
FINANCE

BRADLEY KUKENBERGER, CHIEF FINANCIAL OFFICER

(802) 793-8462

Budget and Business Support Services and Financial Operations Sections

- Budget and Business Support Services Section (13 FTE)
- Financial Operations Section (28 FTE)

Budget and Business Support Services Section

- **13 FTE including Business Support Services (7 FTE) and Federal Programs Units (4 FTE) Budget Support (1 FTE)**
 - Prepares and manages the agency's budget and provides business support functions.
 - Administers and manages state and federal transportation funds.
 - Programs projects across all modes of transportation – obligated \$283M of FHWA funds in FY2022
 - Provides financial analysis of revenues and costs.
 - Prepares and manages the Statewide Transportation Improvement Program (STIP)

Financial Operations Section

Responsible for all financial transactions and Statewide financial reporting

- **Accounting (9 FTE)**
 - Completes Annual Comprehensive Financial Reporting (ACFR), Transportation Fund accounting, Federal Highway Administration (FHWA) Statistical Reports, and Vermont State Single Audit.
 - Reviews, Coordinates, and Reconciles all financial systems and transactions.
 - Interprets Generally Accepted Accounting Practices (GAAP) and Governmental Accounting Standards Board (GASB) provisions as they apply to the Agency.
- **Accounts Payable (12 FTE)**
 - Ensures prompt payment of contractors and vendors, processing 43,916 payments in FY2022.
 - Processes bi-weekly contractor payroll payments for the Agency.
 - Coordinates Agency Payroll and Expense Reimbursement transactions.
- **Accounts Receivable (5 FTE)**
 - Prepares federal billings, third-party billings, and guardrail damage claim billings - \$283M billed in FY2022.
 - Processes all non-DMV revenues for the Agency.

AUDIT

ERIK OBERLIN, ACTING AUDIT CHIEF

(802) 793-4289

AOT Audit Section: Who We Are

INTERNAL AUDIT & GRANTS COMPLIANCE

- Three Audit Specialist III
- One Audit Specialist II

RECORDS MANAGEMENT

- One Records and Information Systems Manager
- One Records Analyst III
- One Records Analyst I

AOT Audit Section: What We Do

INTERNAL AUDIT & GRANTS COMPLIANCE

- External Auditor and Regulators Liaison
- Subrecipient Monitoring
- Consultant Financial Reviews
- Internal Controls and Compliance Reviews
- Performance Audits

RECORDS MANAGEMENT

- Records Management
- Public Records Requests
- Scanning Operations
- Reprographics
- Documentation System Support

External Audit Liaison

Monthly meeting with FHWA auditors

5 FHWA Improper Payment Reviews
completed CY2022

Supported FY21 CLA Single Audit for:

- Highway Planning & Construction

Liaison with external auditors

- State Auditor
- Clifton Larson Allen (CLA)
 - Comprehensive Annual Financial Report
 - Single Audit
- Finance and Management
 - Self-Assessment of Internal Control

Liaison with Federal regulators

- Federal Highway Administration (FHWA)
- Federal Transit Administration (FTA)
- Federal Railroad Administration (FRA)
- Federal Aviation Administration (FAA)
- Federal Emergency Management Agency (FEMA)
- Office of the Inspector General of the Department of Transportation (DOT-OIG)

Compliance and Internal Controls

Purchase Card transactions reviewed throughout the year to ensure compliance with policies and procedures.

Internal Controls and Compliance Reviews

- Invoice Reviews
- Purchasing Card Reviews
- Contract Reviews
- Personal Use of State-Owned Vehicles Reviews

Annual Verifications

- Payroll Load Factor
- Central Garage Equipment Reimbursement Rates (FHWA)
- Toll Credits and Revenue Reporting

Grants Compliance and Financial Reviews

- FY22, AOT was the cognizant agency for 121 grant subrecipients
- 56 Indirect Cost Rates reviewed and accepted for CY22
- 176 Risk Assessments (pre-award & amendments) were completed in CY2022.
- 37 Sub-Recipients Monitored in CY2022 (representing 117 active grants for those entities).

Grants Compliance - Monitoring

- Subrecipient Monitoring
 - Review grantee compliance
- Municipal Assistance
 - Assist with Single Audit and Annual Reporting

Financial Reviews

- Consultant Indirect Cost Rates
- Regional Planning Commission and other institutional and non-profit Indirect Cost Rates

Records Management Programmatic Requirements

Required by 3 V.S.A. § 218 (c) (1) – (10)

- Maintain accurate inventory of records
- Justifiable retention periods
- Implementing and sustaining records schedules as approved by State Archivist

Collaboration with State Archivist

- MOU for Targeted Assistance Program
- Learn how to manage online and cloud-based records

Public Records Request

- 94.5% of requests processed within 3 days

- Administer and coordinate responses from public for agency records
- Serve as sole point of contact with requestor

- Assist units across the Agency with responding to a request
- Monitor statutory deadlines associated with request
- Review responsive records
- Two staff members assigned to this task
- 401 public records requests were fulfilled in FY22, accounting for 13,743 pages of records

Document Management

- 236,770 physical pages scanned and indexed in CY22
- 87,574 reprographics impressions in CY22
- 20,857 square feet of large format reprographics produced in CY22
- Boxes destroyed 204 (documents scanned into OnBase, reference documents, duplicates)

High-speed/High-volume reformatting and scanning of physical records.

