#### **D. Lead poisoning reporting requirement**

Vermont communicable disease regulations require that "health care providers who know or suspect that a person is sick or has died of a disease dangerous to the public health report to the Health Department within 24 hours of the time they become aware of the disease" (section 4-201)(Appendix A). Those required to

report include physicians, nurses, hospital administrators, and laboratory directors. The report must include the name, age, sex, address, and attending physician of the person affected as well as "any other pertinent facts." (section 4-203). The diseases required to be reported are listed in section 4-204 and include lead poisoning. The regulations do not distinguish between blood and urine lead levels, nor do they define the levels that constitute poisoning. Defining a reportable level for laboratory tests has been the Health Department's prerogative in other areas, however.

All Vermont laboratories currently report cases of infectious diseases to the Epidemiology Division on a standardized reporting form at prescribed intervals. They are given regular feedback on how well they do in complying with the reporting schedule. Laboratories that are poor reporters are given individual remedial attention.

## II. Objectives

- A. Set up a child blood lead surveillance system by January 1, 1993. By this date, staff will have requested reports from all state labs, all appropriate out-of-state labs, and all lead programs in other jurisdictions. In addition, a database will be created and ready to receive incoming reports.
- B. Toxicology and Risk Assessment Program will make initial contact with all parents within two weeks of receipt of report. Environmental assessments will be conducted on homes and secondary residences of all children with BLLs  $\geq 20 \mu\text{g/dL}$  within one month of receipt of report.
- C. By April, 1993, produce the first report describing data on reported cases. This report will include analysis by gender, race, age, county, month, lead level, and reporting source.

## III. Methods

### A. Data collection methods

First, an existing list of the addresses and telephone numbers of all laboratories in the state will be obtained. To this list will be added the names of commercial labs outside Vermont that may be analyzing specimens from Vermont residents. The list of out-of-state labs will be compiled by querying hospital labs that currently send their tests outside and by contacting lead screening programs in other states for their suggestions as to large commercial labs.

We will send a letter to the mailing list requesting the report of any individuals with blood lead levels  $\geq 10$  ug/dl residing in Vermont. The letter will request the patient's name, DOB, address, phone, BLL, date of test, name of lab and ordering physician. Labs will be encouraged to send such reports to us immediately, but we will accept reports submitted on a weekly basis. Labs can send individual reports on a special form that we will design. Labs reporting large number of cases will be permitted to send line listing printouts. In some cases, labs may be even able to send diskettes.

Additionally, we will send a mailing to all Vermont physicians during the first grant year requesting that they also report cases of elevated BLLs to us. This may capture some cases tested by laboratories not reporting to us.

Additional reporting sources include VOSHA inspectors, who may hear of adult lead poisoning cases in the course of their work, and workers' compensation claims data. We will follow the children of the lead poisoned parents so identified. Once cases are identified, physicians or nurses providing health services will be contacted and reminded of their obligation to report lead poisoning cases.

In order to encourage physician reporting, we will attempt to convince labs to define the normal levels for a blood lead test as less than 10 ug/dL. Currently, some labs still define the normal range of blood lead as zero to 25 ug/dL. A child may have significant exposure and subtle health effects at levels less than 25 ug/dL yet never be picked up because the result is read out as "normal" by the testing lab.

#### B. Data management

All telephone and mail reports will go directly to the program manager. The manager will input the known variables on each case into a standard form. The manager will then attempt to fill in the unknown variables -- if any -- by contacting the parents when a phone number is available or by contacting the physician when it is not. The variables to be recorded on each case include those requested from the laboratories (listed above), plus, at a minimum:

- age and condition of home and secondary residences
- parental occupations and hobbies
- behavior of child (e.g. pica)
- nature of medical monitoring planned for child
- history of any previous blood lead tests
- screening history of siblings and playmates

Once information collection is complete, the program manager will key the data into the STELLAR database manager program on a



personal computer. Full name and date of birth will serve as a unique case identifier. Individuals with existing records will be updated into data fields provided for this purpose on every record. The database will be accessible only to the program manager and staff. All name-identified paper records will be stored in a locked file cabinet.

### C. Data analysis

Data analysis will consist primarily of line listings and frequency distributions. The number of individuals with elevated blood lead levels in specific areas will be of particular interest. Routine analyses will be repeated quarterly as soon as a total of 50 cases are reported. All analyses required for the quarterly reports will be part of the routine. Analysis will be accomplished by the program manager using the Stellar software.

### D. Case follow-up

The program manager will handle all follow-up of child exposures. Capillary samples between 10-14  $\mu\text{g}/\text{dL}$  will not need venous confirmation. However, the program manager will need to insure venous followup of capillary results of 15  $\mu\text{g}/\text{dL}$  or greater. The program manager will also be responsible for the initial education of all parents regarding lead poisoning and its prevention. This education will begin during the initial telephone contact. Later, the manager will mail written information to parents of all children reported to have elevated blood lead levels. The manager will also mail a form letter to the owners of the residence, if other than the parents. The form letter will notify the owner that the case has been reported, briefly outline the hazards of lead and the legal requirements of abatement, and indicate the availability of voluntary consultation through the Department of Health. A second form letter will be sent to the child's personal physician. This letter will ensure that the physician is aware of the test and the suspected exposure source as well as the need for retesting. Accompanying it will be a reprint describing the appropriate medical surveillance of lead-exposed children. Hopefully this will motivate the physician to monitor this patient over time.

A blood lead level of 20  $\mu\text{g}/\text{dL}$  or greater will initiate an environmental assessment by personnel with the Health Department's Toxicology and Risk Assessment Program. The assessment includes sampling of paint, water, soil, and dust, where applicable, with sample analysis provided by the Department of Health Laboratory. The environmental assessment also provides an opportunity for one-to-one contact between the Health Department and parents. While at the home, TRAP personnel will

give specific guidance on ways parents can reduce their child's exposure to sources of lead in the home and/or daycare.

The parents of all reported individuals will be recontacted six months after their initial test result to determine if they have been retested and if exposures have changed. Recontact will also provide a second educational opportunity. Further contacts will be made as necessary, judging primarily from the frequency and results of reported followup blood lead tests.

#### E. Information dissemination

Quarterly surveillance reports will be sent to all reporting laboratories. Every year, the program manager will write a summary of surveillance results for the Vermont Disease Control Bulletin, which is mailed to all Vermont physicians. One press release each year will attempt to highlight any newsworthy aspect of the surveillance findings. We will attempt to target specific populations of children that may be at particular risk in Vermont through presentations for groups of professionals involved in child health activities. We may also choose to do special mailings to all towns with high reported incidence rates to suggest better ways to prevent exposure.

#### F. Evaluation methods

The surveillance system will be evaluated according to a number of criteria:

##### Simplicity:

1. A flow chart describing the flow of information and response options will be created to help assess simplicity.
2. The program manager will be required to keep track of how much time s/he spends collecting data, analyzing it, and transmitting recommendations. The cost for each activity per reported case will be calculated.

##### Acceptability:

1. Number and percent of laboratories conducting lead testing in the area that report cases as requested.
2. Percent of cases reported by laboratories also reported by the physician.
3. Interview completion rates.
4. Percentage of missing information for each variable in the database.

##### Timeliness

1. Mean interval between test result date and date of report overall and for each reporting source.
2. Mean interval between date of report and date of entry into the database.

3. Mean interval between report and interview.

Sensitivity

1. Percent of cases identified from nonlaboratory sources, such as physicians, also identified through laboratory surveillance.

Effectiveness of recommendations:

1. Percent of individuals at the six-month followup that have had a repeat blood test, stratified by initial blood lead level.
2. Percent of individuals at the six-month followup that have changed work practices or otherwise lowered their exposure appropriately.
3. Mean difference in blood lead level between initial and first followup blood tests.
4. Percent of cases that led to the testing of other children in the same home and number of such children identified with elevated blood lead levels.



### Project Sustainability beyond the grant period

The Health Department's ability to sustain these grant activities beyond the grant period cannot be guaranteed given that staffing and budgetary considerations are difficult to predict three years in advance. However, once the system is well established , the loss of salary monies will not mean an end to program activities. Most of the program activities can be shifted to the Office of Environmental and Chronic Disease Epidemiology and the Toxicology and Risk Assessment Program.

V. BUDGET JUSTIFICATION

LINE A. PERSONNEL \$17,660

CBLS Project Manager (.5 FTE) \$13,874  
This position will provide overall management of the Child Blood Lead Surveillance project, under the supervision of Dr. Len Paulozzi. Responsibilities will include data collection, management and analysis and case follow-up.

Environmental Risk Assessor (.15 FTE) \$3,786  
To collect and assess environmental data as required by the project.

LINE B. FRINGE BENEFITS \$4,768

The cost of fringe benefits is estimated at 27% of the salary total (Line A. Personnel), based on the cost of current employee benefits.

LINE C. TRAVEL \$5,700

Instate Travel \$600  
We anticipate that case follow-up and meetings will require occasional instate travel of the CBLS Project Manager or the Environmental Risk Assessor. We have estimated the cost of this travel based on a reimbursement rate of \$.25/mile and the current State reimbursement schedule for meals and overnight lodging when required.

Out-of-State Travel \$5,100  
These funds would allow the CBLS Project Manager to attend a five-day training course (\$1500) and a data management conference in Atlanta (\$1200), and for both the Project Manager and the Environmental Health Assessor to attend a 3-day lead health conference in Atlanta (\$2400). The estimated costs of these out-of-state trips are based on recent, similar travel by Department staff and the current State schedule for reimbursement of travel expenses.

LINE D. EQUIPMENT \$3,625

Telephone Headset \$125  
This item would cover the cost of a telephone headset to be used by the CBLS Project Manager when contacting patients with elevated BLLs. We will withdraw this request if we are awarded funds for this item under an Adult Lead Blood Surveillance grant.

Personal Computer Workstation \$3,500  
In order to analyse data for the Child Blood Lead  
Surveillance project using the Stellar statistical package,  
it will be necessary to purchase a PC and printer.

LINE F. CONTRACTUAL \$2,080

We anticipate the need to employ occassional, contracted  
temporary help to perform routine data collection and entry  
tasks.

LINE H. OTHER \$900

Postage \$400  
We have estimated the cost of a mailing to all Vermont  
physicians, as described under "Data collection  
methods." We will withdraw this request if we are  
awarded funds for this item under an Adult Lead Blood  
Surveillance grant.

Training Fees \$500  
This item would cover the cost of fees for training for  
the CBLS Project Manager.

LINE I. TOTAL DIRECT CHARGES \$34,733

LINE J. INDIRECT CHARGES \$3,859

The Vermont Department of Health uses a Cost Allocation  
Plan, not an Indirect Rate. This Cost Allocation Plan was  
approved by the U.S. Department of Health and Human Services  
effective October 1, 1987. (A copy of the approval document is  
attached.) The Cost Allocation Plan summarizes actual, allowable  
costs incurred in the operation of the program. These costs  
include items which are often shown as direct costs, such as  
telephone, routine postage and general office supply expenses, as  
well as items which are often included in an indirect rate, such  
as the cost of office space and administrative salaries. These  
costs are allocated to the program based on the salaries and  
wages paid in the program. Because these are actual costs, unlike  
an Indirect Cost Rate, these costs will vary from quarter to  
quarter and cannot be fixed as a percentage of program costs.  
Based on costs allocated to similar programs during recent  
quarters, we would currently estimate these allocated costs at  
89% of the direct salary item (Line A.). At the direction of the  
grantor agency, however, the amount displayed on this line is  
limited to 10% of the Line K. "Totals" amount.

LINE K. TOTALS \$38,592



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

M E M O R A N D U M

To: Members, Joint Fiscal Committee

From: Margaret S. Maxfield  
Legislative Fiscal Officer

Date: November 2, 1992

Subj: JFO Item # 1527 - Request from the Department of Health to accept a grant from the U.S. Department of Health and Human Services, Health Resources and Services Administration for \$20,000 for FY 1993 and two private grants for \$10,000 each

The Governor has accepted a grant from the U.S. Department of Health and Human Services, Health Resources and Services Administration for \$20,000. This grant will be used to induce physicians to practice in rural undeserved areas by repaying their loans. This is a one year grant with future funding dependent on the availability of private matching funds.

The Governor has also accepted two private donations, each in the amount of \$10,000. One is from the Gifford Medical Center and the other is from Northern Counties Health Care, Inc.

This \$40,000 will be used for two physicians. In FY 1993, the Health Department anticipates an expenditure of \$22,488 from these funds. Future year funding will be budgeted. There are no positions requested and no commitment of state funds in the future.

**RECOMMENDATION:**

Recommend that the grant and the donations be accepted and appropriation 010347030 be increased in FY 1993 by \$22,488.





JFO # 1527

STATE OF VERMONT

AGENCY OF ADMINISTRATION  
October 20, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vt 05602

Dear Senator Skinner:

The Governor has approved the acceptance of a grant from the U.S. Department of Health and Human Services, Health Resources and Services Administration, and two private grants of \$10,000 each from Gifford Medical Center and Northern Counties Health Care, Inc., to be used as match for the federal funds, to the Department of Health.

The purpose of the grant is to facilitate the recruitment of physicians to practice in the rural, underserved catchment areas of the private health care entities, by offering a loan repayment program as an employment incentive.

This is a one year grant, the continuation of which will be dependent on securing private matching funds. Joint Fiscal Committee approval is sought for \$20,000 in fiscal year 1993. Any subsequent fiscal years will be budgeted. No additional state funds are required.

The project will be implemented by existing staff of the Public Health Analysis and Policy Division of the Department of Health.

State matching requirements for this grant will be met utilizing existing resources (appropriated personnel costs) as in-kind contributions.

Attached for your review are selected pages of the grant document; a complete grant document is available from the Department of Health.

The grant was awarded September 25, 1992.

Please feel free to call if you have any questions.

Sincerely

A handwritten signature in cursive script, appearing to read "William H. Sorrell".

William H. Sorrell  
Secretary of Administration

WHS/jlc  
Attachment

REQUEST FOR GRANT ACCEPTANCE  
(use additional sheets as needed)

FORM PA-1  
(Rev. 9-90)

1. Agency: Agency of Human Services  
 2. Department: Department of Health  
 3. Program: Public Health Analysis and Policy Division  
 4. Legal Title of Grant: National Health Service Corps State Loan Repayment  
 5. Federal Catalog No.: 93.165 Program  
 6. Grantor and Office Address: Health Resources and Services Administration  
 Rockville, Maryland 20857  
 7. Grant Period: From: 9/30/92 To: 9/29/93

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

To facilitate the placement of health professionals in underserved areas of Vermont by repayment of educational loans.  
(see attached summary)

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

none

10. Budget Information:	(1st State FY) FY 1993	(2nd State FY) FY 1994	(3rd State FY) FY 1995
<b>EXPENDITURES:</b>			
Personal Services	\$ 1,453	\$ 2,906	\$ 2,906
Operating Expenses	\$ 1,035	\$ 2,070	\$ 2,070
Other - Grants	\$20,000	\$40,000	\$40,000
<b>TOTAL</b>	<b>\$22,488</b>	<b>\$44,976</b>	<b>\$44,976</b>
<b>REVENUES:</b>			
State Funds:			
Cash	\$	\$	\$
In-Kind	\$ 2,488	\$ 4,976	\$ 4,976
Federal Funds:			
(Direct Costs)	\$10,000	\$20,000	\$20,000
(Statewide Indirect)	\$	\$	\$
(Department Indirect)	\$	\$	\$
Other Funds:			
(source) <u>Private</u>	\$10,000	\$20,000	\$20,000
<b>TOTAL</b>	<b>\$22,488</b>	<b>\$44,976</b>	<b>\$44,976</b>

Grant will be allocated to these appropriation expenditure accounts:	Appropriation Nos.	Amounts
	010347030	\$20,000

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
TOTAL	

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.

*AM*

*John Laury*

\_\_\_\_\_  
 (Signature)  
 Commissioner  
 (Title)

10/14/92  
 (Date)

14. Action by Governor:

- Approved
- Rejected

*Ed De*

\_\_\_\_\_  
 (Signature)

*10/14/92*

\_\_\_\_\_  
 (Date)

15. Secretary of Administration:

- Request to JFO
- Information to JFO

*William Stovell*

\_\_\_\_\_  
 (Signature)

10/29/92  
 (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)

09/29/92 93.163

SUPERSEDES AWARD NOTICE dated \_\_\_\_\_  
except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.

GRANT NO. CSH050SLO-01-0  
Formerly: CSH56

5. ADMINISTRATIVE CODES

PROJECT PERIOD  
From 09/30/92 Through 09/29/93

BUDGET PERIOD  
From 09/30/92 Through 09/29/93

HEALTH AND HUMAN SERVICES  
PUBLIC HEALTH SERVICE

5600 HEALTH RESOURCES AND SERVICES ADMINISTRATION 208  
BUREAU OF HEALTH CARE DELIVERY AND ASSISTANCE

**NOTICE OF GRANT AWARD**

**AUTHORIZATION (Legislation/Regulation)**  
**SECTION 338H, PHS ACT, AS AMENDED**

TITLE OF PROJECT (OR PROGRAM) (Limit to 53 spaces)  
**NHSC STATE LOAN REPAYMENT**

GRANTEE NAME AND ADDRESS  
**UT DEPARTMENT OF HEALTH  
OFFICE OF HEALTH PLANNING  
P.O. BOX 70  
BURLINGTON UT 05402**

10. DIRECTOR OF PROJECT (PROGRAM OR CENTER DIRECTOR, COORDINATOR OR PRINCIPAL INVESTIGATOR)  
**POST, BRUCE  
P.O. BOX 70  
BURLINGTON UT 05402**

APPROVED BUDGET (Excludes PHS Direct Assistance)

Grant Funds Only  
 Total project costs including grant funds and all other financial participation

a. Personal Service	\$ 2,288
b. Fringe Benefits	618
c. Consultants	0
d. Travel	262
e. Equipment	0
f. Supplies	0
g. Contractual	40,000
h. Patient Care	0
i. Construction (A & R)	0
j. Trainee Costs	0
k. Other	0
<b>l. TOTAL DIRECT COSTS</b>	<b>\$ 43,168</b>
m. Indirect Costs (Rate % of S&W / TADC)	\$ 1,808
<b>n. TOTAL APPROVED BUDGET</b>	<b>\$ 44,976</b>
o. Federal Share	\$ 20,000
p. Non-Federal Share *	\$ 24,976

\* Must meet all matching or cost participation requirements. Subject to adjustment in accordance with PHS policy.

12. AWARD COMPUTATION FOR GRANT

a. Amount of PHS Financial Assistance (from 11.o)	\$ 20,000
b. Less Unobligated Balance From Prior Budget Periods	\$
c. Less Cumulative Prior Award(s) This Budget Period	\$
<b>d. AMOUNT OF THIS ACTION</b>	<b>\$ 20,000</b>

13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO THE AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT):

BUDGET YEAR	TOTAL DIRECT COSTS	BUDGET YEAR	TOTAL DIRECT COSTS
a.		e.	
b.		f.	
c.		g.	
d.			

14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH):

a. Personal Service	\$
b. Travel	
c. Vaccine	
d. Other	
<b>e. TOTAL DIRECT ASSISTANCE</b>	<b>\$ N/A</b>

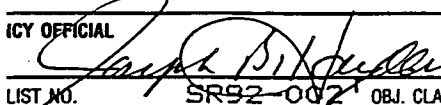
PROGRAM INCOME SUBJECT TO 45 CFR 74.45, AND 45 CFR 92 SHALL BE:  
 a. \_\_\_\_\_ Used to further the objectives of the legislation under which the grant was made.  
 b.  Deducted from total project costs for the purpose of determining the net costs on which the Federal share of costs shall be based.  
 c. \_\_\_\_\_ Other—See Special Conditions  
 d. \_\_\_\_\_ N/A

THIS GRANT IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:  
 a. The grant program legislation cited above.  
 b. The grant program regulation cited above.  
 c. This award notice including terms and conditions, if any, noted below under Remarks.  
 d. PHS Grants Policy Statement in effect as of the beginning date of the budget period.  
 e. 45 CFR Part 74. or 45 CFR Part 92.

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

ARKS: (Other Terms and Conditions Attached:  Yes \_\_\_\_\_ No )

APP: 7520350

ICY OFFICIAL:  JOSEPH B. HAYDEN, ACTING GRANTS MANAGEMENT OFFICER, BPHC

LIST NO. SR92-002 OBJ. CLASS. 41.51 18. CRS - EIN 10360002748B 19. ORGANIZATION DESCRIPTORS:

FY-CAN	DOCUMENT NO.	SECONDARY ADM. CODE	AMT. ACTION FIN. ASST.	AMT. ACTION DIR. ASST.
a. 23690330	b. 03CSH050SLOA	c. CSH56	d. 20,000	e.
a.	b.	c.	d.	e.
a.	b.	c.	d.	e.



GIFFORD MEDICAL  
CENTER

May 25, 1992

Deborah Wachtel, R.N.P., M.P.H.  
Primary Care Specialist  
Office of Health Planning  
Department of Health  
P. O. Box 70  
Burlington, VT 05402



Gifford Memorial Hospital  
Randolph, Vermont

Gifford Family Health Center  
Bethel, Vermont

Gifford Valley Health Center  
Rochester, Vermont

Dear Deborah:

This is to inform your office that contingent on the State of Vermont being awarded the State Loan Repayment Grant from the United States Public Health Service, Gifford Memorial Hospital will support this program with a \$10,000 payment.

This amount has been budgeted and set aside for this purpose. This program will be a great benefit in assisting the State and our region in recruiting primary care physicians in the rural areas.

Sincerely yours,

Philip D. Levesque  
President

PDL/njp

Philip D. Levesque  
Chief Executive Officer

P.O. Box 2000  
44 South Main Street  
Randolph, Vermont 05060  
(802) 728-4441  
FAX (802) 728-4986



NORTHERN COUNTIES HEALTH CARE, INC.

May 27, 1992

ADMINISTRATIVE  
OFFICE  
Sherman Drive  
P.O. Box 388  
St. Johnsbury  
Vermont 05819

(802) 748-8116

Commissioner Jan Carney  
Vermont Department of Health  
P.O. Box 70  
Burlington, VT 05402

Dear Commissioner Carney:

I am writing to affirm Northern Counties Health Care's support for the State Loan Repayment Program (SLRP) grant being developed through the efforts of the Primary Care Cooperative Agreement.

Northern Counties is a Section 330 Community Health Center grantee whose five sites serve the tri-county Northeast Kingdom. Our Danville Health Center, included in the current SLRP request, is experiencing a critical shortage of physicians.

Despite generous notice of departure from the senior physician at the Danville site and intense recruiting efforts over the past six months, we have been unable to recruit a replacement. Unfortunately, this vacancy precipitated the resignation of a young physician recruited last year, leaving this site with no physician staff.

Several physicians on Northern Counties Health Care's medical and dental staff have received National Health Service Corps loan repayment. From that experience we know that our ability to offer loan repayment not only makes us competitive and plays a critical role in successful recruitment, but also makes continued practice in this medically underserved area financially viable for the physician.

NCHC is committed to raising the required \$10,000 in matching funds. We anticipate that we will accomplish this through continued collaboration with our local community hospital and other health care providers.

I congratulate you on the development of this program, and I look forward to continuing to work with you to enhance primary care access in the State.

Sincerely,

David A.V. Reynolds  
Executive Director

CALEDONIA HOME  
HEALTH CARE  
BOX 383  
ST. JOHNSBURY  
VT 05819  
748-8116

CONCORD  
HEALTH CENTER  
BOX 355  
CONCORD, VT 05824  
695-2512

DANVILLE  
HEALTH CENTER  
BOX 185  
DANVILLE, VT 05828  
684-2275

GREENSBORO  
HEALTH CENTER  
BOX 216  
GREENSBORO  
VT 05841  
533-2268

HARDWICK  
HEALTH CENTER  
BOX 535  
HARDWICK, VT 05843  
472-3300

ISLAND POND  
HEALTH CENTER  
BOX 425  
ISLAND POND  
VT 05846  
723-4300

ESSEX-ORLEANS  
INTERNAL MEDICINE  
PROUTY DRIVE  
NEWPORT, VT 05855  
334-5288

REQUEST FOR GRANT ACCEPTANCE  
SUMMARY STATEMENT  
LOAN REPAYMENT PROGRAM

The Vermont Department of Health has received a grant award of \$20,000 from the Health Resources and Services Administration to fund a loan repayment program for health care professionals who agree to provide services in underserved areas of Vermont. Two private agencies are committed to providing an additional \$20,000 to match the Federal award. We are seeking approval to receive \$20,000 of these funds (\$10,000 Federal and \$10,000 private) for expenditure during State Fiscal Year 1993. The remaining funds available during the first grant year, which ends 9/29/93, will be expended during State Fiscal Year 1994.

We expect that Federal and private funding for the program will continue beyond the first year. All funds for subsequent years will be included in the Department's regular budget request. No State matching funds are required for this grant. The "in-kind" State contribution for administration of the program consists of costs already included in the Department's budget.

During the first year of the program, these funds will support the placement of two new physicians at two sites which have been identified as priorities under established program criteria. A part of the educational loans of the two physicians will be repaid in return for their commitment to provide medical services in these medically underserved areas. The private funds which will be used to match the Federal funds in the first year have been committed by the agencies (Gifford Medical Center and Northern Counties Health Care) which will employ these physicians.

The project will be administered by the Department's Public Health Analysis and Policy Division. Recommendations for future participation in the program by other sites will be made to the Commissioner of Health by a committee comprised of representatives from hospitals, health centers, provider groups and health policy organizations, using established criteria for determining the priorities of various sites. Continuation of the program will depend on the availability of local/private funds to meet the matching requirements of the grant.

## Budget Justification

The total budget will be \$40,000 with the specific expenditures outlined below. The state will commit an amount of \$20,000 plus administrative costs towards program operation.

### Personnel -- \$2288

We anticipate that Bruce Post, Senior Health Policy Analyst for the Office of Health Planning, Vermont Department of Health, will spend five percent of his time involved in program management. This will include evaluation of program activities and preparation of reports.

### Fringe Benefits -- \$618

The cost of fringe benefits is estimated at 27% of salary, based on current fringe benefit cost. Benefits included are dental insurance, health insurance, workers compensation, pension plan, and group life insurance.

### Travel -- \$262

The budgeted item includes travel reimbursement at \$.25/mile, plus expenses incurred while traveling. Travel will be necessary to provide technical assistance to and monitoring practice sites of the loan recipients.

### Contractual -- \$40,000

This item is the loan repayment cost for rural areas.

### Indirect Charges -- \$1808

The Vermont Department of Health uses a Cost Allocation Plan, not an indirect rate. This Cost Allocation Plan was approved by the U.S. Department of Health and Human Services effective October 1, 1987. (A copy of the approval document is attached.) The Cost Allocation Plan summarizes actual, allowable costs incurred in the operation of the program. These costs include items which are often shown as direct costs, such as telephone and general office supplies, as well as items which are often included in an indirect rate, such as the cost of office space and administrative salaries. These costs are allocated to the program based on the salaries and wages paid in the program relative to the total salaries and wages paid in the department (or division) bearing the original expense. Because these are actual costs, unlike an Indirect Cost Rate, these costs will vary from quarter to quarter and cannot be fixed as a percentage of program costs. Based on the actual costs allocated to similar programs in recent quarters, we would estimate these allocated costs at 79% of the direct salary line item.



## PROJECT NARRATIVE

### Criteria for Implementing State Loan Repayment Program (SLRP) A Federal/State Health Educational Loan Repayment Grant

#### I. Introduction

This guidance establishes definitions, procedures, and criteria necessary for implementation of the State Loan Repayment Program (SLRP) and selection of eligible loan repayment sites. These sites will be restricted to federally designated Health Professional Shortage Areas (HPSAs). Primary care providers established as eligible to participate under the criteria set forth below and the physician or mid-level practitioner contract agree to provide services in a HPSA in exchange for repayment of outstanding educational loans up to a maximum of \$20,000 for physicians, and \$10,000 for mid-levels. Subsequent one-year extensions are possible, up to a maximum of four years, subject to adequate funding of the SLRP.

#### II. Background

The Vermont Department of Health (VDH) entered into a Primary Care Cooperative Agreement with the U.S. Public Health Service and the state primary care association, Bi-State Health Center Association (BSHCA), on October 1, 1990. VDH then received an eighteen month renewal on October 1, 1991. Through the Cooperative Agreement grant, the VDH initiated a complete analysis of the state's rational primary care service areas to determine the total primary care provider needs of the state. This process included submitting requests for health professional shortage area and medically underserved population designation to the Office of Shortage Designation.

In 1991, an advisory committee named the State Loan Repayment Task Force was convened under the Cooperative Agreement to assist the VDH in developing methods for addressing the health professional shortages in Vermont's rural areas. An informal telephone survey of primary care providers was conducted to ascertain the recruitment and retention issues facing Vermont providers. From this survey, it was noted that the financial burden of rural practice reimbursement with a high Medicaid and uninsured case mix, in combination with the burden of medical school loans, was a strong disincentive to practice primary care in rural Vermont.

There is much national data to confirm the need for loan repayment programs to encourage providers to locate in underserved areas and practice primary care. Rural areas rely heavily on primary care providers; therefore, incentives are crucial to the recruitment process. As reported in Health Care in Rural America, "A study of 1983 medical school graduates found that receipt of a Federal scholarship was the most powerful predictor of selection of a primary care specialty." This indicates that, without the burden of school loans, physicians are much more likely to enter a primary care field of practice.

In addition, hospitals nationwide are using various financial incentives to recruit physicians. In a recent national survey done by Cejka & Co., a St. Louis based physician recruiting firm, some 58% of the surveyed hospitals said they recruited family practice physicians in 1991. Seventy-four percent of the hospitals

said they would be recruiting family practice physicians in 1992. In these circumstances, it is becoming more and more difficult for a rural state such as Vermont with small community hospitals to compete with the types of compensation packages and loan guarantees that larger hospitals in more financially stable states can afford.

The percent of the population that lacks health insurance can be an indicator of the financial viability of a primary care practice. It stands to reason that the more uninsured people there are in the state, the harder it will be to recruit and retain providers. According to a phone survey done by Macro Market Research, there were 45,000 Vermonters who were uninsured as of August, 1990. By 1992, this number substantially increased to over 63,000 Vermonters who are uninsured, according to a recently released survey done by Blue Cross/Blue Shield of Vermont. It is nationally recognized that small employers and self-employed businesses represent the greatest percent of uninsured employees due to financial constraints and low profit margins. The fact that the majority of Vermont businesses are small businesses and self-employed coupled with the economic downturn of the past two years would indicate that the numbers of uninsured and underinsured will continue to increase.

Bi-State Health Center Association, under the auspices of the State Loan Repayment Taskforce, surveyed the state HPSAs to determine the primary care vacancy data for hospitals, rural health clinics, community health centers, and any not-for-profit primary care practices. At the same time, these organizations were notified of the intent to apply for a State Loan Repayment Program Grant from the U.S. Public Health Service.

This taskforce will assume the advisory role for the State Loan Repayment Program (SLRP) and will play an active role in the program's administration. This group will become a standing committee and will be re-named the Health Professional Planning Committee (HPPC). The HPPC is comprised of representatives from hospitals, health centers, provider groups, and health policy organizations.

As of April 30, 1992, we had received one request for loan repayment assistance from a HPSA health center in Rochester, Vermont, and a second request from a pending HPSA community health center in Danville. In the first year State match funds will be provided through a combination of community resources, including support from the community hospital and local fund raising. Attachment A includes letters of commitment for matching funds to support the State Loan Repayment Program.

The following paragraphs outline the planned operation of the first year of the Vermont State Loan Repayment Program.

### III. Program Plan

#### 1) **Definitions --**

The following words and phrases shall have the following meanings:

- a. **Designated Health Professional Shortage Areas (HPSAs)** -- those regions of the state designated by the federal government, pursuant to Section

322 of the Public Health Service Act and 42 CFR Part 5, as having a shortage of primary medical care professionals.

- b. **Primary Care** -- generally, an individual's initial contact with the health care system for screening, diagnosis, treatment, or referral to appropriate specialized care. The primary care provider assumes management responsibility for the overall health and coordination of care for patients of all ages. Primary care providers attend to an individual's general health care needs, ranging from episodic care to on-going comprehensive health care management. The primary care provider takes responsibility for the coordination of the care for the patient's health problems, be they biological, behavioral, or social. Such work demands specific skills including functioning as a medical manager, advocate, educator, and counselor for the patient.
- c. **Primary Care Physician** -- a physician with a current Vermont license from the Vermont Board of Medical Practice or the Vermont Board of Osteopathic Physicians and Surgeons. Physicians who practice general medicine, family practice, pediatrics, obstetrics and gynecology, and internal medicine are considered primary care providers.
- d. **Mid-level Practitioner** -- a physician assistant holding a current license from the Vermont Board of Medical Practice or a nurse practitioner or certified nurse midwife holding a current license from the Vermont Board of Nursing.
- e. **Full-time Equivalent Primary Care Physician** -- a primary care physician who provides patient care an average of forty hours per week. Primary care physicians who provide patient care for fewer than forty hours per week, or devote a portion of their practice to providing specialty care or consultation, are assessed 0.1 FTE for every four hours spent in providing direct primary care. When a primary care physician practices in more than one site, each practice will be prorated based on forty hours a week. If the total number of office hours by the physician in both HPSAs is greater than or equal to forty, the physician's full-time equivalency for each site will be calculated as the ratio of the office hours in one area to the total office hours in both areas.
- f. **Population-to-Primary-Care-Physician Ratio** -- this is determined by dividing the population of a HPSA by the number of full time equivalent primary care practice physicians who practice within the area. The ratio for each HPSA will be expressed as a number of people per physician (e.g. 2100:1).

2) The need of the state for health professionals consistent with the health professions and specialties as identified in the federal guidance.

Vermont currently has four primary care health professional shortage areas (HPSA) pending approval by the Office of Shortage Designation. Two additional HPSA designations are being prepared as our analysis of the state's fragile areas continue. There are two psychiatric HPSAs with current federal designation in the area known as the Northeast Kingdom. Tables I through VI (see Part V--Tables)

display the pending primary care HPSAs along with the population-to-primary-care-physician ratios updated to May 1992. The State Loan Repayment Program (SLRP) will subsidize the primary care physician that is most appropriately chosen according to the needs of the recruiting site in the HPSA. Highest priority will be given to board certified or board eligible physicians.

**3) Plans for Administration of the SLRP.**

**A. The number and type of providers the state proposes to support through this program.**

The Vermont SLRP anticipates supporting two new physician positions at two sites during the first fiscal year. One site, a freestanding community-based health center, is recruiting a family practice physician who has expressed an interest in practicing at this clinic pending loan repayment. This area has been without adequate and consistent physician services for over two years of active recruiting. The second site, a 330 grantee community health center, is recruiting for two family practice physicians. The health center feels that one loan repayment position would greatly enhance their recruiting potential. In future grant years, we anticipate supporting nurse practitioners and physician assistants, as well as primary care physicians.

Priority ratings were done on both sites (see Attachment B).

**B. Placement Prioritization Process.**

Vermont will utilize the federally designated health professional shortage areas as the areas that are eligible for physicians, nurse practitioners, and physician assistants under the SLRP. The SLRP will work with the Primary Care Cooperative Agreement staff to annually update the Federal Bureau of Health Care Delivery and Assistance officials on the appropriateness of HPSA designation for the state's medically underserved areas.

Although eligibility in this program is limited to the federally designated areas, there is a recognized need to initiate an equitable prioritization process within the eligible HPSAs. To establish an objective system during this first grant year, the Vermont Department of Health and the SLRP taskforce designed criteria to prioritize the HPSAs and identify those with the greatest need for SLRP subsidies. Those criteria use scores based on such indicators as health status, economic and demographic statistics and availability of health care providers.

**C. Procedures.**

The staff of the State Loan Repayment Program under the Office of Health Planning will survey the federally designated HPSAs in November of the grant fiscal year to determine the sites with physician/mid-level practitioner vacancies and sites where current SLRP recipients are eligible for continuation of their contracts. Current SLRP recipients in good standing and eligible for continuation of their contracts will be given first priority. All other sites with vacancies will be prioritized in rank from greatest need to least need, utilizing the criteria set forth in the next section, titled **Criteria -- Site Selection**. Each site with an anticipated vacancy, which has been formally documented in a written statement by the outgoing physician/mid-level

practitioner, will be considered to have a vacancy. See Attachments C1-C3 for application forms and provider contract.

The Health Professional Planning Committee (HPPC) and Office of Health Planning staff will recommend to the Commissioner of Health those sites eligible for the SLRP based on the following criteria. The number of sites recommended will not necessarily be limited to the number available for SLRP funding. The Commissioner of Health, utilizing the following criteria, will designate the sites eligible for the SLRP grant prior to April 1 of the year the SLRP grants will be awarded.

**D. Criteria -- Site Selection.**

The sites or areas that will be eligible for prioritization under the SLRP will be those HPSAs that are recruiting a primary care physician or mid-level practitioner as of November 1 of the calendar year prior to the year the SLRP grants are to be awarded and before April 1 of the grant year.

a. Those HPSAs will be prioritized using the following weighted criteria:

<u>Criteria</u>	<u>Points</u>
1. Population-to-primary-care- physician ratio	40
2. Socioeconomic status	25
3. Need for restaffing	10
4. Percentage of elderly	10
5. Access to prenatal care services	up to 15
	Subtotal 100
6. Possible bonus points	up to 21
	Total up to 121

b. Each criteria will be calculated as follows. Where necessary and when portions of a whole number exist, those portions will be rounded to the nearest whole number, e.g. 10.8 = 11.0 and 10.3 = 10.0.

1. **Population-to-Physician-Ratio:** anticipated physician vacancies, as described in Section 2, will not be included in the primary care physician total. However, National Health Service Corps obligated scholars and loan repayment recipients will be counted unless a vacancy is anticipated. 1 point shall be given for each 100 people above 1000:1. Thus, an area with a ratio of 2400:1 would be given 14 points, and an area with a ratio of 4800:1 would be given 38 points. Any area with a ratio of less than 1000:1 is scored 0, and any with a ratio of 5000:1 or greater is scored 40.
2. **Socioeconomic Status:** measured by determining the percentage of an area's population whose income was below 200% of the federal poverty level, as calculated from 1990 income data and population data. 1 point is awarded for every percentage point greater than 35%, up to a maximum of 25 points for an area in

which 60% or more of the population falls below 200% of the poverty level. Thus, the following percentages would earn the following points: 35% or below = 0 points; 36% = 1 point; 48% = 13 points; 60% or above = 25 points.

3. **Need for Restaffing:** if an area which has had a physician (or mid-level practitioner in the case of mid-level practitioner prioritization) who left within 12 months prior to the November survey date and that vacancy continues to exist, or a physician who will leave within 6 months of the survey date, 10 points shall be awarded since maintenance level of services (or rural health clinic certification in the case of mid-level practitioners) is deemed extremely important. If the vacancy is not for restaffing, no points shall be awarded.
4. **Percentage of Elderly:** measured by dividing the area's population that is 65 years or older by the area's total population, using the most recent data available. 1 point is awarded for every 0.5% above 10%, up to a maximum of 10 points for an area in which 15% or more of the population is elderly. Thus, the following percentages would earn the following points: 10% or less = 0 points; 11.7% = 3 points; 15% or more = 10 points.
5. **Prenatal Care Access:** up to 15 points shall be awarded to an area if it is documented that there is an inadequate number of licensed or registered primary care providers who provide prenatal care services to the given area. For the purpose of this criterion, the term "a licensed/registered primary care provider" shall refer only to a physician, nurse practitioner, physician assistant, or certified nurse midwife. Points shall be awarded for the ratio of female population aged 15-44 years to primary care provider as follows:

<u>Female Population Aged 15-44 years</u>	<u>Full Time Primary Care Providers</u>	
1-499	1.0	5 points
500-999	1.0	10 points
1000+	1.0	15 points

6. **Bonus Points:** areas having extenuating circumstances, not accounted for in the basic criteria above, may be awarded bonus points up to a maximum of 21 additional points. Additional high need indicators might include: over one year of unsuccessful recruitment; unusually long waits for routine appointments; a long-term plan to enhance the viability of the practice; etc.

These extenuating circumstances should be explained in a narrative form and submitted with the site's SLRP application. Bonus points will be awarded by the Health Professional Planning Committee on the recommendation of the Office of Health Planning.

After points for all criteria in an area are determined and totaled, they will be compared to the totals for other areas. The areas will then be ranked in order of most points to least. Areas eligible for SLRP continuation contracts, followed by the highest newly ranked areas, will be authorized to participate in the SLRP up to the point that funds are exhausted. Any tie will be broken choosing the area which has the highest physician-to- population ratio.

- c. Separate prioritizations, as described in a. above, shall be conducted for physician and mid-level practitioner vacancies. An area may compete in both prioritizations. The physician prioritization shall be conducted first, however, and any area for which a physician grant is awarded must have that new physician included in its population-to-physician ratio when the mid-level practitioner prioritization is subsequently conducted and that first criterion is calculated.

Highest priority will be given to those placements to be assigned to clinics or practices involved with comprehensive systems of primary care.

**E. Special consideration to medically underserved areas with large minority populations.**

When populations such as migrant workers, the homeless, Native Americans, refugees, and other special populations are identified as being medically underserved by primary care services, the HPPC will respond by attempting to direct the appropriate medical providers and services to those designated health professional shortage areas.

Although Vermont does not have large numbers of minority populations, we are facing an increasing number of refugees from mostly Asia and Eastern Europe. The refugee communities located in Burlington -- the only metropolitan service area in the state -- are double the projected estimates and are already experiencing an inability to obtain primary health care services.

The Northwestern part of the state is the home of the Abenaki Tribe known as the St. Francis/Sokoki Band, a Native American community of approximately 2500 people. A request for health professional shortage area designation is pending at this time. The Abenaki tribe is working with the local community, the Cooperative Agreement, and the state primary care association to explore implementation of a community health center.

**F. Coordination with Federal, State, and other programs for meeting the State's health professional needs.**

The SLRP staff will coordinate recruitment and retention activities with BSHCA -- the state primary care association -- as well as federal officials in the Region I office. BSHCA is currently participating in a recruitment network sponsored by the New England Community Health Center Association and has been successfully involved with recruiting primary care providers for community health centers in Vermont.



STATE OF VERMONT  
DEPARTMENT OF FINANCE AND MANAGEMENT  
MONTPELIER, VERMONT 05602

October 20, 1992

Senator Mary Just Skinner  
Chair  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, VT 05602

Dear Senator Skinner:

As you may recall, the Joint Fiscal Committee at its September 10 meeting reviewed a request from the Office of Economic Opportunity (OEO) for permission to accept a loan from the State Treasurer in the amount of \$150,000. The discussion regarding this matter led to a request for additional information in two areas. One area pertained to the authority to issue the "full faith and credit" of the State of Vermont. The second area was related to the process for issuing such credit in 1988 for the J.C. Penney Job Start loan. This letter is to provide the requested information and to update your Committee on OEO's request.

First, you may have read in the press the announcement that Congress has appropriated and the President has approved funding for Job Start's loan program in the amount of \$300,000. OEO is currently evaluating the speed at which these funds can be received and will request approval for the acceptance of this grant before the Joint Fiscal Committee or the General Assembly through the Budget Adjustment Act, as appropriate. However, in the interim, OEO has withdrawn its request for approval of the acceptance of a loan from the State Treasurer.

Secondly, we have reviewed with the Attorney General's office the procedural issue of pledging the full faith and credit of the State. Attached for your review is a copy of their opinion.



Senator Mary Just Skinner  
October 20, 1992  
Page 2

Finally, we have obtained the key documents associated with the approval and implementation of the J.C. Penney loan to Job Start in 1988. These are attached pursuant to your Committee's request.

I hope the above responds to the requests of the Committee regarding Job Start. If I can be of any further assistance, please let me know.

Sincerely,



Douglas J. Wacek  
Commissioner

cc: William H. Sorrell, Secretary, Agency of Administration  
Margaret Maxfield, Joint Fiscal Officer

JEFFREY L. AMESTOY  
ATTORNEY GENERAL

BRIAN L. BURGESS  
DEPUTY ATTORNEY GENERAL

WILLIAM E. GRIFFIN  
CHIEF ASST. ATTORNEY GENERAL



RECEIVED

SEP 29 1992

OFFICE OF THE ATTORNEY GENERAL  
FINANCE MGMT

STATE OF VERMONT  
OFFICE OF THE ATTORNEY GENERAL  
109 STATE STREET  
MONTPELIER  
05609-1001

TEL: (802) 828-3171  
FAX: (802) 828-2154

---

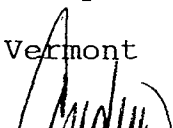
MEMORANDUM

TO: Douglas Wacek, Commissioner, Finance & Management

FROM: Andrew W. MacLean, Assistant Attorney General

RE: Full Faith & Credit of State of Vermont

DATE: September 28, 1992



---

You have requested an opinion as to what governmental entity may pledge the full faith and credit of the State as security for money borrowed by the State.

The simple answer is that it is the Legislature, and under certain circumstances the Emergency Board, that may commit the full faith and credit of the State. The Legislature establishes the budget for the State and appropriates the funds to be spent by the various agencies of the State. Vermont Constitution, Ch. II, §6, Ch. II, §27, 32 V.S.A. §463. The budget approved by the Legislature specifies the State's "bonded debt, loans and interest charges." 32 V.S.A. §307(a)(4).

As part of the appropriation process the Legislature dictates the amount that the Treasurer may borrow on the credit of the State. In Act 245, Section 266 of the Public Acts of the 1992 Legislative Session the Legislature specifically authorized the State Treasurer to borrow a sum not to exceed \$200,000,000 "for the purpose of defraying the expenses of government incurred by the appropriations contained in this Act." The Legislature has defined the specifications of the bonds to be issued by the State Treasurer including the recognition that the bonds are secured by the full faith and credit of the State. 32 V.S.A. §952. While the State Treasurer, with the approval of the Governor, has the authority to actually issue the necessary bonds and shall determine the date of issuance, rate of interest and several particular aspects of those bonds, it is the Legislature

through its appropriation process and its specific borrowing authorization directed to the Treasurer that pledges the full faith and credit of the State. In simplified terms it is the Legislature through its appropriation process that pledges full faith and credit of the State, and the Treasurer is empowered to physically execute the contract binding the State for the money borrowed to create the funds necessary for the legislated appropriations. 32 V.S.A. §901.

While the Legislature is not in session, the Emergency Board has the statutory authority to pledge the credit of the State in the course of borrowing funds required for expenditures necessitated by unforeseen emergencies. 32 V.S.A. §133.

4. [unclear]

SEP 26 1988

SECO

MCKEE, GIULIANI & CLEVELAND

A PROFESSIONAL CORPORATION  
ATTORNEYS AT LAW  
P.O. BOX F  
MONTPELIER, VERMONT 05602 1455

*Working Copy*

TELEPHONE: (802) 223 1479  
FAX (802) 229-9839

J PAUL GIULIANI  
FREDERICK G. CLEVELAND  
GEORGIANA O. MIRANDA (NY AND VT)  
GLORIA K. RICE  
JOHN P. RILEY

OF COUNSEL  
W. EDSON MCKEE  
PETER GIULIANI  
OFFICES AT:  
94 MAIN STREET  
MONTPELIER, VT

September 23, 1988

Pamela J. Greene, Director  
State Economic Opportunity Office  
Agency of Human Services  
103 South Main Street  
Waterbury, VT 05676

Dear Pam:

The Job Start Revolving Loan Fund (3 V.S.A. Section 703(c)) was created by No. 198 of the Acts of the 1977 Adjourned Session. Amendments to that enactment were made by No. 74 of the Acts of 1979, and No. 242 of the Acts of 1985. Neither the specific Revolving Loan Fund legislation nor the enactment creating the Economic Opportunity Office contain specific statutory authority enabling either the Director of the Office nor the Secretary of the Agency of Human Services to incur debt in the name of the State of Vermont for Revolving Loan Fund purposes.

Since the power to incur debt necessarily implies a concomittent obligation to pay, it is instructive to look at what the Vermont Constitution has to say on this subject. Chapter II, Section 27, of our Constitution prohibits the expenditure of general funds "unless first appropriated by act of legilstation". This precept is followed in other parts of our Constitution and is embodied in general statutory provisions relating to State appropriations and approval of annual budgets. Procedurally, the fiscal officer who has the ministerial responsibility for issuing instruments of debt in the name of the State is the State Treasurer. However, the "treasurer shall not make a contract binding the state for money borrowed unless it is countersigned by the secretary of state and the auditor." (32 V.S.A. Section 901). Before addressing the ministerial requirements relating to the issuance of debt instruments, the matter of debt authorization has to be satisfied. As a general proposition, State debt is authorized by legislative enactment. This authorization can take the form of

Pamela J. Greene, Director  
September 23, 1988  
Page 3

loan agreement would be conditioned upon your agency securing appropriate authorization.

I will be glad to visit with you at your convenience on this subject.

Very truly yours,

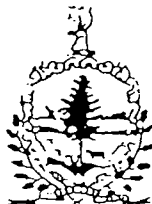


J. Paul Giuliani

JPG:Hjs  
[7531]

cc: Hon. Emory A. Hebard  
Office of the State Treasurer  
133 State Street  
Montpelier, VT 05602

PAVILION OFFICE BUILDING  
MONTPELIER, VERMONT 05602



OFFICE OF THE SECRETARY  
(802) 828-3322

JFO #1212

STATE OF VERMONT  
AGENCY OF ADMINISTRATION

NOV 9 1988

November 8, 1988

Senator Edgar May  
Chairman  
Joint Fiscal Committee  
1 Baldwin Street  
Montpelier, Vermont 05602

Dear Senator May:

The Governor has approved acceptance of a loan from the Scudder Fund to the State Economic Opportunity Office for the purpose of recapitalizing the Job Start Revolving Loan fund.

The Scudder Fund will loan \$250,000 to the SEOO at six and one half percent interest. SEOO will then loan the funds to beginning businesspersons through the Job Start Revolving Loan Fund at eight and one half percent interest. The two percent difference will be used to cover any losses on the portfolio.

The loan from the Scudder Fund will be available for up to six years, from December, 1988 to December of 1994. State Treasurer Emory Hebard has been contacted and the SEOO has followed his advice concerning the acceptance of the loan from the Scudder Fund.

During the last legislative session, an additional \$100,000 was included in the SEOO budget to recapitalize the Job Start Revolving Loan Fund, much like this loan will do. At present, that fund is totally loaned out.

If you have questions about this loan, please feel free to give me a call.

Sincerely yours,

Thomas P. Menson  
Secretary of Administration

TPM:psm

MEMORANDUM



Working Copy

Agency of Human Services

STATE ECONOMIC OPPORTUNITY OFFICE  
103 SOUTH MAIN STREET  
WATERBURY, VERMONT 05676

TO: Joint Fiscal Committee  
FROM: Pamela *Jill* Greene, Director SEOO  
DATE: November 8, 1988  
SUBJECT: Job Start Recapitalization

The Vermont Job Start revolving loan fund has been completely obligated since August and we continue to experience strong demand for small business loans from low income Vermonters. Therefore, we sought private sector capital to meet this program demand.

This request is for joint fiscal approval of a loan from the Scudder Fund, of J. C. Penney Corporation, for \$250,000.00, at 6½% interest for a period of 6 years. This money will be used for small business capital only, none to be used for administration. Job Start loans are made at 8½% interest so the 2% difference will help cover any loss rate experienced. The monthly repayment to Scudder Fund would be \$1,354.16. The current revolving loan fund recaptures approximately \$7,000.00 monthly, which will guarantee funds for repayment of the Scudder Fund loan.

The Job Start program is at a virtual standstill with a backlog of 60 loan applicants statewide due to lack of capital. This loan from the Scudder Fund would mean an infusion of much needed capital for low income businesses.

PJG:jb

*Gretchen B. Morse*  
Gretchen B. Morse, Secretary, AHS

1. Date: 11/8/88

2. State Agency: Agency of Human Services	5. Type of Grant:
3. Department: State Economic Opportunity Office	<input checked="" type="checkbox"/> New <input type="checkbox"/> Supplemental
4. Program: Vermont Job Start	<input type="checkbox"/> Renewal <input type="checkbox"/> Modification
6. Legal Title of Grant: Scudder Fund	7. Federal Catalog No. --
8. Grantor Administering Office/Address: Scudder Fund Scudder, Stevens & Clark 111 East Wacker Road Ste. Chicago, ILL 60601 2200	9. State Grant Administrator: State Economic Opportunity Office
	10. Grant Period From: 12/88 To: 12/94

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

To provide additional funds to the Vermont Job Start revolving loan fund. The current loan funds are all lent, thus additional funds are needed to satisfy the loan requests to start/expand low income small business in Vermont.

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

If no new funds are obtained the number of additional Job Start loans will be limited to approximately 15 loans annually, while last year 48 loans were made.

13. Budget Information

	FY 89	FY	FY
Personal Services	\$	\$	\$
Operating Expenses			
Other	-0-		
TOTAL			
State Funds - (Acct. No. --)			
Cash			
In-kind			
Federal Funds			
(Direct Costs)			
(State-wide Indirect Costs)			
(Departmental Indirect Costs)			
Other Funds (source) <u>Scudder Fund</u>	\$ 250,000		
Direct loans to small business			
TOTAL	\$ 250,000	\$	\$

14. Are grant monies included in a legislative act or joint resolution?

Yes, Act (Joint Resolution) Number \_\_\_\_\_ Section Number \_\_\_\_\_

No

15. Positions (Provide position information on the other side of this form.)

There are no positions funded by this grant.

I certify that equipment and space for these positions (are)(are not) provided for

16. Appointing Authority:

*Gregory B. Cleary*  
(signature)

Secretary, Agency of Human Services 11/8/88

17. Action by Governor

Approved  Rejected

*William W. ...*  
(signature)

11/9/88  
(date)



M I N U T E S

Joint Fiscal Committee  
Meeting of November 17, 1988

Chairman May called the meeting of the Joint Fiscal Committee to order at 10:00 a.m. in Room 17, State House.

Also present: Senator Gannett  
Representatives Hise, Moore,  
Valsangiacomo, and Weidman

The following individuals also attended the meeting: Ronald Crisman, Legislative Fiscal Officer; Susan Crampton, Secretary of the Agency of Transportation; Dr. Roberta Coffin, Commissioner of Health; Patricia Walton, Commissioner of Finance and Management; Joseph Patrissi, Commissioner of Corrections; Patricia Klinck, State Librarian; Pam Greene, Director, State Economic Opportunity Office; Paul Stageberg, Director, Criminal Justice Center; Gary DeCarlos, Deputy Commissioner, Department of Mental Health; Jeffrey Francis, Executive Assistant to the Secretary of the Agency of Development and Community Affairs; Stefan Rosenstreich, Management Executive, Department of Health; Stephen Coble, Housing Coordinator, Agency of Development and Community Affairs; Phil Benedict, Director of Plant Industry, Laboratories, and Standards Division, Department of Agriculture; and Brenda Beane, Planner, Agency of Human Services.

MINUTES:

1. Senator Gannett moved approval of the minutes of the September 23 meeting, as submitted. The motion was seconded by Representative Moore and adopted.

GRANT, LOAN, AND POSITION REQUESTS:

2. Requests were presented as follows:

a. Criminal Justice Center (JFO #1219): Paul Stageberg, Director of the Criminal Justice Center, sought Committee permission to accept \$20,000 from the U. S. Bureau of Justice Statistics. These funds would supplement a \$130,000 appropriation in Section 61 of Act 281 of 1988 and would be used to employ a full-time limited service Research Analyst staff position.

On a motion by Representative Moore, seconded by Representative Weidman, the Committee approved acceptance of the funds and creation of the limited service position.

b. Department of Agriculture (JFO #1216): Representing the Department of Agriculture, Phil Benedict requested authorization to accept a \$27,000 grant from the U. S. Environmental Protection Agency to develop the capability for analysis of Sulfonyl Urea, a new class of herbicide, and to provide training to state pesticide chemists. A temporary Chemist position and purchase of equipment will be funded by the grant.

A motion by Representative Hise to approve the request was adopted.

c. State Economic Opportunity Office (JFO #1212): The Director of the State Economic Opportunity Office (SEOO), Pam Greene, sought Committee authorization for SEOO to accept a \$250,000 loan from the Scudder Fund (a subsidiary of the J. C. Penney Corporation) for the purpose of recapitalizing the Job Start Revolving Loan fund. The money, which would be loaned at 6% interest for a period of six years, will be used to assist beginning small businesses.

Senator Gannett questioned the accuracy of a statement in the written submission on this request that monthly repayment to the Scudder Fund would be \$1,354.16. He pointed out that the loan certainly could not be repaid in six years at that repayment level.

After discussion, it was established that the \$1,354 represents monthly interest on the loan and that the principal and interest repayments combined would be in excess of \$4,800 per month. Members expressed support for the Job Start program and did not object to the proposal, but they also agreed with Senator Gannett's position that there should be a limit of not to exceed \$5,000 on the amortized monthly repayment of the \$250,000 Scudder Fund loan. With this condition, the Committee adopted a motion by Representative Hise, seconded by Representative Valsangiacomo, to approve the request.

d. Agency of Transportation (JFO #1209): The Secretary of the Transportation Agency, Susan Crampton, asked for Committee authorization for the agency to accept and expend a \$102,000 grant from the Federal Aviation Administration. The grant will fund, on a contractual basis, the operation of the weather reporting and in-flight advisory station and resident airport manager services at the E. F. Knapp State Airport, Berlin, for fiscal year 1989. The agency plans to include this funding source in its FY 1990 budget request.

Representative Valsangiacomo moved approval of the request. The motion was seconded and adopted.

WORKING COPY

NOV 14 1989

January 3, 1989

Honorable Emory A. Hebard  
Office of the State Treasurer  
State Office Building  
133 State Street  
Montpelier, Vermont 05602

Re: Job Start Revolving Loan Fund

Dear Em:

Enclosed please find the original executed Loan Agreement as well as a copy of the December 30, 1988 Note. It is my understanding that the loan was funded by wire transfer on December 30th.

Best wishes for the New Year.

Very truly yours,

J. Paul Giuliani

JPG:mj

Enclosure:

1. Loan Agreement
  2. Note
- (7531)

COPY

LOAN AGREEMENT

THIS AGREEMENT, entered into by and between the STATE OF VERMONT, acting by and through its Secretary of the Agency of Human Services and its State Treasurer under the provisions of Title 3, Section 3703(c), and Title 32, Section 901, of Vermont Statutes Annotated (herein "STATE"), and J.C. PENNEY LIFE INSURANCE COMPANY (herein "COMPANY").

FOR GOOD AND VALUABLE CONSIDERATION, sufficiency of which is hereby acknowledged, and in consideration of the mutual covenants, undertakings and agreements set forth herein, COMPANY agrees to lend to STATE the principal sum of TWO HUNDRED FIFTY THOUSAND DOLLARS (\$250,000.00) under the following terms and conditions:

- (1) The subject loan shall be evidenced by a promissory note, in the form attached hereto as Exhibit A, to be executed on behalf of STATE by the State Treasurer, and countersigned by the Secretary of State and the Auditor of Accounts.
- (2) The subject loan shall be repaid, together with interest on the unpaid principal balance at the rate of 2.6 percent (2.6%) per annum, in annual installments of principal and interest of Fifty Three Thousand Nine Hundred Dollars (\$53,900.00) each on the first day of January, 1990 through 1994.
- (3) Execution of this Loan Agreement and evidence of debt created hereunder has been authorized by the Joint Fiscal Committee under Title 2, Section 503(b)(3), of Vermont Statutes Annotated, on November 17, 1988, as evidenced by reference to Exhibit B attached hereto.
- (4) The proceeds of the subject loan made to the STATE shall be used and loaned by the STATE only for purposes consistent with the Job-Start Revolving Loan Fund created by Title 3, Section 3703(c), Vermont Statutes Annotated (herein the "FUND"), under the direction, control and management of the State Economic Opportunity Office of the Agency of Human Services. No part of the proceeds of the subject loan shall be disbursed from the FUND for any purpose or to any person not determined by the Secretary of the Agency of Human Services to be eligible under the provision of Title 3, Section 3703(c), of Vermont Statutes Annotated.
- (5) STATE shall make available to COMPANY, upon request of COMPANY, records of the FUND for the purpose of verifying STATE's compliance with the provisions of Section (4) hereof.
- (6) The parties acknowledge that the note of the STATE evidencing the subject loan will be an unregistered "private activity bond," as that term is defined in the Internal Revenue Code of 1986; that said note is not the subject of a private activity bond volume cap allocation; and that said note is not being designated by STATE as qualified under Section 265(b) of the Internal Revenue Code of 1986.
- (7) Any notice under this Loan Agreement shall be deemed sufficient if in writing and deposited with the U.S. Postal Service, first class postage prepaid, and addressed as follows:

STATE OF VERMONT  
1989 SERIES A JOB START  
REVOLVING LOAN FUND NOTE

Note No. 1 of 1

\$250,000.00

Montpelier, Vermont

December 30, 1988

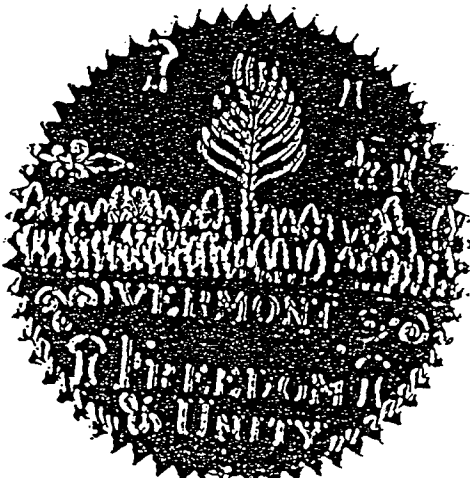
FOR VALUE RECEIVED, the STATE OF VERMONT unconditionally promises to pay to J.C. PENNEY LIFE INSURANCE COMPANY, or order, in lawful money of the United States, the principal sum of

\*\*\*TWO HUNDRED FIFTY THOUSAND DOLLARS\*\*\*

with interest thereon from the date hereof at the rate of 2.6 percent (2.6%) per annum, in five (5) equal consecutive annual installments of principal and interest, of Fifty Three Thousand Nine Hundred Dollars (\$53,900.00) each on the first day of January, 1990 through 1994, at such place as the holder hereof may designate in writing.

This note evidences indebtedness incurred by the State of Vermont for the purpose of making loans out of the Job-Start Revolving Loan Fund under the control and administration of the State Economic Opportunity Office of the Agency of Human Services, created by Section 1 of No. 198 of the Acts of the 1977 Adjourned Sessions, as amended by Section 309 of No. 242 of the Acts of the 1985 Adjourned Session. This note will be paid out of appropriations of the Vermont General Assembly and the income derived from the operations and management of said Job-Start Revolving Loan Fund. No part of the proceeds of this note shall be used or loaned for any purpose other than the making of loans to persons eligible therefor under the provisions of said Acts.

It is hereby certified that: (a) the obligations evidenced by this note are within the limits prescribed by law as to amount, interest and maturity; (b) the obligations evidenced by this note were duly approved by the Joint Fiscal Committee of the General Assembly; (c) all acts, conditions and things required to be done precedent to and in the issuance of this note have been done, have happened, and have been performed in regular and due form as required by law; and (d) the full faith and credit of the State of Vermont are hereby irrevocably pledged for the full payment of this note according to the terms and tenor thereof.



STATE OF VERMONT

By: Emily A. Hebard  
State Treasurer

And By: James T. Dyer  
Secretary of State

And By: Richard L. Goble  
Auditor of Accounts

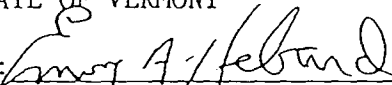
To Company: Office of Counsel  
J.C. Penney Life Insurance Company  
2700 West Plano Parkway  
Plano, Texas 75075

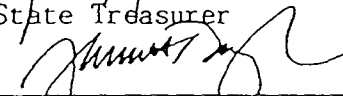
And to State: Office of the State Treasurer  
State Office Building  
133 State Street  
Montpelier, Vermont 05602


(8) This Loan Agreement shall be construed under the laws of the State of Vermont.

IN WITNESS WHEREOF, the parties have caused these presents to be executed by its respective duly authorized officers this 30th day of December, 1988.

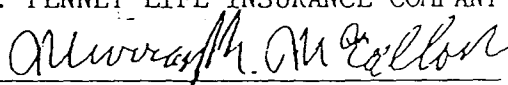
STATE OF VERMONT

By:   
State Treasurer

And by:   
Secretary of State

And by:   
Auditor of Accounts

J.C. PENNEY LIFE INSURANCE COMPANY

By:   
Senior Vice President

## **JOINT FISCAL COMMITTEE POLICY ON STAFF SALARY PARITY**

### **RESOLVED THAT:**

The policy of the Joint Fiscal Committee is pay equity between the the staff of the Joint Fiscal Office and that of the Legislative Council; and

That the Joint Fiscal Officer is directed to develop a Joint Fiscal Committee/Office budget for fiscal year 1994 to implement this policy.

**RECOMMENDATION TO JOINT FISCAL COMMITTEE ON  
TEMPORARY EMPLOYEE:**

That the Legislative Fiscal Officer be authorized, within the constraints of the budget, to hire a part-time temporary employee in a fiscal analysis capacity for the 1993 legislative session.



TOWN OF CABOT

P. O. Box 36  
CABOT, VERMONT  
05647

BARBARA S. AILES, *Clerk-Treas.*

VELMA J. WHITE, *Asst. Clerk-Treas.*

Office (802) 563-2279

October 23, 1992

Dear Peter,

I have enclosed copies of the correspondence from the State of Vermont and the Town of Cabot regarding the Ducks, Unlimited, venture at Joe's Pond.

The Board appreciates your concern on their behalf; let me know if there is anything more we can help you with or what happens in the committee.

Thanks,

Jackie

TOWN OF CABOT

P. O. Box 36  
CABOT, VERMONT  
05647

Jacklyn Folsom,  
~~XXXXXXXXXX~~, Clerk-Treas.  
VELMA J. WHITE, Asst. Clerk-Treas.

June 19, 1992

Office (802) 563-2279

Dear Mr. Crenshaw,

The Cabot Selectboard reviewed your request and map regarding the proposed conservation of 300 acres of wetlands at the headwaters of Joe's Pond. To the best of their resources, this would involved about 50 to 60 acres within the boundaries of Cabot (on the Rob Hall property).

While the Board feels that conserving this area is extremely important, they did wish to express their concern that any programs that would adversely affect the tax base probably would not be in the best interests of the Town. They wondered how much of a tax break landowners would expect after deed restrictions for conservations occur. Has your agency any guidelines on this?

Please let us know how this project proceeds.

Sincerely,

Jacklyn Folsom, Clerk  
for the Cabot Selectboard



State of Vermont

AGENCY OF NATURAL RESOURCES

DEPARTMENT OF FISH AND WILDLIFE

Department Of Fish and Wildlife
Department Of Forests, Parks, And Recreation
Department of Environmental Conservation
State Geologist
Natural Resources Conservation Council

- 111 West Street Essex Jct., VT 05452 (802) 878-1564
324 N. Main Street Barre, VT 05641 (802) 479-3242
RR #1, Box 33 N. Springfield, VT 05150 (802) 886-2215
184 Portland Street St. Johnsbury, VT 05819 (802) 748-8787
RR 2, Pittsford Academy Pittsford, VT 05763 (802) 483-2172

June 1, 1992

Mr. Glen Goodrich, Chair
Select Board
Town of Cabot
RFD
West Danville, VT 05873

Dear Mr. Goodrich,

The Vermont Fish and Wildlife Department is seeking to permanently protect approximately 200-300 acres of wetlands at the headwaters of Joes Pond through a combination of acquisition and conservation easements. At the annual Joes Pond camp and home owners association meeting last year, the association overwhelmingly supported this project and have since raised \$10,000 to meet this goal. The Vermont Duck Stamp Committee and the Ducks Unlimited M.A.R.S.H. (Matching Aid for Restoration of State's Habitat) program have also pledged \$20,000 each toward this project. Phase 1 of this project would be the acquisition of a conservation easement on 104 acres currently owned by the Rob Hall family. Future phases would involve the acquisition/easement of additional acreage from willing sellers.

The Vermont Fish and Wildlife Department is seeking town review and approval of this project. A letter reflecting the Select Board's comments on this project would be greatly appreciated. If you have any questions, please feel free to call me at my office (878-1564).

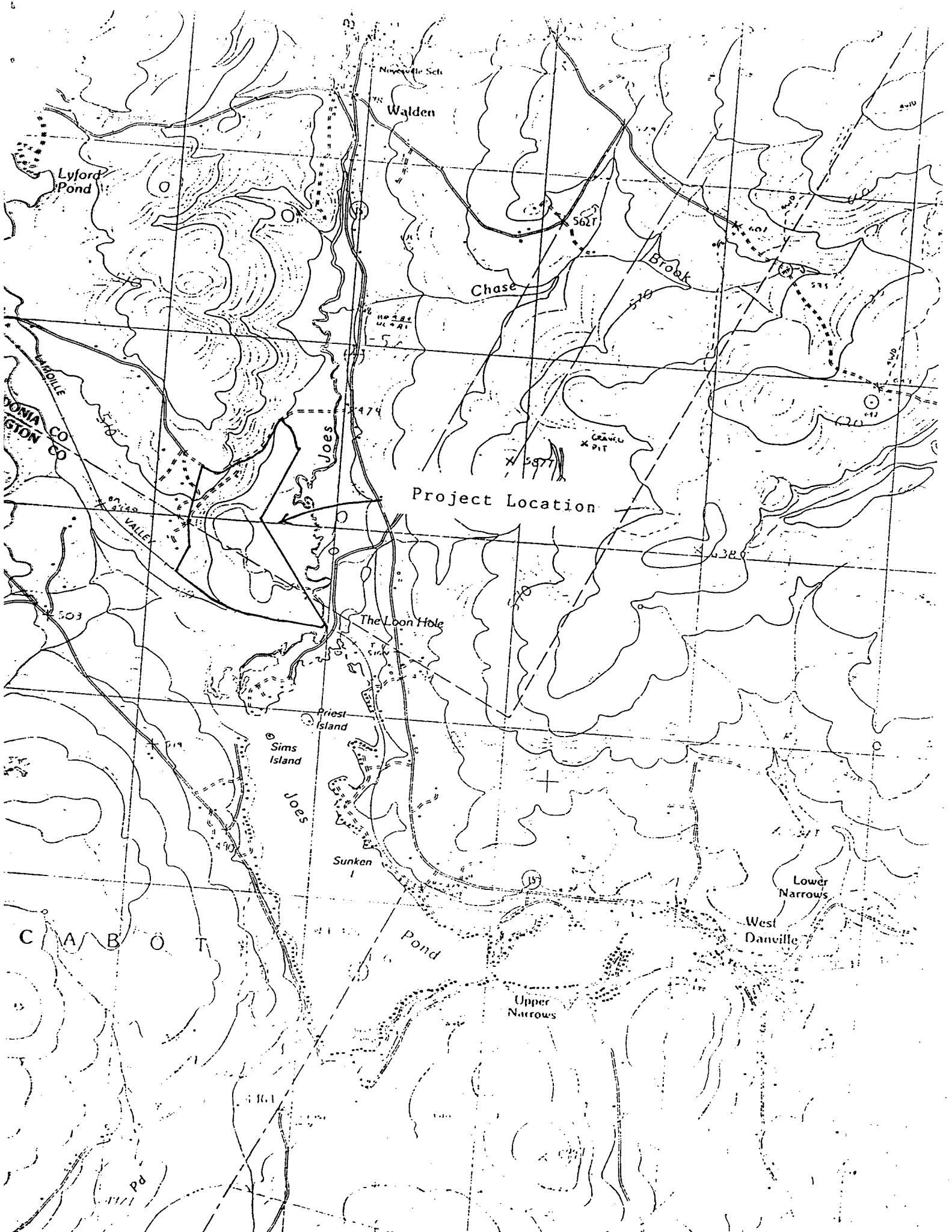
Sincerely,

Bill Crenshaw

William J. Crenshaw
District Wildlife Biologist

CC: Larry Litke

WJC/tg



Lyford Pond

Walden

Chase

Brook

MIDDLEBURY CO  
DANVILLE CO

Joes

Project Location

The Leeb Hole

Priest Island

Sims Island

Joes

Sunken I

Pond

Lower Narrows

West Danville

Upper Narrows

CABOT

Pd



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

TO: Margaret Maxfield, Fiscal Officer  
FROM: William H. Sorrell, Secretary of Administration  
DATE: October 15, 1992  
RE: **HEALTH CARE AUTHORITY BUDGET**

Taking a look at the above budget as part of the appropriation adjustment process presents no problem. It only makes sense to determine whether it is possible and appropriate to reduce the state appropriation to the Health Authority as a result of receipt of the grant funds.

cc: Douglas J. Wacek





**Mailing Address:**  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

**TO:** William H. Sorrell  
Secretary, Agency of Administration

**FROM:** Margaret Maxfield  
Fiscal Officer *Margaret*

**DATE:** October 9, 1992

**RE:** Joint Fiscal Committee Request

At the last Joint Fiscal Meeting on September 13, 1992 the committee requested that I write you and request that a review of the budget for the Health Care Authority be done during the budget adjustment process. Having accepted a large grant at that meeting from the Robert Wood Johnson Foundation for the Health Care Authority and realizing that staffing did not occur as rapidly as was originally anticipated, the committee was of the opinion that this budget should be reviewed during this appropriation adjustment process. Please let me know if there is any problem with this request.



STATE OF VERMONT  
AGENCY OF ADMINISTRATION

October 14, 1992

OCT 16 1992

Senator Mary Just Skinner  
Chairman  
Joint Fiscal Committee  
One Baldwin Street  
Montpelier, Vermont 05602

Dear ~~Senator Skinner~~ <sup>Mary</sup>:


In response to interest expressed by Joint Fiscal Committee members, the Agency of Natural Resources presented a report to the Committee at its November 4, 1991 meeting, regarding the Lake Champlain Management Conference and its various activities. Now, a year later, the Agency is providing an update on this program.

The Agency of Natural Resources has provided the attached information regarding their current and projected involvement in the various activities proposed under the Lake Champlain Management Conference effort. Should you have questions, Agency of Natural Resources personnel will be available at your meeting scheduled for November 12, 1992. As we will soon be entering hearings before your respective Committees in the upcoming session, we hope that this information will prove useful.

In effect, the arrangement outlined to the Committee last year is still in place. That is, for the majority of the projects approved under the Conference, the projects are contracted by the U.S. Environmental Protection Agency to the New England Interstate Water Pollution Control Commission (NEIWPCC) which in turn develops cooperative agreements with the states involved. Thus, NEIWPCC will acquire equipment and hire any staff necessary to actually conduct the project, though the project is usually monitored or supervised by State personnel. Under this approach, the projects are not included in the State budgets. When a Conference project is granted directly to the State, the normal grant or budgetary approval process is followed.

If you have any questions regarding this information, please feel free to give me a call.

Respectfully,

  
William H. Sorrell  
Secretary of Administration

WHS/aj  
Attachments

# STATUS REPORT ON THE LAKE CHAMPLAIN BASIN PROGRAM

September 1992

Prepared for the Joint Fiscal Committee  
By the Vermont Agency of Natural Resources

## Purpose

To provide a status report for the Joint Fiscal Committee on the funds administered by the US EPA for the Lake Champlain Basin Program.

## Background

The federal Lake Champlain Special Designation Act of 1990 recognizes Lake Champlain as a resource of national importance and adds Lake Champlain to the list of 10 waterbodies nationwide which are eligible for the establishment of a lake water quality demonstration program. The Act authorized the administrator of EPA to establish a 31 member Management Conference for the purpose of developing a Pollution Prevention, Control and Restoration Plan for Lake Champlain by 1993. Federal, state and local government officials, legislators and representatives from industry, education, non-governmental organizations and the general public participate on the Management Conference. A list of Vermont members on the Lake Champlain Management Conference is included as Attachment 1.

The Management Conference works with a number of committees, organizations and agencies to develop a plan for the future of Lake Champlain. The Lake Champlain Basin Program is the umbrella name for all of the activities being conducted under the auspices of the Lake Champlain Special Designation Act.

## Appropriations

To accomplish the objectives of the Lake Champlain Special Designation Act, Congress authorized up to \$5 million per year for five years. The actual appropriations to date are summarized below.

### Federal Fiscal Year: 1991

<u>Agency</u>	<u>Purpose</u>	<u>Amount</u>
U.S. EPA	Lake Champlain Management Conference	\$2,000,000

### Federal Fiscal Year: 1992

<u>Agency</u>	<u>Purpose</u>	<u>Amount</u>
USEPA	Lake Champlain Management Conference	\$1,750,000
USFWS	Fish and Wildlife Management Programs	\$500,000
USGS	Tributary Sediment Toxics Study	\$240,000
NOAA	Atmospheric and Hydrodynamic Studies	\$200,000
Nat'l Park Service	Recreation Management	\$150,000



## **Grant Administration**

The USEPA is authorized to administer grants in consultation with the Lake Champlain Management Conference for assisting research, surveys, studies, and technical supporting work necessary for the development of the Pollution Prevention, Control and Restoration Plan. The Management Conference has drafted goals and objectives for the Plan. An outline of the draft plan is included as attachment 2. The other federal agencies are also required to consult with the Management Conference when allocating funds. While the Plan is being developed, the Lake Champlain Management Conference prepares an annual funding plan for research, demonstration, monitoring, planning and education projects which are needed to support the development of the Plan. Once approved by the Management Conference, the annual funding plan is forwarded to the USEPA and appropriate technical committees for further refinement and implementation. The 1992 funding plan is included as attachment 3.

Grants are awarded through several avenues: 1) direct grants to a state agency or university, 2) cooperative agreements with state or federal agencies, or 3) contracts. A 25% state or non-federal match is required for all Lake Champlain grants administered by the USEPA.

## **Fiscal Management**

Because of the complex, bi-state nature of the grants awarded under the Lake Champlain Basin Program, the USEPA contracts with the New England Interstate Water Pollution Control Commission (NEIWPCC) to serve as fiscal manager for a majority of the EPA funds. NEIWPCC is a quasi-governmental nonprofit organization initiated by an interstate Compact signed by seven member states, including Vermont and New York. With the exception of direct grants to the VT Agency of Natural Resources and the NY Department of Environmental Conservation for program coordination and a UVM-SUNY research project on toxics in lake sediments, funds are transferred to NEIWPCC for fiscal management. NEIWPCC develops cooperative agreements with state and federal agencies or contracts with private researchers to conduct the projects identified by the Lake Champlain Management Conference. NEIWPCC is responsible for the financial management and reporting of these funds. In 1991, NEIWPCC managed \$1,158,300 of the federal funds and \$1,347,000 in fiscal year 1992. This approach for fiscal management was accepted by the Joint Fiscal Committee in November 1991. Detailed financial reports for the Lake Champlain grants are available upon request.

A status report on all Lake Champlain grants and detailed progress reports on individual projects are prepared each calendar quarter. A sample of the most recent status report is included as attachment 4.

## **Contact**

For more information about the Lake Champlain Basin Program, contact:

Lisa Borre, VT Lake Champlain Coordinator  
Lake Champlain Basin Program  
54 West Shore Road  
Grand Isle, VT 05458  
(802) 372-3213 or 1-800-468-5227

## List of Attachments

- Attachment 1** Vermont LCMC Members.  
**Attachment 2** Draft Goals and Objectives for the Pollution Prevention, Control and Restoration Plan, Proposed Outline.  
**Attachment 3** Lake Champlain Management Conference, 1992 Funding Plan.  
**Attachment 4** Status Report, 1991 and 1992 LCMC Grants.

Attachment 1: Vermont LCMC members

Governor's Representative:

Jan S. Eastman, Secretary, VT ANR

State Legislators:

Sen. John Finn

Sen. George E. Little, Jr.

Rep. Helen Riehle

Rep. William Talbott

CAC Chair:

R. Montgomery Fischer, Chair, Vermont Citizens Advisory Committee

Business, Academic, Non-governmental Organization and General Public Representatives:

Tom Audet, Farmer, general public representative

Lori Fisher, Ex. Director, Lake Champlain Committee, NGO representative

Lawrence Forcier, Dean, School of Natural Resources and College of Agriculture, UVM,  
academic representative

Pat Robins, McAuliffe's Inc., business representative

Local Government Representatives:

David Coen, Vergennes-Panton Water District

Maurice Harvey, Charlotte Conservation Commission

Peter Jacob, Champlain Water District

Goals and Objectives  
for the  
Pollution Prevention, Control and Restoration Plan

Drafted by the  
Plan Formulation Team of the Lake Champlain Management Conference

March 13, 1992

- DRAFT DOCUMENT -

Proposed Outline

I.	WATER QUALITY .....	4
A.	NUTRIENTS .....	4
B.	TOXIC CONTAMINANTS .....	12
C.	PATHOGENS .....	15
D.	SEDIMENT .....	17
E.	LAKE LEVEL AND WATER QUANTITY .....	17
II.	LIVING RESOURCES .....	19
A.	FISH AND WILDLIFE .....	19
B.	WETLANDS .....	24
C.	NUISANCE AQUATIC PLANTS AND ANIMALS .....	27
III.	HUMAN COMPONENT (The People Part) .....	31
A.	RECREATION RESOURCES .....	31
B.	CULTURAL HERITAGE .....	35
C.	ECONOMICS .....	40
D.	HUMAN HEALTH (DRINKING WATER AND FISH CONSUMPTION) .....	43
IV.	SUPPORT STUDIES, DATA AND MONITORING .....	45
A.	PHYSICAL PROCESSES .....	45
B.	DATA MANAGEMENT AND GIS .....	47
V.	IMPLEMENTATION .....	51
A.	WATERSHED PLANNING .....	51
B.	INSTITUTIONAL ARRANGEMENTS .....	55
C.	LEGISLATIVE INITIATIVES .....	55
D.	FUNDING PLAN .....	55
E.	CONTINUITY AND FUTURE VISION .....	55
VI.	GLOSSARY .....	56

Attachment 3  
 Lake Champlain Management Conference  
 1992 Approved Funding Plan

<u>Administration</u>		<u>Federal Funds</u>
VT ANR	CWA 104(b)(3) grant for program coordination	\$53,000
NY DEC	CWA 104(b)(3) grant for program coordination	\$100,000
NEIWPCC	CWA 106 grant for administration	\$78,000
<b>CATEGORY TOTAL</b>		<b>\$231,000</b>

<u>Education and Outreach</u>		
NEIWPCC	CWA 106 grant for public education and outreach program (VT/NY)	\$153,000
<b>CATEGORY TOTAL</b>		<b>\$153,000</b>

<u>Demonstration Projects</u>		
NEIWPCC	CWA 106 grant for Demonstration Projects	
	Water Chestnut Harvesting (NY DEC lead)	\$50,000
	Private Wetlands Restoration (NY DEC lead)	\$79,000
	Comprehensive Agricult. Monitoring/Evaluation (VT/NY)	\$38,000
	Watershed planning demonstration (contract)	\$25,000
	Economics demonstration (contract)	\$50,000
<b>CATEGORY TOTAL</b>		<b>\$769,000</b>

<u>Research and Characterization Projects</u>		
UVM/SUNY	CWA 104(b)(3) grant for sediment toxics study	\$250,000
NEIWPCC	CWA 106 grant for research projects	
	Hydrodynamic modelling--phase 2 (contract)	\$60,000
	St. Albans Bay feasibility study (VT lead)	\$70,000
	Land cover mapping (contract)	\$60,000
	Patterns of fish consumption study (contract)	\$25,000
	Phosphorus transport in streams study (contract)	\$100,000
	Food web interactions (bioenergetics) study (contract)	\$100,000
	Threatened and endangered species/habitats inventory (VT/NY)	\$44,000
	Nonpoint source pollution assessment (contract)	\$60,000
<b>CATEGORY TOTAL</b>		<b>\$769,000</b>

<u>Monitoring</u>		
NEIWPCC	CWA 106 grant for monitoring projects	
	Lakewide water quality and biological monitoring (VT/NY)	\$250,000
	Stream gauging in Lake Champlain tributaries (USGS)	\$60,000
<b>CATEGORY TOTAL</b>		<b>\$310,000</b>

<u>Planning</u>		
NEIWPCC	CWA 106 grant for data management clearinghouse (contract)	\$45,000
<b>CATEGORY TOTAL</b>		<b>\$45,000</b>

TOTAL FEDERAL FUNDS		\$1,750,000
NON-FEDERAL MATCHING FUNDS REQUIRED (25%)		\$583,333

Status Report 1991 and 1992 LCMC Grants  
April - June 1992

The following pages provide a brief status report on the 35 projects approved by LCMC in 1991 and 1992. Administrative tasks are also highlighted. Each state has taken a different approach in working with NEIWPC: VT has been signing contracts on a project by project basis while New York has developed larger contracts which include a number of projects to be signed.

Please note: The bold (\$\$) indicates amounts approved by LCMC whereas the (\$\$) listed with the agencies indicates the actual contract amount. Non-federal match amounts listed indicate minimum match requirements. Although some agencies have overmatched, that information is not presented here. More detailed financial information for specific projects is available upon request.

Public Education.....

1991 Public Education and Involvement Program \$250,000

Agencies: VT ANR and NEIWPC (\$250,000)

Contract: Signed 11/20/91

Contact: Elizabeth Soper, Lake Champlain Basin Program

Non-federal match: Volunteer and in-kind-services (\$83,334)

Proj. Desc.: To hire public involvement and education coordinator; to coordinate information and education programs.

Status:

APRIL - JUNE Held editorial board meetings with 3 major newspapers along with LCMC chair and state representatives. Awarded Teacher Education Grant (\$25,000) to a consortium of educational organizations to produce educator forums for teachers of grades 4-8. Awarded grants (totalling \$25,000) to 4 organizations to support existing education & outreach organizations. Contracts being negotiated. Produced and distributed 5000 copies of *Casin the Basin*, the LCBP newsletter. Began Working with 3 summer interns on the development of fact sheets, a field guide to educational resources within the basin, and the Lake Champlain Celebration Day. Coordinated a series of public zebra mussel workshops and a workshop for technical staff. Distributed a \$95,000 RFP (\$50,000 '91, \$40,000 '92) in May for participation and demonstration projects. Grant determinations will be made in August.

1992 Public Education and Involvement Program \$153,000

Agencies: VT ANR and NEIWPC (\$153,000)

Contract: Signed 7/14/92

Contact: Elizabeth Soper, Lake Champlain Basin Program

Non-federal match: Volunteer and in-kind-services (\$51,000)

Proj. Desc.: This is an ongoing program begun in 1991. It

includes administrative costs to cover salary and fringe for an education coordinator, travel etc., funds to support long term activities such as production of a bi-monthly newsletter, fact sheets, citizen surveys, as well as funds for particular projects such as an education curriculum, summer institute, Lake Champlain Celebration Day, and zebra mussel education program.

Status:

APRIL - JUNE 1992 funds being allocated to participation and demonstration grant.

**Demonstration Projects.....**

**1991 Water Chestnut Harvesting Program \$50,000 COMPLETE**

Agencies: VT ANR and EPA (\$50,000)

Grant: Signed 9/26/91

Contact: Wally McClean, VT DEC

Non-federal match: State of Vermont (\$16,667)

Proj. Desc.: Support for an ongoing effort to control water chestnuts in the South Lake through mechanical harvesting and hand-pulling. Work conducted by VT.

Status:

JAN - MARCH 1991 Project completed. Final status report complete.

**1991 Lamprey Control Demonstrations in VT and NY \$80,000**

Agencies: VT ANR w/ NEIWPCC, NY DEC (\$38,000 each state)

Contract: VT - Signed 2/14/92

NY - Direct grant made through EPA Region 2 (9/91)

Contacts: John Anderson, VT Fish and Wildlife; Larry Nashett, NYDEC Region 5, Bureau of Fisheries

Non-federal match: State of New York (\$28,108)

Proj. Desc.: Reconstruction and upgrades of barrier dams on Lewis Creek in Vermont and the Great Chazy River in NY to control the upstream migration of lamprey.

Status:

APRIL - JUNE VT - State Purchasing Division advertised for bids in June. A contractor will be selected and construction of the barrier dam completed during the next quarter. NY - Presentation of barrier dam proposal made to the Village of Champlain seeking their approval prior to developing construction quality engineering design. A generic lease agreement which outlined DEC's access for construction, maintenance and biological sampling was sent to the village as a sample. The village requested a site specific, proposed lease agreement.

**1991 Comprehensive Agricultural Monitoring and Evaluation Program (CAMEP)**

Note: The purpose of this project is to gather all agricultural interests in the basin to work cooperatively in developing a comprehensive agricultural monitoring and evaluation program.

This will include defining issues to be resolved, creating a comprehensive program to address these issues and defining which Best Available Technologies (BAT) should be implemented. The two primary components for FY91 are planning and BAT demonstration.

**A. Planning \$95,700**

Agencies: VT ANR (lead) w/ NEIWPC (\$47,654 committed);  
NY DEC (\$11,000 committed)

Contract: VT - Signed 12/31/91 for the coordinator  
NY - Signed 6/1/92

Contact: Tim Beaman, CAMEP Coordinator, UVM Aiken Center

Other: Several other participants are participating in the core group. Agreements are pending.

Non-federal match: States of Vermont and New York and other in-kind [\$31,900 (\$19,551 committed)]

Proj. Desc.: Agreement to hire a strategic planning coordinator for the CAMEP project, on a partial interagency personnel agreement from the US Soil Conservation Service to help develop a planning document. This individual will carry out the directions of the Strategic Core Group [comprised of key representatives from agricultural agencies and institutions, ie. Soil Conservation Service(SCS), UVM, Cornell, VT, NY, Agricultural Stabilization and Conservation Service] in developing a comprehensive agricultural monitoring and evaluation plan.

Status:

*APRIL - JUNE* VT - Strategic Core Group formed subcommittees in April. An administrative subcommittee was developed for efficiency. A preliminary listing of conservation farm practices considered as BAT is being developed. Sections of plan outline referring to monitoring and research efforts which pertain to pollutant movement from edge of field to bottom of root zone have been completed and development of the written portion will be initiated shortly. Plan to be completed by October or November.

**B. BAT Demonstration in VT and NY \$71,700**

Agencies: VT ANR and NY DEC (\$29,500 committed) w/ NEIWPC

Contracts: NY: Cornell University (\$19,500) and Miner Institute (\$10,000) Signed 6/1/92

Contact: Tim Beaman, CAMEP Coordinator, UVM, Aiken Center

Non-federal match: States of Vermont and New York (\$23,900)

Proj. Desc.: Implementation of Best Management Practices in NY and VT which may be included in the comprehensive agricultural monitoring planning project.

Status:

*APRIL - JUNE* VT - In the process of identifying which BMPs are most appropriate to evaluate. Vermont has opted to delay practice installation until the 1993 construction season when it is hoped that the implementation of a complete complement of BMPs can be started on one working farm with associated water quality/land use monitoring to demonstrate practice effectiveness. NY - 2 farms, the Miner Institute and Cornell's Willsboro farm, were



selected as sites to demonstrate selected BMPs. Background information is being collected on two BMPs, "Phosphorous Management Using Dairy Manure and Perennial Forage Grasses" and "Top Dressed Manure for Established Alfalfa".

**1991 Archeological Screening for Agricultural Water Quality  
Projects \$47,800**

Agencies: VT Div. for Historic Preservation, VT ANR (project oversight), Otter Creek Natural Resources Conservation District (office space) w/ NEIWPC ( \$45,410)

Contract: Signed 11/19/91

Contact: Giovanna Peebles, VT Div. for Historic Preservation

Non-federal match: State of Vermont and Volunteer in-kind-services (\$15,933)

Proj. Desc.: A project archaeologist will be hired to coordinate w/ ASCS, SCS, and the agencies listed above on this project to identify archaeological sites or sensitive lands on polluting farms and plan for their protection by site avoidance. Archaeological sensitivity models will be evaluated and refined. Past disturbances will also be evaluated. An archaeological best practices model for planning and siting treatment projects on farms will be developed. Training programs for SCS staff, outreach efforts for farmers and communities and participation of a volunteer network will be included.

Status:

*APRIL - JUNE* The archaeologist has now visited a total of 52 farms during 80 farm visits. Several farms have been revisited to follow up and monitor construction or to undertake additional surveys. Eighteen new sites have been recorded. Considerable public outreach has occurred including some in conjunction with other local agencies.

**1991 Nuisance Fauna Demonstration Project \$35,900**

Agencies: NY DEC(lead) w/ NEIWPC ( \$34,105)

Contract: Signed w/ Smith-Root, Inc. 4/3/92

Contacts: William Schoch, NYDEC Reg. 5 Bureau of Fisheries; Anthony Bonavist, NY DEC Central Office Bureau of Fisheries

Non-federal match: State of New York (\$11,983)

Proj. Desc.: Conduct a feasibility study for the installation of electronic barrier dams to prevent the introduction of non-native fish into Lake Champlain from the Hudson River.

Status:

*APRIL - JUNE* Smith - Root, Inc. continued work on the design and construction procedures for the electric barrier. Conceptual plans are expected in July.

1991 Submerged Cultural Resource Inventory \$47,800

Agencies: Lake Champlain Maritime Museum w/ NEIWPCC (\$45,410)

Contract: Signed 5/18/92

Contacts: Giovanna Peebles, VT Div. for Historic Preservation

Non-federal match: Provided by contractor (\$15,933)

Proj. Desc.: Focussing on the southern portion of Lake Champlain, this project will inventory vulnerable shipwrecks and artifacts dating back to the revolutionary war as a first step in their protection.

Status:

APRIL - JUNE RFP awarded to Maritime Museum. Work plan approved. Side scanning sonar utilized to locate and identify submerged resources.

1992 Water Chestnut Harvesting Program \$50,000

Agencies: NY DEC and NEIWPCC (\$50,000)

Contract: Pending

Contact:

Non-federal match: State of New York (\$16,667)

Proj. Desc.: Support for an ongoing effort to control water chestnuts in the South Lake through mechanical harvesting and hand-pulling.

Status:

APRIL - JUNE 1992 Work to be initiated imminently.

1992 Comprehensive Agricultural Monitoring and Evaluation Program

Agencies: VT ANR and NY DEC w/ NEIWPCC (\$38,000)

Contract: Not yet underway

Contact: Tim Beaman, CAMEP Coordinator UVM George D. Aiken Center

Other: Several other participants are participating in the core group.

Non-federal match: Match required (\$12,667)

Proj. Desc.: The 1992 funds will be used to implement the plan and demonstrate additional BMPs.

Status:

APRIL - JUNE Pending outcome of 1991 process.

1992 Private Wetland Restoration (\$79,000)

Agencies: NY DEC, VT ANR, US Fish and Wildlife Service(USFWS) and NEIWPCC

Contract:

Contacts: Fish, Wildlife and Wetlands TAC Subcommittee

Non-federal match: Match required (\$26,333)

Proj. Desc.: This project will demonstrate to what degree wetlands can be restored on previously drained farmland by

blocking culverts, ditches and drain tiles and through construction of low head dikes. Evaluation of the effectiveness of restoring these drained wetlands will be an important component of the project.

Status:

APRIL - JUNE A draft wetlands restoration work plan has been developed in consultation with staff from VT Fish & Wildlife. Work plan will be submitted to Technical Advisory Committee in August before sending to EPA and NEIWPCC.

**1992 Local Watershed Protection / Multi-community Landscapes (\$25,000)**

Agencies: RFP w/ NEIWPCC

Contract: RFP

Contact: Lake Use/Land Use TAC Subcommittee

Non-federal match: Match required (\$8,334)

Proj. Desc.: Small scale projects at the local level, undertaken by either government entities, citizen organizations or others which are focussed on innovative ways of protecting water quality.

Status:

APRIL - JUNE Preliminary RFP drafted.

**1992 Economic Issues Demonstration (\$50,000)**

Agencies: RFP w/ NEIWPCC

Contract: RFP

Contact: Economics TAC Subcommittee

Non-federal match: Match required (\$16,667)

Proj. Desc.: Designed to examine fiscal and institutional economies of two communities in the basin. At least one community will be located on and economically connected to a tributary of the Lake.

Status:

APRIL - JUNE RFP in draft form.

**Characterization/Research.....**

**1991 Sediment Toxics Research in VT and NY \$250,000**

Agencies: UVM w/ EPA (\$249,997)

Contract: Signed 5/21/91

Contact: Al McIntosh, UVM, Water Resources Center

Non-federal match: University of Vermont (\$83,333)

Proj. Desc.: The first of a two year study to characterize toxics in Lake Champlain sediments. The sites will be screened and nine will be chosen for more detailed evaluation and analysis.

Status:

APRIL - JUNE First year interim status report received.  
Currently under review by EPA.

**1991 Toxics Characterization in VT and NY \$138,700**

Agencies: VT ANR w/ NEIWPCC (\$86,765)  
NY DEC w/ NEIWPCC (\$45,000)

Contract: VT - Signed 2/3/92  
NY - Signed 2/13/92

Contacts: Doug Burnham, VT ANR, Water Quality Div.; Scott Quinn,  
NY DEC Div of Water; Rob Bonham, NY DEC Reg. 5, Division of Water

Non-federal match: State of Vermont (\$30,422)  
State of New York (\$15,811)

Proj. Desc.: A two part project designed to 1) assess point source loadings and whole effluent toxicity for discharges located in Vermont and New York and 2) conduct caged mussel bioconcentration studies at the mouths of tributaries in Lake Champlain.

Status:

APRIL - JUNE

Part 1 - Point source loading - VT - First round of sampling and analysis has been completed on 10 Publically Owned Treatment Plants. Priority pollutant analyses and whole effluent toxicity testing with daphnids and fathead minnows have been conducted. Second round of testing scheduled for July. NY - Requested Versar Labs to reanalyze samples due to problems encountered with sample analysis for the 14 NY treatment plants and 3 industrial/commercial sites. Database development is in process.

Part 2 - Mussel Bioaccumulation - VT - A revised QA/QC Project Plan is currently under EPA review. Field procedures have been informally approved and field activities have begun. Analytical procedures approval is still pending. Sites have been located on 12 major tributaries. Site location has been coordinated with USGS sediment sampling. An adequate source of contaminant free mussels has been located in Lake Carmi.

**1991 GIS Plan Development and Demonstration in VT and NY  
\$114,700**

Agencies: VT Office of GIS, VT ANR w/ NEIWPCC (\$44,765)  
NY DEC w/ NEIWPCC (\$64,200)

Contract: VT - Signed 12/31/91  
NY - Signed 2/13/92

Contacts: David Healy, Office of Geographic Information Systems;  
Larry Alber, NYDEC GIS Coordinator

Non-federal match: State of Vermont (\$15,780)  
State of New York (\$22,557)

Proj. Desc.: Designed to develop standards, procedures and protocols for GIS work associated with Conference needs. Work

includes organizing a TAC subcommittee on GIS, developing GIS standards, methods and procedures, developing a quality assurance practices document, cataloging and assess existing data, identifying ongoing GIS data management responsibilities, and developing review procedures for data development and maintenance.

Status:

*APRIL- JUNE*

VT - The draft data inventory is being reviewed and a draft report, *Provision of GIS Services for the LCBP* was completed. The report contains a recommended strategy and functional requirements for carrying out GIS services for the LCBP. The GIS Management Plan will be presented to the TAC in September. Based on recommendations of the work group, the grant is being revised to include a needs assessment of all TAC subcommittees, the Plan Formulation Team and all Education and Outreach Committees.

NY - Staff training for SUN work stations operators has been completed. UNIX Systems training has been scheduled for technical support staff. Fisher Associates commenced work on the Demonstration Project on 4/20/92. Progress includes 1) completing and enhancing an inventory of LCMC spatial data coverage; 2) developing a working data dictionary for spatial data coverage and revising procedures for data exchange and data integration; 3) preparing a demonstration document which outlines the major objectives, components and deliverables for the project based upon phosphorous loadings into Lake Champlain. This will serve as an example for validating data compiled by LCBP programs and show how it pertains to proposed data standards.

**1991 Hydrologic Stream Gauging \$107,500**

Agencies: NY DEC w/ NEIWPC (\$102,125)

Contract: Signed on 2/13/92. MOA signed with USGS NY district on 4/20/92 and with USGS NH-VT District on 5/13/92

Contact: Scott Quinn, NY DEC, Div. of Water

Non-federal match: State of New York (\$35,882)

Proj. Desc.: Maintain 18 continuous stream flow gauges (12 NY, 6 VT) which provide information essential to understanding the fate and transport of nutrients and toxic substances in the basin.

Status:

*APRIL - JUNE* Operation and maintenance on stream gauging stations has continued; data collection platforms have been added at three sites. Existing mercury manometers have been replaced with level transducers which are environmentally safer than the old equipment.

1991 Economic Database Development \$75,000

Agencies: Holmes and Artuso w/ NEIWPC ( \$70,180)

Contract: Signed 6/10/92

Contacts: John Banta, Adirondack Park Agency; Timothy Holmes, Holmes and Associates

Non-federal match: Provided by contractor (\$17,452); provided by TAC subcommittee (\$4,456)

Proj. Desc.: To develop an economic database for Lake Champlain

Status:

*APRIL - JUNE* The study team has refined the research approach and outlined the division of labor. Literature reviews and data selection have begun. An annotated bibliography is in progress. Communications have been initiated on coordinating the NY and VT data sets. The availability of the employment/economic census data is delayed 4 - 6 weeks due to a mistake in the original data. The delay will not affect the overall progress of the project.

1991 and 1992 Hydrodynamic Modelling \$147,000  
(\$87,000 of FY91\$, \$60,000 of FY92\$)

Agencies: RFP w/ NEIWPPC

Contract: Pending LCMC approval

Non-federal match: Match required (\$49,000)

Proj. Desc.: To develop a model which simulates transport, mixing and hydrodynamic dispersion in the lake for the purpose of estimating spatial and temporal distribution and transport of water quality constituents and biological measures.

Status:

*APRIL - JUNE* The RFP was distributed and proposals have been received. The Technical Advisory Committee will make a recommendation to the Management Conference 8/6/92.

1991 Bioenergetics Modelling \$90,000

Agencies: RFP w/ NEIWPC

Contract: Pending LCMC approval

Non-federal match: Match required (\$30,000)

Proj. Desc: To construct a top down bioenergetic model to include predator-prey relations between lake trout, other top predators and their prey.

Status:

*APRIL - JUNE* The RFP was distributed and proposals have been received. The Technical Advisory Committee will make a recommendation to the Management Conference 8/6/92.

1992 Sediment Toxics Research in VT and NY \$250,000

Agencies: UVM w/ EPA (\$249,9967)

Contract: Signed 6/30/92

Contact: Al McIntosh, UVM, Water Resources Center

Non-federal match: University of Vermont (\$85,337)

Proj. Desc.: The second of a two year study to characterize toxics in Lake Champlain sediments. Nine sites were chosen for intensive evaluation and analysis including biological assessment, stratigraphy and pollution history assessment, and sediment biogeochemistry.

Status:

APRIL - JUNE Work has been initiated at three sites.

1992 St. Albans Bay Internal Phosphorous Cycling/ Role of Wetlands(\$70,000) - Parts 1 and 2 (of 3)

Agencies: VT ANR w/ NEIWPCC (\$70,000)

Contract: Signed 5/1/92

Contact:Eric Smeltzer, VT DEC

Non-federal match: State of VT (\$23,500)

Proj. Desc.: Designed in 3 parts, Task 1 will determine if the Stevens Brook wetland is a net source of phosphorous via an input/output mass balance;and,Task 2 will quantify potential amount of phosphorous stored in bay and wetland sediment. Pending 1993 funding, the third part will examine sediment/water interface.

Status:

APRIL - JUNE Task 1 QA/QC plan approved. Sampling in Stevens Brook and St. Albans Bay began in May. Daily Staff gage readings and high-flow samples on 3 tributary streams have been collected. Task 2 will be undertaken by Youngstown State University. Contract under negotiation. Field work including the collection of sediment cores in St. Albans Bay is expected to be undertaken in August.

1992 Phosphorous Transport, Transformation, Storage and Release Processes (\$100,000)

Agencies: RFP w/ NEIWPCC

Contract: RFP

Contact: Non-point Source TAC Subcommittee

Non-federal match: Match required (\$33,333)

Proj. Desc.: Scheduled to occur from 1992 - 1994, this project will help researchers understand the contribution of phosphorus from tributaries to the Lake and will help to identify where management efforts should be focused - primarily close to the Lake, or upstream as well.

Status:

APRIL- JUNE Draft RFP has been developed (7/92).

**1992 Preliminary Risk Characterization of Fish Consumption  
(\$25,000)**

Agencies: RFP w/ NEIWPC

Contract: RFP

Contact: Toxics TAC Subcommittee

Non-federal match: Match required (\$8,333)

Proj. Desc.: Undertake a preliminary risk characterization of the consumption of Lake Champlain fish utilizing existing data wherever possible. Its intent is to identify high risk population groups around the Lake based on fish consumption rates and types of fish consumed. This will help to determine if particular population groups are at a high risk of exposure to toxics and if a full risk assessment is needed.

Status:

*APRIL - JUNE* Final RFP has been developed (7/92).

**1992 Rare, Threatened and Endangered Species (\$44,000)**

Agencies: VT ANR (VT lead), NYDEC (NY lead), USFWS, Nature Conservancy, VT Institute of Natural Science, Biological Survey of NY State Museum

Contract: VT ANR signed 5/1/92 (\$22,000)

Contact: K. Schneider, NY Natural Heritage Program; Chris Fichtel, VT ANR

Non-federal match: Match required (\$14,667)

Proj. Desc.: Identify and inventory rare, threatened and endangered species habitats and the most outstanding wetland and upland natural communities in Franklin County, VT and Clinton County, NY. Inventory data will be critical to numerous agencies, organizations and individuals for planning and protection purposes. Such inventories are highlighted in the Special Designation Act. EPA has provided funding to do a similar inventory in Grand Isle County.

Status:

*APRIL - JUNE* VT - Work plan has been approved. All preliminary landscape reconnaissance for the western half of Franklin County was completed. Sites with potential for supporting rare species or outstanding ecological communities were mapped. An overflight of the area was completed to help examine potential sites. Field biological surveys are in progress. NY - Draft work plan will be submitted to the TAC in August.

**1992 Food Web Interactions (\$100,000)**

Agencies: RFP w/ NEIWPC

Contract: RFP

Contact: Fish, Wildlife and Wetlands TAC Subcommittee

Non-federal match: Match required (\$33,333)

Proj. Desc.: Food web interactions will be examined to better



understand food chain dynamics through the use of a model. This understanding will help demonstrate the impacts of potential management schemes on the ecosystem. RFP utilizing 1991 funds focused primarily on the top of the food chain. Work being undertaken by USFWS in conjunction with the lamprey control program focuses on the upper portion of the food chain. This project would concentrate on the lower end of the food chain, including benthic, phytoplankton and zooplankton communities.

Status:  
*APRIL - JUNE* RFP distributed in June, 1992. Proposal to be presented to the Management Conference on 8/6/92.

#### **1992 Thematic Mapper Satellite Imagery (\$60,000)**

Agencies: VT ANR, NY DEC w/ NEIWPC

Contract:

Contact: Grady Moore, USGS

Non-federal match: Match required (\$20,000)

Proj. Desc.: Land cover information for the Lake and basin will be gathered by using thematic mapper satellite imagery. By working together with the Northern Forest Lands Study and the State of New York, highly accurate satellite data will be available at a greatly reduced cost.

Status:

*APRIL - JUNE* Data Management and GIS work group to develop consensus on project and submit to TAC in August.

#### **1992 Nonpoint Pollution Assessment, Non-Agricultural (\$60,000)**

Agencies: RFP w/ NEIWPC

Contract: RFP

Contact: Nonpoint Source Subcommittee

Non-federal match: Match required (\$20,000)

Proj. Desc.: Estimates of relative phosphorous load contributions from various nonpoint source categories will be made for the Lake Champlain basin and sub-watersheds. Categories include urban, recreational, agricultural and silvicultural. Project will identify what data are available, what interpretations could be made from it and what data are necessary for more refined estimates.

Status:

*APRIL - JUNE* RFP is currently circulating.

Monitoring.....

1991 Monitoring and Research Workshop \$26,700 COMPLETED

Agencies: University of Vermont w/ EPA (\$26,700)

Grant: Signed 9/25/91

Contact: Mary Watzin, UVM Water Resources Center

Non-federal match: University of Vermont (\$8,900)

Proj. Desc.: Conduct a research workshop December 17-19, 1991 to determine the status of and the need for future research and monitoring in the basin.

Status:

APRIL - JUNE Final report distributed.

1991 Atmospheric Deposition Monitoring in VT and NY \$68,900

Agencies: MIT w/ NEIWPCC (\$44,875)

VT ANR w/ NEIWPCC (20,850)

Contract: NY MOA signed 2/13/92; MIT signed 3/2/92; VT pending

Contacts: Philip Galvin, NYDEC Division of Air Resources; Harold Garabedian, VT Air Pollution Division

Non-federal match: State of New York (\$15,767)

State of Vermont (\$7,326)

Proj. Desc.: (NY) As part of an ongoing monitoring program, toxic metals in ambient air are being monitored at five sites in New York State including Willsboro Bay. This contract will allow for a wet deposition analysis to be performed on the Willsboro Bay site. Samples will be analyzed at an MIT lab. (VT) An additional element will establish two new sites, in Burlington and Grand Isle, through the North East States Air Use Management (NESCAUM) to conduct a filter analysis of fine particles.

Status:

APRIL - JUNE VT - An agreement, work plan and budget have been developed and approved by EPA. Work will begin September, 1992. NY - Samples continue to be taken in accordance with the quality assurance plan.

1992 Lakewide Diagnostic Monitoring (\$250,000)

Agencies: VT ANR, NY DEC w/ NEIWPCC

Contract:

Contact: Scott Quinn, NY DEC, Div. of Water

Non-federal match: Match required (\$83,330)

Proj. Desc.: This diagnostic monitoring program will include physical and biological monitoring in-lake as well as physical monitoring along tributaries. This includes \$25,000 to support the VT lay monitoring program.

Status:

APRIL - JUNE Work plan and budget for water quality and biological monitoring has been completed. Work plan includes QA/QC plan. Work plan submitted to EPA (7/92).

1992 Hydrologic Stream Gauging (\$60,000)

Agencies: VT ANR, NY DEC, USGS w/ NEIWPC

Contract:

Contact: Scott Quinn, NY DEC, Div. of Water

Non-federal match: Match required (\$20,000)

Proj. Desc.: See 1991 project description

Status:

APRIL - JUNE 1992 funds are not being utilized yet

Planning.....

1991 Wetlands Permanent Protection Strategy \$28,700

Agencies: VT ANR, VT Nature Conservancy, NY DEC w/ NEIWPC (\$27,265)

Contract: Between VT Nature Conservancy and NEIWPC. Signed 2/3/92.

Contacts: William Crenshaw, VT Dept. of Fish & Wildlife; Ken Kogut, NY DEC, Reg V, Div. of Fish & Wildlife; Jon Binhammer, VT Nature Conservancy

Non-federal match: States of Vermont and New York and the Nature Conservancy (\$9,580)

Proj. Desc.: Develop a basin wide strategy for providing permanent protection of critical wetlands and identify acquisition funds. Includes inventorying and mapping major wetland complexes in the Lake Champlain Basin, determining the most critical wetland areas based on major functions and values, completing one or more North American Waterfowl Conservation Association applications (depending on funding) for each state, and determining which wetlands might be protected through acquisition in fee, conservation easements, or other funding mechanisms. The Vermont Nature Conservancy will provide office space and personnel to complete the study.

Status:

APRIL - JUNE The Lake Champlain Wetland Acquisition Study Committee chose 10 VT and 8 NY wetlands as top priority for further review for inclusion in a Lake Champlain Valley Joint Venture Focus Area Proposal under the North American Waterfowl Management Plan. A draft of the Lake Champlain Wetland Protection Project Proposal was written. This document outlines a 5 year plan to protect the 16 highest priority wetland sites totalling almost 9000 acres in the Champlain Valley, as identified by the ranking process. Preliminary work on site designs for each of the 16 wetlands has begun. Site visits were made to several wetlands and will continue into the third quarter.

1991 Walleye Management Plan \$53,900

Agencies: VT ANR, Fish and Wildlife Service Cooperative Research  
Unit w/ NEIWPCC (\$51,205)

Contract: Signed 3/24/92

Contact: Chet MacKenzie, VT Fish & Wildlife; Donna Parrish, UVM

Non-federal match: State of New York (\$16,742)

Proj. Desc.: For the assessment of biological data, compilation of historical data on stock and identification of targets and strategies for achieving a sustained yield.

Status:

APRIL - JUNE A research associate began summarizing NY DEC tagging and netting data from the Great Chazy River and South Bay locations. A comprehensive literature review which will result in a computerized reference database has been initiated.

1991 Lake Sturgeon Restoration Plan \$41,000

Agencies: VT ANR, Fish and Wildlife Service Cooperative Research  
Unit w/ NEIWPCC (\$33,724)

Contract: Signed 3/24/92

Contacts: Chet MacKenzie, VT Fish & Wildlife; Donna Parrish, UVM

Non-federal match: State of New York (\$11,026)

Proj. Desc.: A restoration plan will be developed and a feasibility study conducted for the restoration of lake sturgeon populations in Lake Champlain.

Status:

APRIL - JUNE A research associate, has been hired and will begin work on 8/1/92.

1992 Data Clearinghouse (\$42,750)

Agencies: RFP w/ NEIWPCC

Contract: RFP

Contact: Larry Alber, NY DEC; Grady Moore, USGS; David Healy, VT  
OGIS

Non-federal match: Match required (\$14,250)

Proj. Desc.: Funds have been set aside pending a detailed proposal for a clearinghouse. A Clearinghouse would be useful to review data prior to publication, oversee initial acceptance of data and provide updating functions. This includes spatial as well as temporal data.

Status:

APRIL - JUNE The TAC data management/GIS work group will develop consensus on this project and submit proposal to the TAC in August.

**Administration.....**  
Both the Vermont and New York Lake Champlain Coordinators have continued to work with the LCMC, Citizen Advisory Committees, the Technical Advisory Committee, the Education and Outreach Committee and Plan Formulation Team to help coordinate the tasks of these committees. Some of the administrative duties accomplished by Vermont and New York staff during this quarter are listed below.

**Vermont Contact:** Lisa Borre, VT Agency of Natural Resources

*APRIL - JUNE*

- \* Continued to distribute meeting announcements, minutes, etc. to committee members as well as 300 interested individuals
- \* Responded to calls and general information requests
- \* Conducted bulk mailing (4000+) for newsletter after developing the database for the newsletter mailing list
- \* Prepared a report on the VT CAC's Public Forum in St. Albans, VT
- \* Made arrangements and selected equipment, furniture, phone service and supplies for the new LCBP office which opened 6/1/92
- \* Coordinator assisted on the development and review of the following agreements: Lake Champlain Lay Monitoring, the Rare, Threatened and Endangered Species Project and the St. Albans Bay Project; Revised CAMEP draft agreement and GIS scope of work; Submitted budget amendment for Education & Outreach work plan; Forwarded contract information to NEIWPC for Walleye/Lake Sturgeon projects; and forwarded work plan and budget to NEIWPC for Atmospheric Monitoring.
- \* VT ANR drafted a memorandum of agreement for exchange of regulatory information for the Lake Champlain Steering Committee and submitted it to NYDEC for review.
- \* Attended numerous subcommittee and related meetings and provided staff support for nutrients, toxics, cultural resources and recreation subcommittees.

**New York Contact:** Jim Connolly, NY DEC, Region V

*APRIL - JUNE*

- \* Assisted Education and Outreach Coordinator with the evaluation of educational program support RFP
- \* Assisted chairs of TAC sub-committees including Economics, Fish & Wildlife and Non Point Source with meeting logistics, mailings, etc.
- \* Assisted with the development of Phosphorous Transport and Transformation RFP
- \* Participated in GIS work group and CAMEP Core Group meetings
- \* Worked with VT staff and CAC Chairs to coordinate application process for National Park Service Greenway Partnership Program

Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701



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

Tel.: (802) 828-2295

## MEMORANDUM

**TO:** Joint Fiscal Committee Members

**FROM:** Maria Belliveau, Fiscal Analyst

**DATE:** September 9, 1992

**SUBJECT:** Vermont Fire Service Training Council

The Joint Fiscal Office has received a revised spending plan from the Vermont Fire Service Training Council as specified in section 98 of Act number 247 of 1992. The language in the appropriations bill directed the Vermont Fire Service Training Council to eliminate not less than 25 percent of the deficit in the special fund existing at the end of fiscal year 1992 and to develop a spending plan for fiscal year 1993 with the goal of providing not less than the number of regular courses and regional schools provided in fiscal year 1992.

The deficit at the end of fiscal year 1993 is \$103,000. The spending plan as submitted retires \$29,823 in fiscal year 1993 which complies with the requirement to retire 25% of the estimated deficit.

The second directive, to develop a spending plan which funds not less than the number of regular courses and regional schools provided in 1992 has been changed considerably from the first spending plan submitted on June 29, 1992. In fiscal year 1992 there were 71 regional courses and 71 regular courses offered. The revised spending plan includes eight (8) regional schools. Each regional school includes a range of between 11 to 16 courses, more than fulfilling the requirement for regional courses. The revised spending plan also includes forty two (42) regular courses. This level of instruction falls short of the level offered in fiscal year 1992. Overall this spending plan is an improvement over the plan submitted in June. The Vermont Fire Service Training Council was able to trim their budget by voting not to pay instructors for travel time. The instructors will still receive mileage reimbursement and pay for time spent on course preparation.

FIRE SERVICE TRAINING COUNCIL  
FISCAL YEAR 1993 BUDGET REVISED  
SEPTEMBER 1992

SEP 4 1992

RECEIVED NJFO  
SEP 9 1992

The revised FY 1993 budget for the Fire Service Training Council represents a significant revision in the training programs now proposed over the original document. This has essentially resulted from the elimination of portal to portal travel pay for instructors and the addition of one more industrial training program. Instructors continue to receive mileage reimbursement, as in the past, plus preparatory time for their classes and full pay for all hours of instruction.

The revised mix of training courses now includes eight REGIONAL SCHOOLS (not in the original proposal), forty-two (42) regular courses and one additional INDUSTRIAL PROGRAM. However, due to the limitations imposed by the mix of funding sources, course presentations still strongly favor hazardous materials instruction. The number of instructor hours now stands at 4,853 hours. Deficit reduction is factored in at \$29,823.00, slightly higher than the 25% rate specified in the appropriations act based on an estimated fiscal year end deficit of approximately \$103,000.00.

Budget forms (Forms 12, 13 and 14) have been revised to show actual expenditures for FY 1992 rather than budget estimates thus providing two full years of actual spending history.

For a more information concerning cost and revenue estimates, see the attached chart FIRE SERVICE TRAINING - REVENUE ESTIMATION WORKSHEET.

FSTC 0610100209031993

FIRE SERVICE TRAINING - REVENUE ESTIMATION WORKSHEET

ITEM	NO	HRS	CRS/CST	COST	RECOV %	REVENUE	OTHR REQ'D
BASIC COURSE	6	648	\$2,848	\$17,088	0.4	\$5,835	\$10,253
REGIONAL SCH	8	1,428	\$3,583	\$31,200	0.6	\$18,720	\$12,480
REGULAR CRSES	42	619	\$325	\$13,662	0.4	\$5,465	\$8,197
GAS FIRES	15	68	\$1,043	\$15,645	1.4	\$21,903	(\$6,258)
LADDER/PUMPER	10	132	\$2,024	\$20,240	1.25	\$25,300	(\$5,060)
INDUSTRIAL TRNG	3	1,958	\$20,011	\$60,033	1.42855	\$85,760	(\$25,727)
			\$0	\$0	0	\$0	\$0
OPER EXPENSE			\$0	\$63,877	0.39252	\$25,073	\$38,804
			\$0	\$0	0	\$0	\$0
EXEC DIRECTOR			\$0	\$38,000	0	\$30,500	\$7,500
ADMIN SECRETARY			\$0	\$18,000	0	\$0	\$18,000
ADMIN ASSIST			\$0	\$26,682	0	\$0	\$26,682
BENEFITS ON P/S			\$0	\$15,750	0	\$0	\$15,750
DEFICIT REDUCT			\$0	\$29,823	0	\$0	\$29,823
			\$0	\$0	0	\$0	\$0
TOTALS		4,853		\$350,000		\$219,556	\$130,444

NOTE: SUM OF HOURS REPRESENTS INSTRUCTOR HOURS.

RECEIPTS:

VSFA (GRANT)	\$7,000
DOMESTIC INS	\$35,000
VSF TUITION	\$78,223
FED ADMIN	\$62,500
ANR HAZMAT	\$30,000
ANR TITLE IV	\$18,000
EMERG MGMT	\$3,517
LABOR & IND	\$15,000
BANKING	\$15,000
INDUSTRIAL	\$85,760
TOTAL RECEIPTS	\$350,000



FISCAL YEAR 1993 BUDGET  
 PROGRAM PERSONAL SERVICES DETAIL  
 FORM 12

DEPARTMENT OF PUBLIC SAFETY  
 FIRE SERVICE TRAININ FSTC

NONE

POSITION TITLE A	P/G B	PSN C	FY 1991 ACT EXPND D	PSN E	FY 1992 ACT EXPND F	PSN G	FY 1993 AGENCY REQ H	COMMENTS I
EXECUTIVE DIRECTOR	97	1	\$35,305	1	\$37,267	1	\$38,000	
SUB-TOTAL		1	\$35,305	1	\$37,267	1	\$38,000	
ADMIN ASSISTANT	20		\$		\$	1	\$26,682	
ADMIN SECRETARY	17		\$		\$	1	\$18,000	
SUB-TOTAL			\$		\$	2	\$44,682	
AUX ST POLICE			\$		\$		\$	
TEMP CIVILIAN			\$131,079		\$163,613		\$96,701	
SUB-TOTAL			\$131,079		\$163,613		\$96,701	
OVERTIME			\$14,868		\$14,157		\$9,500	
HOLIDAY PAY			\$		\$1,479		\$	
CALL IN			\$		\$		\$	
ON CALL			\$		\$		\$	
PER DIEM			\$		\$		\$	
FITNESS AWARD			\$		\$		\$	
SHIFT DIFFERENTIAL			\$		\$		\$	
SUB-TOTAL			\$14,868		\$15,636		\$9,500	
SOCIAL SECURITY			\$13,856		\$19,522		\$14,450	
LIFE INSURANCE			\$223		\$250		\$599	
HEALTH INSURANCE			\$2,773		\$3,168		\$10,792	
DENTAL INSURANCE			\$277		\$283		\$707	
RETIREMENT			\$3,896		\$4,002		\$9,900	
UNEMPL COMP			\$147		\$259		\$300	
WORKER COMP			\$		\$4,250		\$4,730	
SUB-TOTAL			\$21,172		\$31,734		\$41,478	
BOARD PER DIEM			\$		\$		\$	
CONTR SERVICES			\$		\$		\$	
ADJUSTMENT			\$	(	\$458)		\$	
OTHER NON EMPL SERVICES			\$		\$		\$	
SUB-TOTAL			\$	(	\$458)		\$	
TOTAL FOR AUTHORIZED POSITIONS		1	\$202,424	1	\$247,792	3	\$230,361	

FISCAL YEAR 1993 BUDGET  
 PROGRAM OPERATING EXPENSE DETAIL  
 FORM 13

DEPARTMENT OF PUBLIC SAFETY  
 FIRE SERVICE TRAININ NONE

FSTC

OBJECT AND SUB-OBJECT	OBJ CODE	FY 1991 ACT EXPND	FY 1992 ACT EXPEND	FY 1993 AGENCY REQ	COMMENTS
A	B	C	D	E	F
SUPPLIES AND PARTS.....					
CANINE	2020	\$	\$	\$	
BUILDING MAINT	2030	\$519	\$	\$	
COMMUNICATIONS	2040	\$294	\$	\$	
UNIF & CLOTHING	2050	\$97	\$159	\$100	
EDUC & TRAINING	2060	\$5,009	\$2,956	\$2,607	
ELECTRICAL	2100	\$316	\$1	\$	
CMPTR & DATA PRO	2110	\$139	\$	\$	
FIREARMS & SAFET	2120	\$1,646	\$336	\$500	
FOOD	2141	\$1,696	\$	\$	
GASOLINE	2150	\$64	\$	\$1,500	
FUEL OIL	2161	\$556	\$757	\$500	
CHEM GAS FUEL	2163	\$391	\$785	\$	
HOUSEHOLD & JAN	2200	\$1,059	\$	\$100	
MEDICAL & LAB	2250	\$	\$	\$	
MISC SUPPLIES	2400	\$6,719	\$506	\$1,450	
OFFICE SUPPLIES	2501	\$6,831	\$3,848	\$3,700	
CENTRAL STORES	2502	\$235	\$	\$	
PRINT DUPL SUPPL	2504	\$	\$	\$100	
PHOTOGRAPHIC	2610	\$222	\$259	\$300	
PLUMBING & HEAT	2700	\$	\$	\$	
REG & IDENT	2730	\$	\$242	\$150	
SMALL TOOLS	2750	\$	\$119	\$100	
VEH & EQUIPMENT	2800	\$54	\$28	\$250	
TIRES	2801	\$	\$	\$200	
SUB_TOTAL		\$25,847	\$9,996	\$11,557	

FISCAL YEAR 1993 BUDGET  
 PROGRAM OPERATING EXPENSE DETAIL  
 FORM 13

DEPARTMENT OF PUBLIC SAFETY  
 FIRE SERVICE TRAININ NONE

FSTC

OBJECT AND SUB-OBJECT	OBJ CODE	FY 1991 ACT EXPND	FY 1992 ACT EXPEND	FY 1993 AGENCY REQ	COMMENTS
A	B	C	D	E	F
PURCHASED SERVICES.....					
ADVERTISING	3150	\$553	\$409	\$	
DATA PROCESSING	3170	\$820	\$8,290	\$500	
DUES & SUBSCRIPT	3201	\$1,351	\$1,691	\$1,300	
TUITION & REGIST	3203	\$1,241	\$	\$	
MISC SERVICES	3230	\$3,190	\$5,715	\$2,500	
FRGHT & EXPRESS	3250	\$224	\$141	\$100	
INSURANCE	3300	\$581	\$1,474	\$2,500	
DRY CLEANING	3355	\$	\$	\$	
POSTAGE	3371	\$2,647	\$2,639	\$3,000	
PRINTING & DUPL	3391	\$12,969	\$12,959	\$13,000	
RECORDING & FEES	3420	\$	\$10	\$	
RENTALS	3452	\$1,401	\$1,207	\$1,000	
REP & MAINT BLDG	3503	\$	\$	\$	
REP & MAINT OTHE	3508	\$2,253	\$3,834	\$3,000	
REP & MAINT VEH	3513	\$25	\$	\$900	
SUPPORT OF PERSO	3603	\$	\$	\$	
TELEPHONE	3651	\$6,374	\$13,051	\$10,110	
TRAVEL IN STATE	3711	\$41,092	\$34,457	\$30,000	
TRAVEL OUT STATE	3717	\$3,327	\$2,432	\$	
INDIRECT COST	3851	\$	\$	\$10,349	
SINGLE AUDIT	3854	\$	\$114	\$	
UTIL ELECTRIC	3901	\$	\$	\$	
UTIL OTHER	3902	\$	\$	\$	
SUB_TOTAL		\$78,048	\$98,423	\$78,259	

FISCAL YEAR 1993 BUDGET  
 PROGRAM OPERATING EXPENSE DETAIL  
 FORM 13

PAGE NO:

DEPARTMENT OF PUBLIC SAFETY  
 FIRE SERVICE TRAININ NONE

FSTC

OBJECT AND SUB-OBJECT	OBJ CODE	FY 1991 ACT EXPND	FY 1992 ACT EXPEND	FY 1993 AGENCY REQ	COMMENTS
A	B	C	D	E	F
EQUIPMENT AND OTHER.....					
OTHER EQUIPT	4100	\$47,795	\$2,146	\$	
SUB_TOTAL		\$47,795	\$2,146	\$	

FISCAL YEAR 1993 BUDGET  
PROGRAM OPERATING EXPENSE DETAIL  
FORM 13

PAGE NO:

DEPARTMENT OF PUBLIC SAFETY  
FIRE SERVICE TRAININ NONE

FSTC

OBJECT AND SUB-OBJECT	OBJ CODE	FY 1991 ACT EXPND	FY 1992 ACT EXPEND	FY 1993 AGENCY REQ	COMMENTS
A	B	C	D	E	F
TOTAL		\$151,690	\$100,565	\$89,816	

finance/budget/form13.ace/form13.out

Thu Sep 3 1992 15:18:24

FISCAL YEAR 1993 BUDGET  
PROGRAM GRANTS AND OTHER OPERATING EXPENSE DETAIL  
FORM 14

PAGE NO:

DEPARTMENT OF PUBLIC SAFETY  
FIRE SERVICE TRAININ

3

OBJECT CLASSIFICATIONS	FY 1991 ACT EXPND	FY 1992 ACT EXPEND	FY 1993 AGENCY REQ	COMMENTS
A	B	C	D	E
DEFICIT REDUCTION	\$	\$25,000	\$29,823	
TOTAL	\$	\$25,000	\$29,823	

finance/budget/form14.ace/form14.out

# MINUTES

## JOINT FISCAL COMMITTEE Meeting of November 12, 1992

Senator Skinner, Chair, called the meeting of the Legislative Joint Fiscal Committee to order at 10:10 a.m. in Room 10, State House.

Also present: Senators Carlson, Gannett, Kroger, and Webster

Representatives Brown, Obuchowski, Potvin,  
Valsangiacomo, and Youngbaer

Others attending included: William Sorrell, Secretary of Administration; Margaret Maxfield, Legislative Fiscal Officer, Douglas Williams, Deputy Fiscal Officer, and Maria Belliveau, Legislative Fiscal Analyst; Douglas Wacek, Commissioner, and Larry Masterson, Director of Financial Operations, Department of Finance and Management; William Young, Commissioner, Department of Social and Rehabilitation Services; Timothy VanZandt, Commissioner of Fish and Wildlife; William Dalton, Commissioner of Mental Health and Mental Retardation; Patricia DeGraw, Commissioner of Personnel; Lawrence Crist, Commissioner, Department of Aging and Disabilities; Patricia Moulton, Commissioner of Economic Development; James Walton, Commissioner of Public Safety; Deputy Commissioner Christine Finley and Allen Ploof, Health Department; Francis Aumand, Criminal Justice Training Council; Peter Profera, Agency of Human Services; William Rice, Assistant Attorney General, and Samuel Hutchins, State Veterinarian, Department of Agriculture; Wayne Babcock, Executive Director, Vermont Fire Service Training Council; Ted Nelson, Department of Public Safety; Peter Strobbridge, Department of Forests, Parks and Recreation; Dennis Snyder, Chairman, and Chris Fuhrmeister, Vermont State Emergency Communications Committee; Earl Fennessey, Tax Department; Bonnie Rutledge, Department of Motor Vehicles; Cynthia Clancy, Office of Policy Research; Mitzi Beach, Education Department; Stephen Sease and Lisa Borre, Agency of Natural Resources.

### APPROVAL OF MINUTES:

1. On a motion by Representative Obuchowski, the Committee approved the minutes of the September 10, 1992 meeting as submitted.

**BI-MONTHLY FISCAL REVIEW - REPORT BY SECRETARY OF ADMINISTRATION:**

2. Administration Secretary Sorrell and Commissioner Wacek reported on the state's revenue and expenditure performance and outlook based on experience through the first four months of fiscal year 1993. Their bi-monthly report to the Committee is required by 1992 Act 245, Sec. 286(a) in order to:

". . .insure that revenues received by the state. . .are adequate to meet expenditures of funds appropriated. . . and to satisfy the deficit retirement plan, and in order to take timely action if necessary to avert or cover any deficiency. . . ."

Mr. Sorrell reported that FY 1993 receipts are approximately \$3.4 ahead of forecasted cumulative totals. He cautioned, however, that this figure represents an erosion in the cushion of actual revenues over predictions realized in the first month of the current fiscal year.

After talking about revenue performance to date, the Secretary discussed some recent events and uncertainties which may have an impact on Vermont's economic recovery, such as the announcement that Digital Equipment Corporation early in 1993 will be making a major cutback in its Vermont work force; and the impact of the imminent change in national leadership.

Despite the increase in cumulative revenues compared to the same period last year, Secretary Sorrell said the administration believes it may have to adjust revenue projections for the current year downward. He suggested that experience over the next four to six weeks will give some indication of what that adjustment might be. He also assured the Committee that the administration remains committed to presenting a budget to the new General Assembly that will allow paying off the deficit reduction notes in June.

Mr. Sorrell also talked about development of the FY 1994 budget and observed that the program review and prioritization approach entails a very difficult process for agencies and departments. He expected the budget to take primarily a programmatic approach. Answering a question from the Chair, he said the Governor will submit a budget that will assume sunseting of the temporary tax increases enacted in 1991.

Representative Obuchowski asked questions and expressed concern about the impact on fiscal year 1994 of a potentially deteriorating revenue experience during the remainder of the current year and of continuing in a deficit situation. Mr. Sorrell affirmed the administration's commitment to fiscal responsibility by eliminating the deficit as quickly as possible. For the current fiscal year, Representative Obuchowski urged that if revenue projections are revised downward, the executive branch address the



situation through further spending and/or revenue adjustment proposals. Secretary Sorrell acknowledged Mr. Obuchowski's request to be fair.

Commissioner Wacek, after reporting that expenditures this year are within 2 percent of adjusted appropriation levels, told the Committee that problems as well as savings opportunities will be outlined during the forthcoming budget adjustment presentation. In response to the Chair's questions, he pinpointed community mental health funding as one potential problem area this year.

Asked by Representative Obuchowski when budget adjustment proposals would be submitted to the Joint Fiscal Office, Mr. Wacek said the administration hopes to do so the last week of December.

Representative Youngbaer inquired about reported problems in drawing down federal funds for transportation projects due to billing backlogs and was told by Commissioner Wacek that the Transportation Agency has worked hard to clean up the backlog.

#### **JOB START LOAN FUND:**

3. Commissioner Wacek gave a verbal update on the status of recapitalization of the Job Start Loan Fund which was discussed at the Committee's September 10 meeting. He said that it has become clear that the State Treasurer does not have statutory authority to make the loan which the Office of Economic Opportunity asked the Committee to approve. (Correspondence relating to the September 10 item and following up on Committee requests that date was sent to the members with the agenda for today's meeting.)

Shortly after the prior meeting the administration received confirmation that federal funding in the amount of \$300,000 for the Job Start loan program would become available, although not for several months. Mr. Wacek then detailed a series of steps to allow the loan fund program to continue in the meantime, including recent Emergency Board action pledging "full faith and credit" of the State as security for borrowing \$75,000 from a bank.

#### **GRANT, GIFT AND POSITION REQUESTS:**

4. Requests were presented as follows:

a. **Public Safety (JFO #1520):** Commissioner Walton sought approval for his department to accept a Federal Emergency Management Agency grant of \$134,170 to develop and install an automatic statewide Emergency Broadcast System dissemination network.

Discussion focused on questions from Representative Obuchowski concerning the fact that the State of Vermont's standard policies on bidding were not followed with respect to procurement of equipment and services required for implementation of this project. Among the points made in response was that the equipment is unique and must be fully compatible with the New York State-administered regional system, whose equipment is produced by just one firm.

The Committee adopted a motion from Senator Webster to approve the request.

**b. Social and Rehabilitation Services (JFO #1521):** Committee authorization was sought to accept \$83,333 in fiscal 1993 from the U. S. Department of Health and Human Services, Administration for Children and Families. The purpose of the grant is to enable the Department of Social and Rehabilitation Services to improve coordination among various state and local agencies that deliver early childhood and family support services.

Commissioner Young also asked for authorization to establish two limited service positions (Project Director and Administrative Assistant) to carry out the project. These positions would be offset by the reduction of two positions elsewhere in state government. Representatives Obuchowski and Valsangiacomo wanted the Committee to be informed which two positions are eliminated.

Senator Carlson moved approval of the request, including the positions. The motion carried.

**c. Agriculture (JFO #1532):** Bill Rice asked for permission for the Agriculture Department to accept a \$25,000 grant from the Geraldine R. Dodge Foundation and an additional \$500 expected from the Eastern Milk Producers Cooperative, for the purpose of developing animal welfare guidelines, educational programs, and animal welfare legislation. Mr. Rice distributed a letter supporting the proposal from the Vermont Federation of Dog Clubs, Inc.

After some discussion of the delay between grant notification and presentation of the request to the Committee and of the substance of the proposal, Representative Valsangiacomo moved that the Committee refrain from taking action and that the proposal be submitted to the General Assembly through the agriculture committees. Other members agreed, and the motion was adopted.

**d. Agency of Development and Community Affairs (JFO #1529):** Commissioner Moulton, accompanied by Cynthia Clancy of the Office of Policy Research, requested authorization for the Department of Economic Development to accept a U. S. Department of Agriculture grant in the amount of \$62,000 and authorize the establishment of one exempt limited service position. The position

would be Executive Director to carry out the purpose of the grant: the formation and activities of a State Rural Development Council.

Among the questions asked of Commissioner Moulton was Representative Obuchowski's as to whether the creation of the limited service position would be balanced by elimination of an existing position in state government. She replied in the affirmative.

Representative Potvin asked the Commissioner to let the Committee know what the composition of the committee is. [Such a list was distributed prior to adjournment of the meeting.]

Senator Carlson's motion to approve the request was adopted after discussion.

(Additional grant, gift, and position requests are shown below, after Item 5.)

The Committee recessed for lunch at 12:05 p.m. and reconvened at 1:40 p.m.

#### **JOINT FISCAL OFFICE PERSONNEL:**

5. At the request of the Legislative Fiscal Officer and on a motion by Senator Carlson, the members voted at 1:50 p.m. to go into executive session. They returned to open session at 2:00 p.m. and unanimously took the following actions:

a. **Additional staff:** On a motion by Representative Valsangiacomo, the Committee authorized, within the constraints of the budget, hiring a part-time temporary employee in a fiscal analysis capacity for the 1993 legislative session.

The temporary employee would be in addition to filling the vacancy in the permanent position as discussed at the September 10 meeting and during executive session this date.

[Note: Pursuant to those discussions the vacant position was offered to, and accepted by, Stephen A. Klein. Ms. Maxfield notified the Chairs of the four "money committees" that Mr. Klein had been hired at an annual salary of \$37,000, with the understanding that because of other commitments his employment will be on an 80-percent-time schedule until sometime in February 1993, after which he will be employed on a full-time basis. Mr. Klein's title in the Joint Fiscal Office will be Fiscal Analyst/Counsel.]

Just prior to adjournment, the Committee discussed a proposition to reopen the application process for the fiscal analyst position. They decided against it.

**b. Policy on staff salary parity:** Adopted a motion from Representative Obuchowski reading:

**RESOLVED THAT:** The policy of the Joint Fiscal Committee is pay equity between the staff of the Joint Fiscal Office and that of the Legislative Council; and

That the Joint Fiscal Officer is directed to develop a Joint Fiscal Committee/Office budget for fiscal year 1994 to implement this policy.

**GRANT, POSITION, AND GIFT REQUESTS (continued from Item 4 above)**

4. The Committee resumed its consideration of requests.

**e. Fish and Wildlife:** Commissioner VanZandt presented two items:

(1) **JFO #1533** - Request for approval to accept a \$18,900 gift from the Hinesburg Land Trust to purchase a 90-acre parcel of wetlands bordering a one-mile stretch of Lewis Creek in the Town of Hinesburg.

The Commissioner advised that the Emergency Board has approved the transfer out of the Fish & Wildlife Fund unallotted balance \$56,700 in federal funds to cover the remainder of the purchase price.

The Committee voted to approve the request.

(2) **JFO #1509** - The Commissioner recalled that at the September 10 meeting action was deferred on his department's request for approval to accept a \$20,000 grant from Ducks Unlimited to acquire a conservation easement for wetlands bordering Joe's Ponds in the Towns of Cabot, Danville and Walden. The basis for delaying action was uncertainty over the positions of these towns on the transaction.

Mr. VanZandt now distributed copies of letters from the Towns of Cabot and Danville and reported that a similar one is being drafted by the Town of Danville, all expressing support for the first phase of the Joe's Pond waterfowl habitat project. Phase I calls for this conservation easement, whereas the second phase of the project entails land acquisition. The Commissioner noted that there are concerns over that phase because land would be removed from town tax rolls.

On the basis of the Commissioner's testimony and the correspondence reflecting the towns' backing for Phase I, Representative Youngbaer moved approval of the request. The motion was adopted.

**f. Forests, Parks and Recreation (JFO #1536):** Peter Strobridge sought Committee approval for the Department of Forests, Parks and Recreation to accept a \$14,850 grant from the Vermont Community Foundation. The grant would fund the winterization and winter operation of Cheney House, located in Westmore on the shore of Lake Willoughby, enabling expanded use of the facility as a community resource.

The Committee adopted a motion by Representative Obuchowski to authorize acceptance of the grant.

**g. Aging and Disabilities (JFO #1530):** Commissioner Crist requested authorization for the department to accept from the U.S. Department of Health and Human Services a \$111,229 grant in FY 1993. The funds will enable the department to develop and operate programs on health insurance information, counseling and assistance for Medicare beneficiaries. The services will be provided by Vermont's five Area Agencies on Aging and the Vermont Center for Independent Living.

Senator Webster moved approval of the request. The motion carried.

**h. Vermont Criminal Justice Training Council:** Francis Aumand, Executive Director, asked the Committee to approve two requests:

(1) JFO #1519 - Acceptance of \$3,343.06 from the U. S. Department of Justice, representing the Council's share of forfeiture funds resulting from its assistance in a federal drug investigation. The funds will be used for the purchase of defensive tactics equipment in the use of non-lethal force training.

The Committee adopted a motion from Representative Obuchowski to approve the request.

(2) JFO #1528 - Authorization to accept a \$2,400 gift from the Long Distance North Corporation. This gift would be in the form of \$200 worth of toll-free 800 telephone service for each of twelve months. It would be established for the Drug Abuse Resistance Education (D.A.R.E.) program.

For reasons outlined in a memorandum to the Committee on this request, Staff Financial Analyst Douglas Williams recommended holding it in abeyance for consideration by the General Assembly

as part of the FY 1993 budget adjustment bill. Mr. Aumand did not object to this proposal.

Representative Obuchowski moved that the Committee follow Mr. Williams' recommendation. The motion was adopted.

**i. Agency of Transportation:** Bonnie Rutledge, Director of Motor Vehicle Operations in the Agency of Transportation, presented two items involving Federal Highway Administration grants:

(1) **JFO #1531:** A request to accept \$40,551 in FY 1993 to determine automation requirements for the integration of commercial vehicle registration and fuel tax collection information into the Motor Vehicle Department's new Vermont Motor Vehicle computer system (VMOVES).

On a motion by Representative Youngbaer, the Committee authorized acceptance of the grant.

(2) **JFO #1537:** In coordination with the prior item, a request to accept fiscal year 1993 funding of \$76,250 for upgrading compliance with state and federal motor fuel tax laws. These funds, to be passed through to the Tax Department, will enable Vermont to join with other New England states and the Internal Revenue Service in the formation of a multi-state tax force.

Mr. Fennessey of the Tax Department described and answered questions about the proposal, which will require a temporary employee and filling of two unfunded vacant positions.

The Committee adopted a motion by Representative Obuchowski authorizing acceptance of the grant.

**j. Education Department:** Representing the department, Mitzi Beach asked approval to accept two grants:

(1) **JFO #1522** - \$6,075 from the U. S. Department of Education to provide financial assistance for supplementary education services and costs to improve the education provided to immigrant elementary and secondary school students with limited English proficiency. The funds, provided under the Emergency Immigrant Education Act, will be subgranted to the Burlington School district, which is the only eligible district in the state.

Senator Kroger moved approval of the request. The motion was adopted.

(2) **JFO #1523** - \$29,812 from the U. S. Department of Education, Foreign Languages Assistance Act Program. The funds, which will be awarded to five school districts selected on the

basis of a competitive application process, will support the development of model programs in critical foreign languages.

Representative Obuchowski, explaining that he is interested in knowing how widespread the desire is to promote the study of critical foreign languages, asked for the geographic distribution of the twelve Vermont applicants. He was promised that information although it was not available at the meeting.

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

**k. Mental Health and Mental Retardation:** Commissioner Dalton presented two items for Committee action:

(1) **JFO #1535** - Request to accept in FY 1993 a grant of \$101,250 from the U. S. Department of Health and Human Services aimed at improving service delivery to severely emotionally disturbed youth in transition to adulthood, with special emphasis on youth suicide prevention. Mr. Dalton indicated that an important part of this effort will be teacher training.

In response to members' requests Mr. Dalton later in the meeting provided statistics on suicide attempts and actual suicides in Vermont.

The Committee adopted a motion by Senator Kroger to approve acceptance of the grant.

(2) **JFO #1534** - A \$156,684 grant acceptance request, to fund development of an automated, integrated accounting and management information systems capable of tracking information and costs on clients who receive services from a diversity of state and local providers with multiple funding sources. The client population consists of severely emotionally disturbed youth.

In response to a request from the Chair, Commissioner Dalton said he would let the Committee know how many personal service contracts will be involved in this undertaking.

Representative Obuchowski moved approval. The motion carried.

**l. Health:** A number of grant acceptance requests for were outlined by Deputy Commissioner Finley, accompanied by Allen Ploof, as follows:

(a) **JFO #1524** - \$125,344 from the U. S. Department of Health and Human Services during fiscal 1993 to develop a comprehensive breast and cervical cancer screening system. Two limited service positions (Public Health Epidemiologist and Epidemiologist Associate) are needed to carry out the project; they would be offset by other reductions within state government.

On a motion by Representative Obuchowski, the Committee authorized acceptance of the grant and establishment of the positions.

(b) JFO #1525 - A grant of \$135,441 in FY 1994 from the U. S. Department of Health and Human Services, Health Resources and Services Administration, for the establishment of a statewide trauma registry and planning for development of the state's trauma care system. For this project the department plans to continue two current limited service staff (as Project Coordinator and Secretary), for which Committee approval was requested.

After discussion the Committee, on a motion from Representative Valsangiacomo, voted favorably on the request.

(c) JFO #1526 - Two grants from the U. S. Department of Health and Human Services, Centers for Disease Control, for the purpose of establishing a single statewide blood lead surveillance system. The grants, in the amounts of \$31,736 and \$38,592, are for adult and child surveillance for elevated blood lead levels. Establishment of one limited service position (Public Health Nurse - Epidemiologist), which will be offset by a reduction elsewhere within state government, also was requested.

Senator Webster moved approval of the request. The motion carried.

(d) JFO #1527 - In FY 1993, a total of \$20,000 from three sources: \$10,000 from the U. S. Department of Health and Human Services, Health Resources and Services Administration matched by that amount by two private donations (from Gifford Medical Center and Northern Counties Health Care, Inc.). These monies will be used to encourage physicians to practice in rural, underserved areas by offering a loan repayment program.

The Committee adopted a motion from Senator Webster to authorize acceptance of the funds.

#### VACANT POSITION REPORT:

6. The report of the Personnel Commissioner on all permanent positions which on October 1, 1992 had been vacant at least 90 days was presented. That report is required by Section 270(e) of 1992 Act 245 (FY 1993 appropriations act), which also mandates that:

*. . .the joint fiscal committee shall review the need and purpose of any vacant positions and abolish all positions not required. The joint fiscal committee may reestablish a position abolished under this section if there is a valid*



and necessary requirement consistent with programs approved in this act.

The Secretary of Administration's transmittal letter summarized as follows the 146 positions under review:

Filled or under active recruitment. . . .	.83
Executed or scheduled transfers to new positions . . . . .	.19
Available positions . . . . .	.2
Retain for other reasons. . . . .	<u>.42</u>
<b>TOTAL</b>	<b><u>146</u></b>

The Legislature authorized 116 new positions in fiscal 1993 to be filled by transfers, and the administration is in the process of identifying positions for transfer. Ninety-four (94) have been executed or identified, and the administration would like flexibility to identify the remaining 22. The recommendation to the Committee, therefore, is to take no action on the executive branch positions.

Additionally, there were recommendations to abolish one typist position available in the Legislative Council and one Judiciary branch position, and to reestablish these two positions as among the new ones created by Act 245.

The Legislative Fiscal Officer distributed a memorandum to the Committee on this subject, in which she recommended that the Agency of Administration continue on its current path to find positions across state government that can be transferred to fill those positions authorized by the Legislature.

Representative Obuchowski proposed abolishing 12 positions, a figure he calculated by subtracting 22 positions from the 42 positions identified as necessary to fill; those 22 being the ones the administration would like to identify for transfer; and further subtracting the eight limited service positions included in the grants on the agenda for this meeting; leaving the 12. He argued that since those positions have not been specifically identified, they offer an opportunity to make a modest reduction in the size of state government at a time of serious fiscal constraints.

This proposal was the focus of considerable discussion. Countering Mr. Obuchowski's position, Mr. Sorrell stressed the effort which the administration and agencies and departments have put into implementing the legislative mandate to transfer positions to fill the recently-authorized ones.

Responding to questions from Representative Obuchowski, Peter Profera gave out information on plans for positions currently authorized for the Brandon Training School as that institution continues to be down-sized.

Representative Youngbaer moved that the Committee accept the recommendations of the administration with respect to the Legislative Council and Judiciary positions. He observed that no action on the first recommendation will have the effect of leaving it to the administration to continue to find positions for transfer to fill those authorized by the 1992 Legislature. That also is the recommendation of the Legislative Fiscal Officer.

Mr. Youngbaer's motion was adopted, whereupon Representative Obuchowski moved to freeze 12 positions, which the administration would be expected to identify, until legislative consideration of a FY 1993 budget adjustment bill. In effect, that would mean no more than 30 positions, instead of 42, would be in the category which the administration wished to retain. After brief additional discussion the motion was put to a vote and defeated.

#### VERMONT FIRE SERVICE TRAINING COUNCIL SPENDING PLAN:

7. Wayne Babcock, Executive Director of the Fire Service Training Council, and Ted Nelson of the Department of Public Safety were at the meeting in connection with a revised spending plan for the Council. This plan was submitted in accordance with Sec. 98 of Act 245 of the 1992 session, which required the Council to:

*. . .prepare a spending plan for fiscal year 1993 which supports the following goals: the provision of a number of courses and regional schools not less than that provided in fiscal year 1992 and the elimination of not less than 25 percent of the deficit remaining in the Fire Service Training Council special fund at the end of fiscal year 1992. . . .*

The report was accompanied by a brief analysis from Fiscal Analyst Maria Belliveau, in which she affirmed that the spending plan as submitted complied with the requirement to eliminate at least 25 percent of the estimated FY 1992 deficit. She also gave a synopsis of how the Council intends to implement the other goal of the Act 245 mandate, pertaining to the number of instructional offerings.

Representative Obuchowski was appreciative of Mr. Babcock's and Mr. Nelson's hard work and said the plan conforms to legislative intent. He then moved to accept it as presented. The motion was adopted.

**LAKE CHAMPLAIN MANAGEMENT CONFERENCE:**

8. A written report providing an update on the Lake Champlain Management Conference and its related activities was sent to the members prior to the meeting. Steve Sease and Lisa Borre were at the meeting to answer any questions about the report, a followup to one presented to the Committee at its November 1991 meeting.

The meeting was adjourned at 5:30 p.m.

Attest:

*Virginia F. Catone*  
Virginia F. Catone

JFC 11/10/92 Minutes Distrib. to:

12/18:  
Rep. Christiansen [request]  
Wacek  
Trautz  
Sorrell  
Carpenter  
Mark Davis  
Carney  
Masterson  
Fennessey  
DeGraw

+ JFO staff



Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

Tel.: (802) 828-2295

M E M O R A N D U M

**To:** Members, Joint Fiscal Committee  
**From:** Margaret S. Maxfield  
Legislative Fiscal Officer *Margaret*  
**Date:** November 10, 1992  
**Subj:** Vacant Position Report

The report identifies a total of 146 positions that were vacant for 90 days or more as of 10-1-92. Of this 146 positions, 83 have been filled since then or are under recruitment. There are 42 positions that the departments have identified as necessary to be filled. 19 positions have already been transferred and converted to positions authorized in the appropriations act and 2 positions are available for transfer.

The Legislature has authorized 116 positions, including the 20 long term temporary conversions. This does not include the 8 limited service positions included in the grants on today's agenda. The Agency of Human Services will transfer 60 positions from Brandon, as it is down-sized, to offset the 30 positions authorized for that agency and 30 other positions around state government.

**RECOMMENDATION:**

At this time, I would recommend that the Agency of Administration continue on it's current path to find positions across state government that can be transferred to fill those positions authorized by the Legislature.

Joint Fiscal Committee Members  
Vacant Position Report  
November 10, 1992  
Page 2

I would also recommend that the typist position be transferred from the Legislative Council to the executive branch so that it can be used to fill one of the newly authorized positions.

And, thirdly, I would recommend that the Judiciary position be abolished and then reestablished as one of the new positions authorized in the appropriations act.



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

Tel.: (802) 828-2295

Mailing Address:  
133 State Street  
Montpelier, Vermont 05633-5701

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

**To:** Members, Joint Fiscal Committee

**From:** Margaret S. Maxfield  
Legislative Fiscal Officer

*Margaret*

**Date:** November 2, 1992

**Subj:** Vacant Position Report

Section 270 (e) of Act 245 of the 1992 session (attached) required a report on vacant positions from the Commissioner of Personnel to the Joint Fiscal Committee. That report was received in this office as required, but the staff has not had sufficient time to do a complete analysis.

Staff will be doing an analysis of this report during the next week to be available at the meeting so that this item will not have to be deferred.

ACT 245 - 1992 Public Acts

Sec. 270. NEW POSITIONS AND VACANT POSITIONS

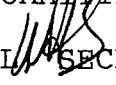
(e) The commissioner of personnel shall review the status of all positions which are vacant and have been vacant for a period of 90 days or more on October 1, 1992 and shall submit a report on such vacancies including and identifying any positions under recruitment, on or before October 31, 1992 to the joint fiscal committee. The joint fiscal committee shall review the need and purpose of any vacant positions and abolish all positions not required. The joint fiscal committee may reestablish a position abolished under this section if there is a valid and necessary requirement consistent with programs approved in this act.

AGENCY OF ADMINISTRATION

OFFICE OF THE SECRETARY

MEMORANDUM

To: THE HONORABLE SENATOR MARY JUST SKINNER, CHAIRPERSON  
JOINT FISCAL COMMITTEE

From: WILLIAM SORRELL  SECRETARY OF ADMINISTRATION

Date: OCTOBER 31, 1992

Subject: ANNUAL VACANCY REVIEW

I am attaching a copy of the report of the Commissioner of Personnel as to the status of all permanent positions which on 10-1-92 were vacant for 90 days or more. This is pursuant to the provisions of Section 270 (e) of the FY93 Appropriations Act #245.

Over the past three years, the Administration has worked with the Legislature to effect position reductions throughout the State and to maintain operations within reduced staffing levels.

In FY93 the Legislature authorized 116 new positions to be filled by transfers. To date, 94 transfers have either been executed or specifically identified. We are also undertaking a current review of programs in conjunction with the FY94 budgetary process. Therefore, we are requesting that the Joint Fiscal Committee continue to provide us with maximum flexibility to identify the remaining 22 positions.

In summary I am recommending the following action:

- 1). No action be taken on the executive branch positions for the reasons outlined above.
- 2). The Legislative Council has identified one typist position available for reduction. With the Joint Fiscal Committee's concurrence, I would recommend that it be abolished and reestablished as one of the new positions created in the Appropriations Act.
- 3). The Judiciary has agreed to absorb one position cut to take the place of the new position authorized in the Appropriation's Act. They have not had any reductions in the past two years and four positions have been held vacant for vacancy savings. With the Committee's concurrence, I recommend that one position be abolished and reestablished as one of the new positions created in the Appropriations Act.



October 31, 1992

The Commissioner's report includes four Attachments as follows:

Attachment I outlines the total net position reductions since July 1990, and includes a summary of the maximum positions allowed under the Appropriations Act.

Attachment II lists the FY93 new position requirements identified in Legislation or subsequent Joint Fiscal Action.

Attachment III (a & b) is a summary table indicating the number of positions in each department under review. The total is 146 as follows:

Filled or under Active Recruitment .....	<u>83</u>
Executed or scheduled transfers to new positions.....	<u>19</u>
Available positions.....	<u>2</u>
Retain for other reasons.....	<u>42</u>
	<u>146</u>

Recap of Positions: Details each position subject to review by department.

If any committee members have any questions about the details of this report in advance of the November 12, 1992 scheduled meeting, please have them contact the Commissioner of Personnel directly.

VACANCY REVIEW REPORT

prepared in conformance with  
Section 270 (e) of the  
FY-93 Appropriations Act

Vermont Department of Personnel

10-30-92

ATTACHMENT I

POSITION COUNT SINCE JUNE 30, 1990

<u>DATE</u>	<u>EXECUTIVE</u> (# Vacant) % Vacancy Rate	<u>LEGISLATIVE</u>	<u>JUDICIAL</u>	<u>TOTAL</u>
6-30-90	7754 (590) 7.6% Vac. Rate	40	262	8056
6-30-91	7283 (271) 3.7% Vac. Rate	40	288	7611
6-30-92	7244 (272) 3.8% Vac. Rate	40	288	7572
(CURRENT) 9-30-92	7244 (282) 3.9% Vac. Rate	40	288	7572
FY93 POSITION MAXIMUM				7174
				<u>425</u> (DET)*
				<u>7599**</u>

\*: DET under Managing to Payroll has flexibility to create and abolish positions within a separate limit of 425.

\*\* : Total excludes any additional Limited Services Positions authorized by the Joint Fiscal Committee.

ATTACHMENT II

NEW POSITIONS AUTHORIZED BY LEGISLATION FOR FY-1993

Department	Source	#	To date
AOT	FY92 Budget Adjustment	8	
	FY93 Transportation Bill	4	
	FY93 Appropriations Act	25	14
Bank & Ins.	FY93 Appropriations Act	2	
Buildings	FY93 Appropriations Act	3	1
Sec. State	FY93 Appropriations Act	4	1
Pub. Svc. Dept	FY93 Appropriations Act	4	2
Pub. Svc. Board	FY93 Appropriations Act	1	1
Judiciary	FY93 Appropriations Act	1	
DEC	FY93 Appropriations Act	7	
RWJ Grant	JFC Authorized	2	
Health Care Auth.	FY 93 ACT 160	5	1
FY93 Temp conversions		20	1
AHS New Positions	FY93 Appropriations Act	30	
Transfers in scheduled or in progress		<u>      </u>	<u>13</u>
TOTAL		<u>116</u>	<u>34</u>

Positions scheduled and identified as future commitments.

AHS Transfers	30	
AHS New positions	30	
		<u>60</u>
Total Additional requirement		<u>22</u>

## ATTACHMENT III (a)

<u>Department</u>	<u>TOTAL</u>	<u>F/R</u>	<u>Tr</u>	<u>Ab</u>	<u>Q</u>
<u>ADMINISTRATION</u>					
Buildings	2		1		1
Finance	2	1			1
General Services	1				1
Personnel	2	1	1		
Tax	9	2	4		3
GIS	1		1		
<u>HUMAN SERVICES</u>					
Aging	3	2			1
Brandon	15	7	5		3
Child Support	1	1			
Corrections	11	6			5
Health	6	6			
Welfare	5	5			
SRS	10	10			
VSH	1				1
Rate Setting	1	1			
Mental Health-CO	1	1			
<u>NATURAL RESOURCES</u>					
ANR-CO	4	2			2
DEC	4	4			
Fish & Wildlife	1	1			
Forest & Parks	2	1			1
<u>AGENCY OF TRANSPORTATION</u>					
	7	7			
<u>DEVELOPMENT AGENCY</u>					
	1	1			
<u>OTHER DEPARTMENTS</u>					
Agriculture	3	3			
Attorney General	2	2			
Banking & Insurance	1	1			
Criminal Justice Council	1				1
Education	8	3			5
Labor & Industry	3	1	2		
Liquor	1				1
Military	3		2		1
Public Safety-Civ	1				1
State Police	6				6
Public Service Dept.	1	1			
Treasurer	1	1			
Veterans Home	1				1
Governor's Office	3		2		1
Lt. Governor	2	2			
Vt. Bi-Centennial Commis	1		1		
State's Atty/Sheriff	2	2			
<u>TOTAL EXECUTIVE BRANCH*</u>	<u>130</u>	<u>75</u>	<u>19</u>		<u>36</u>
JUDICIARY	9	3		1	5
LEGISLATIVE	2			1	1
DET*	5	5			
<u>TOTAL</u>	<u>146</u>	<u>83</u>	<u>19</u>	<u>2</u>	<u>42</u>

ATTACHMENT III (b)

Table column heading have the following meanings:

Department	-Agency, department, or division involved.
Total	- Total of vacant positions involved in the review for the particular government unit listed which on 10-1-92 was vacant for 90 days or more.
F/R	-Position(s) have been filled since 10-1-92 with an offer of employment accepted or with the start of employment, Or the position is reported by Departments as under active recruitment with an intent to fill in the near future once recruitment and selection is completed.
Tr	-Indicates the transfer of this vacancy has been been executed, is in process, or is has specifically been identified and is scheduled to be transferred within the near future.
Ab	-The position has been identified by the department as available for abolishment and reestablishment as a transfer for creating new positions authorized by Legislation.
0	-Indicates the Department wants to retain the position for other program reasons as outlined in the text of the report.



TAX DEPARTMENT

TX-7003 Assistant Attorney General (PG-61)  
TX-0121 Clerk B (PG-2)  
-Under active recruitment.

TX-0023 Property Valuation Dist. Advisor (PG-21)  
TX-0149 Property Valuation Dist. Advisor (PG-21)  
TX-0135 Secretary B (PG-11)  
TX-0099 Tax Field Examiner B (PG-19)  
-Scheduled for transfer to create new positions in Act 245.

TX-0100 Tax Compliance Officer A (PG-15)  
TX-0127 Tax Field Examiner B (PG-19)  
-Held vacant pending review of funding sources.

TX-0162 PV District Advisor Supervisor (PG-23)  
-Held vacant pending a classification review of changed duties within the department.

ADMINISTRATION

GI-7001 GIS Director (PG-97)  
-Has been transferred to the Agency of Transportation for a new positions in the Appropriations Act.

**AGENCY OF HUMAN SERVICES**

AGING & DISABILITIES

RA-0008 Aging Program Specialist (PG-19)  
RA-0092 Independent Living Services Coordinator (PG-21)  
-Under active recruitment.

RA-0014 Public guardian Unit Supervisor (PG-22)  
-This position is being held for vacancy savings during the last budget rescission and is scheduled for recruitment in Jan.'93.



BRANDON TRAINING SCHOOL

- MH-0336 Brandon Day Programs Coordinator (PG-19)  
-FY93 Temp conversion under classification review and scheduled for transfer to the Department of Aging & Disabilities for the TBI program.
- MH-1115 Brandon General Duty Nurse (PG-18)  
-Under active recruitment as a Veteran's counselor in Aging & Disabilities.
- MH-0671 Brandon Day Programs Coordinator (PG-19)  
-Under active recruitment as a Research & Statistics Specialist in Social Welfare.
- MH-0928 Brandon Habilitation Programs Dir. (PG-25)  
-This position is under Classification review and is scheduled to be transferred to the Health Department for the Veterinary program.
- MH-0876 Brandon LPN Charge Nurse (PG-17)  
-Under active recruitment as a microbiologist in the Health Department.
- MH-0625 Therapy Chief - Occupational (PG-23)  
-This position is slated for transfer to the Health Department and is under classification review prior to recruitment.
- MH-0878 MR Primary Care Nurse (PG-20)  
-Under Active recruitment as an accountant in SRS.
- MH-1285 Mental Retardation Program Specialist-B (PG-15)  
MH-1284 Mental Retardation Program Specialist-C (PG-17)  
MH-1153 Mental Retardation Program Specialist-B (PG-15)  
MH-0819 Mental Retardation Program Specialist-B (PG-15)  
-Scheduled for FY93 Temp Conversions in Corrections.

- MH-0823 Mental Retardation Program Specialist-B (PG-15)  
MH-0822 Mental Retardation Program Specialist-B (PG-15)  
-Under active recruitment as social worker positions in SRS.
- MH-0345 Quality Assurance Specialist (PG-17)  
-Filled in Social Welfare as an Eligibility Specialist.
- MH-0704 Therapist A: Recreation (PG-19)  
-Scheduled for transfer to Child Support Services, and currently under classification review prior to recruitment.

CHILD SUPPORT SERVICES

- CS-0046 Child Support Specialist (PG-18)  
-Filled on 10-12-92.

CORRECTIONS

- IN-0394 Account Clerk A (PG-11)  
-Pending internal review of duties. A request for classification review is being prepared by the department.
- IN-0634 Correctional Foreman B - Wood (PG-17)  
-Classification request is pending converting this to a caseworker position at the Windsor Facility.
- IN-0065 Correctional Officer I (PG-15)  
-Under Active recruitment.
- IN-0176 Correctional Security & Operations Supervisor (PG-22)  
IN-0636 Correctional Officer I (PG-15)  
IN-0128 Correctional Officer III (PG-18)  
IN-0201 Correctional Officer III (PG-18)  
-Filled in October.
- IN-0207 Correctional Officer III (PG-18)  
IN-0208 Correctional Officer III (PG-18)  
-New positions created for the Field Service Unit expansion in FY-93 and have been held vacant pending funding levels requiring a deferral on the start-up of the expansion.

- IN-0324 Correctional Services Manager (PG-24)  
-This position was being held pending the hiring of the Security & Supervision Manager. The person hired was reclassified and this position is being transferred to replace it in the field.
- IN-0392 Graphics Technician (PG-15)  
-FY92 Temp conversion under active recruitment.

HEALTH DEPARTMENT

- HE-0326 Assistant State Epidemiologist (PG-27)  
HE-0395 Emergency Medical Specialist (PG-20)  
-Positions were filled 10-12-92.
- HE-0347 Data Processing Systems Analyst (PG-22)  
-Position is technically filled. The incumbent is on a leave of absence to a higher level position during recruitment.
- HE-0343 Public Health Nutrition Specialist (PG-21)  
HE-0306 Public Health Nurse (PG-20)  
HE-0371 Public Health Nursing Supervisor (PG-22)  
-Under active recruitment.

SOCIAL WELFARE

- SW-0306 District Office Chief Clerk (PG-15)  
SW-0269 District Office Clerk I (PG-11)  
SW-0344 Income Maintenance Quality Assurance Specialist (PG-19)  
SW-0261 Social Welfare Casework Supervisor (PG-21)  
SW-0255 Welfare Social Worker (PG-20)  
-Under active recruitment.

SRS

RH-0246 District Office Clerk II (PG-12)  
-Technically filled. The incumbent is on a leave of absence while filling in for another person on a medical leave.

RH-0448 Social Worker B (PG-21)  
RH-0165 Social Worker Trainee (PG-17)  
-Filled in October.

RH-0402 SRS Licensing Specialist-Child (PG-19)  
-This position was under recruitment and has been withdrawn for a classification specification review.

RH-0013 Secretary C (PG-13)  
-Filled with an offer of employment.

RH-0026 SRS Refugee Employment Counselor (PG-19)  
-This position is technically filled. The incumbent is on leave in an acting Director's capacity.

RH-0242 Social Services Resources Coord. 19  
RH-0462 Accountant B 19  
RH-0138 Disability Claims Examiner A 17  
RH-0182 Social Services Supervisor (PG-23)  
-Under active recruitment.

VERMONT STATE HOSPITAL

MH-0783 VSH Community Placement Specialist (PG-21)  
-This position is being held by AHS for eventual transfer elsewhere in the Agency

RATE SETTING

RS-7001 Director of Rate Setting (PG-97)  
-Filled with an offer of employment.

MENTAL HEALTH

MH-7005 Assistant Attorney General (PG-61)  
-Under active recruitment.

**AGENCY OF NATURAL RESOURCES**

NATURAL RESOURCES

- NR-0034 Information & Educ. Specialist (PG-18)  
NR-0031 Vermont Geological Survey Tech. (PG-22)  
-Under active recruitment.
- NR-0010 Natural Resources Operations Director (PG-30)  
-This position under classification review and scheduled to be returned to DEC and used as an attorney in enforcement.
- NR-7007 Deputy Secretary (PG-97)  
-This position is being held vacant for the new Agency Secretary to decide on how, and/or when to fill the deputy's slot.

ENVIRONMENTAL CONSERVATION

- WA-0258 Agency Automated Systems Specialist B (PG-21)  
-Transferred and filled as a Secretary in Fish & Wildlife.
- WA-0007 Environmental Enforcement Officer (PG-20)  
WA-0016 Solid Waste Mgt. Planning Specialist (PG-20)  
-Under active recruitment.
- WA-0112 Hydrogeologist (PG-20)  
-Filled with an offer of employment.

FISH & WILDLIFE

- FG-0017 Fish Culturist (PG-14)  
-Under active recruitment.

FOREST PARKS & RECREATION

- FO-0076 District Office Chief Clerk (PG-15)  
-Filled on 10-5-92.
- FO-0004 Director, Forests (PG-29)  
-This position is being held pending the possible return by the current Commissioner who is the former incumbent.

**AGENCY OF TRANSPORTATION**

MV-0072 Data Entry Operator C (PG-13)  
MV-0080 Administrative Assistant A (PG-17)  
MV-0023 Microphotographer A (PG-8)  
TA-0517 Transportation Area Maintenance Supervisor (PG-18)  
TA-0036 Transportation Program Specialist (PG-19)  
-Under active recruitment.

TA-0199 Civil Engineer Executive A (PG-26)  
MV-0152 Data Entry Operator A (PG-12)  
-Both have been filled.

**AGENCY OF DEVELOPMENT & COMMUNITY AFFAIRS**

DV-0010 Industrial Expansion Coordinator (PG-22)  
-Filled in October.

**OTHER DEPARTMENTS**

**AGRICULTURE**

AG-0022 Agriculture Inspector-Bulk Tank (PG-19)  
-Under active recruitment as a  
Consumer Assurance Inspector.

AG-0020 Animal Health Inspector (PG-17)  
-Under active recruitment.

AG-0086 Pesticide Certification & Investigator (PG-19)  
-Filled on 10-19-92.

ATTORNEY GENERAL

AT-0049 Civil Rights Investigator (PG-20)  
AT-0003 State Criminal Investigator (PG-22)  
-Under active recruitment.

**BANKING & INSURANCE**

BK-0034 Principal Insurance Examiner (PG-24)  
-Under active recruitment.

CRIMINAL JUSTICE TRAINING COUNCIL

TC-0009 Cook A (PG-9)  
-Held vacant due to current  
scheduling of part-time employees.

EDUCATION DEPARTMENT

- ED-0031 Secretary C (PG-13)
- ED-0014 Vocational Ed Planning & Evaluation (PG-23)  
-Filled in October.
  
- ED-0076 Education Assessment Coordinator (PG-23)  
-Under active recruitment.
  
- ED-0170 Secretary B (PG-11)
- ED-0068 Special Ed Consultant- Staff (PG-21)
- ED-0218 Vocational Ed. Program Specialist (PG-21)
- ED-0128 Vocational Ed. Program Specialist (PG-21)
- ED-0070 Special Ed Coordinator (PG-24)

-These positions have been identified by the department as priority positions for recruitment. The department is the process of restructuring its management and method of operations resulting in delayed decisions over which positions would be recruited for and filled. The plan is to commence recruitment for these soon.

LABOR & INDUSTRY

- IR-0055 Fire Prevention Safety Officer (PG-18)
- IR-0006 Occupational Safety Consultant (PG-18)  
-Transferred to AOT to create new position in Act 245.
  
- IR-0081 Workers' Compensation Director (PG-26)  
-Filled with an offer of employment.

LIQUOR CONTROL

- LQ-0015 Liquor Store District Supervisor (PG-20)  
-This position is being held vacant pending a management review of the department's decision to regionalize supervision with three instead of four supervisors.

MILITARY DEPARTMENT

- ML-0050 Armory Caretaker (PG-9)  
ML-0052 Building Custodian A (PG-8)  
-Planned for transfer to create new positions authorized in Legislation.
- ML-0060 Maintenance Mechanic A (PG-19)  
-This position has been held vacant pending final review of available federal funding which is expected within the next 2 months. If funds are available it will be filled, and if not, it will be available for transfer and abolishment.

PUBLIC SAFETY

- PS-0084 Clerk Dispatcher (PG-16)  
-This position is being held vacant pending the return of a dispatcher on medical leave.

STATE POLICE

- SP-0010 Captain (PG-25)  
SP-0160 Senior Trooper (PG-19)  
SP-0168 Senior Trooper (PG-19)  
SP-0189 Senior Trooper (PG-19)  
SP-0211 Sergeant (PG-22)  
SP-0129 Trooper 1st Class (PG-18)  
-These positions are held for vacancy savings or possible transfer to new positions.

PUBLIC SERVICE DEPARTMENT

- PU-0004 Utilities Engineer Chief 26  
-Filled In October.

TREASURERS OFFICE

- TR-0014 Account Clerk B (PG-13)  
-This position is being held while the incumbent is on an interim promotion within the office pending the hiring of the Director of the Retirement System which is under recruitment.



VERMONT VETERANS HOME

SO-0068 Utility Worker (PG-8)

-This position is currently under reclassification review and is expected to replace temporary clerical employees.

EXECUTIVE OFFICE OF THE GOVERNOR

PL-7002 Assistant Director of St. Planning (PG-97)

EX-7016 Assistant to the Governor (PG-97)

PL-7006 Policy Analyst (PG-97)

-Two positions are being held for the Robert Wood Johnson Foundation grant approved by JFC in September. The other position is being held for the start of the Legislative session.

OFFICE OF LIEUTENANT GOVERNOR

LT-7001 Lt. Governor (PG-97)

LT-7003 Administrative Assistant (PG-97)

-Under active recruitment (General Election)

VERMONT BI-CENTENNIAL COMMISSION

BI-7001 Vi-Centennial Director (PG-97)

-Transferred vacancy in October to create new position authorized in 1992 Act 160.

STATE'S ATTORNEY & SHERIFFS

SA-7019 Deputy- Caledonia Co. (PG-97)

SA-7095 Criminal Investigator (PG-20)

-Filled, one with an accepted offer of employment as a deputy state's attorney in Chittenden County.

JUDICIARY

JT-7033 Court Reporter V (PG-22)  
JU-7024 Clerk B (PG-22)

-These positions are under active recruitment.

JD-7020 District Judge (PG 97)

-Filled in October.

JA-7011 Account Clerk B (PG-13)  
JA-7002 Assistant Director of Administrative (PG-22)  
JT-7015 Court Reporter V (PG 22)  
JD-7080 Docket Clerk A (PG-14)

-These positions are being held vacant due to lack of funding.

JP-7044 Probate Clerk B (PG-12)  
JP-7050 Probate Clerk B (PG -12)

-Currently filled by temporary employees.

LEGISLATURE

LC-7002 Typist B (PG-97)

-This position has been identified by the Legislative Council as available. It has been vacant for 18 months and is not expected to be filled.

LC-7013 Stenographer (PG-97)

-This position is vacant due to budgetary shortfalls. The Council has requested that it be retained at least through the Legislative session in case they need to fill it.

EMPLOYMENT & TRAINING

UC-0423 Administrative Assistant A (PG-17)  
UC-0105 Secretary B (PG-11)

-Filled in October.

UC-0313 Administrative Assistant A (PG-17)  
UC 0417 Building Custodian A (PG-8)  
UC-0387 E&T Employer PG-18)

-Under active recruitment.



OFFICE OF THE SECRETARY  
103 South Main Street  
Waterbury, Vermont 05671-0204

December 31, 1992

Telephone: (802) 241-2220  
Fax: (802) 241-2979

Senator Mary Just Skinner, Chair  
Joint Fiscal Committee

RE: Utilization/Brandon Positions

Dear Senator Skinner:

During my testimony at the Joint Fiscal Committee meeting on November 12, 1992. I was asked by Representative Obuchowski to provide information concerning our planned use of Brandon positions during the next few years. I apologize for not getting back to you or Representative Obuchowski earlier but I thought it would be best to respond to that request when the FY'93 budget adjustment and FY'94 Agency budget was finalized by Secretary Hogan and Governor Dean. As you recall, during the Committee meeting there was considerable discussion as to what the actual base number of positions would be against which we would plan allocations. For purposes of this memo, as of 12/27/92 our records indicate that we have available for reassignment 262 positions at Brandon. The following is a preliminary listing of our Administration's planned use of those positions during FY'93 and '94.

Number of Positions to be Reassigned

On 12/28/92 I recommended to Secretary Hogan the following transfers:

- 2 Two positions were transferred to the AHS Secretary's Office to staff a five year Head Start grant that was recently approved by the Joint Fiscal Committee.
- 5 Five positions to the Secretary of Administration for use elsewhere in government as was legislatively authorized last year. (This is part of 35 positions that are planned to be transferred to the Secretary of Administration)
- 1 To the Health Department, to replace a long-standing contractual employee associated with the Radon Program.

- 2 Transferred to SRS to replace one long term contractual permanency planning attorney that was authorized by the legislature last year and another position to replace a contract employee as the permanency planning consultant.
- 2 Transferred to the Department of Aging and Disabilities to replace two contractual veterans counsellors.
- 1 Transferred to the Department of Social Welfare to replace a long term temporary employee as district office clerk.
- 23 Transferred to Corrections to replace eleven long term temporary employees and twelve field service unit positions authorized in FY'92, but assigned to facility work to handle over-crowding and security issues. This was necessary when we reduced as part of a position reduction exercise twenty-three positions that had to be added back to Corrections when security problems developed in the correctional units.
- 3 Transferred to Corrections to replace long term temporary employees working as vocational counsellors.
- 39 Transferred to Corrections to open the St. Johnsbury workcamp (19 in FY93).
- 2 To Corrections to replace long term contractual employees. (Director of women's education program and one vocational instructor at Woodstock)
- 12 To Corrections to replace long term temporary correctional employees and one temporary para-legal.
- 20 Transferred to Corrections to expand the field service unit program during FY'94. Costs associated with this expansion are included in the FY'94 budget submission and Corrections will reassign nine existing positions to this program for a total of 29.
- 4 To Corrections as part of the FY'94 budget request to expand the human resources development unit (2) and the statistical analytic capability of the Department (2).
- 11 To the Office of Child Support to handle existing caseloads with this initiative being included in the FY'93 budget adjustment.
- 20 Transferred to the Office of Child Support to expand collection activity included in the FY'94 budget submission.

- 102 Transferred to Corrections to open the Newport Correctional Facility during late FY'94.
- 20 To be transferred to the Secretary of Administration during FY'93 to be used elsewhere in State government.
- 1 Transfer to the Department of Social Welfare to expand its management information system support associated with the welfare reform initiative and included as part of the FY'94 budget request.
- 2 Transferred to SRS to be reclassified as social workers, authorized in FY'93 by the legislature.
- 3 Transferred to the health Department to support two grants approved at the November 12, 1992 meeting. (3 Limited Service positions).
- Total: 275

As I mentioned earlier in this memo, the majority of these transfers will be reflected in the FY'93 and '94 budget submissions. As you can see, at this point we are potentially 13 positions in the hole. At this point we are examining options of trying to find these positions within the total authorized in government or to request additional positions as part of the FY94 budget submission. We will attempt to manage this shortfall within the total authorized positions established in government.

If you have any additional questions concerning our planned reallocation of positions, please give me a call.

Sincerely,



Peter A. Profera  
Director of Administrative Services

PAP/mds

cc: Rep. Michael Obuchowski  
Cornelius D. Hogan  
Bill Sorrell  
Deri Meier  
Pat DeGraw  
Charly Dickerson  
Doug Williams  
Margaret Maxfield

# AHS Positions

## With and without Corrections

### As of June 30th - 1971-1992 & Projected 93 & 94