Large Volume/Large Format Reprographics

Maintain document imaging system – OnBase

- Index, organize, and conduct quality control for documents

CONTRACT ADMINISTRATION

JEREMY STEPHENS, CONTRACT ADMINISTRATION CHIEF

(802) 522-8714

Contract Administration

- Construction Contracts (6 FTE)
- Services Contracts (3 FTE)
- Grants (3 FTE)
- Work Authorizations (5 FTE)

Construction Contracts

Design-Bid-Build – 76 projects advertised in Fiscal Year 2022/\$281M (\$44M in State funds)

- Finance and Maintenance Agreements
- Railroad Agreements
- Utility Agreements
- Interstate Agreements

Indefinite Delivery/Indefinite Quantity (ID/IQ) – 58 Primary Contracts

- 78 task orders issued in FY22 - \$22M (\$11M in State funds)
- Highway Maintenance and Repair
- Rail and Aviation Maintenance and Repair

Job Order Contract (JOC) – 98 Primary Contracts

- 700 task orders issued in FY22 - \$5M
- State Funds Only – Equipment Rental and Small Projects (<\$75,000)

Services Contracts

19 Requests For Proposals (RFP) Advertised in FY22

- 226 Services Contracts and Amendments Issued
- \$304M - Total Maximum Amount of all Service Contracts/Amendments

Examples of Services Contracts in SFY22:

- Winter Maintenance
- Legal Services
- Laboratory Equipment
- Janitorial Services
- Automated Weather Observation Systems
- Project Information Services
- Aviation Fuel Farm Installation
- Public Transit Bus Services
- Appraisal & Review Services
- Subsurface Utility Engineering
- Roadside Mowing
- Facilities Engineering
- Facilities Architectural Services
- Archaeological Consulting
- Stormwater Management
- Electric Bus Implementation

Work Authorizations

Work Authorization Requests (WAR) for 2nd tier solicitations on retainer-type services contracts

- Compliance with Code of Federal Regulations and Brookes Act
- 256 WARs Processed in FY22

Invoice Review and Approval for all retainer-type services contracts

- 5,463 Invoices Reviewed and Approved in accordance with compliance, Contract, and WAR in FY22

Consultant Evaluations

- 395 Consultant Evaluations Processed

Grants

745 Grants and Amendments Issued in FY22

- \$220M

Example of Grant Programs:

- Municipal Grants (Town Construction Projects)
- Municipal Park & Rides
- Public Transit (EV Incentives)
- Town Highway Class 2 Roadways
- Emergency Town Highway Grants
- Better Roads
- State Highway Safety
- Grants-In-Aid

Annual Innovations and Efficiencies

VTBuys

Collaboration continues with the AOA-BGS Office of Purchasing & Contracting to implement a statewide electronic solution for procurement activities.

AOT's incorporation of Services, Job Order, and Indefinite Delivery Indefinite Quantities (IDIQ) contracts into the new system will result in a simplified bidding process for our vendors.

Grants

Developing a heat map of Notice of Funding Opportunities (NOFO) and award start dates for the 16 grant programs AOT offers.

Continued standardization of grant processes and templates to improve the customer experience.

Construction Management System

Contract Administration continues to streamline and build efficiencies within the Construction Management System (CMS) for AOT and the construction contracting community.

HEARINGS

KIM INGRAHAM, HEARINGS EXAMINER

(802) 272-5738

What we do

Our administrative hearings pertain to individuals who wish to appeal a decision by the Agency of Transportation, or Department of Motor Vehicles.

Two Hearings Examiners are responsible for all aspects of the hearing process:

- Determining eligibility for a hearing
- Gathering evidence for the administrative record
- Scheduling and conducting the hearing
- Writing and issuing a decision

Types of Hearings

- Suspensions and Recalls of operator licenses
- Appeal of purchase & use tax or registration fee refund denials
- Total Abstinence Program – both admission into and revocation from
- Insurance requirements
- Ignition Interlock Devices
- National Driver Register and Non-Resident Violator Compact
- Minor Alterations hearings
- Permit hearings

By the numbers – FY22 AOT Hearings

We preside over two types of hearings for AOT:

- Permit 1111 Applications - granting access within state highways
- Minor Alterations Hearings – review and decide on the necessity for activity or work proposed and establish any conditions for accomplishing it, including the award of damages, if applicable.

In FY22 we received requests for 1 permit hearing and 7 minor alteration hearings. Of these, the permit request and 2 minor alteration requests went to hearing. While these types of hearings do not comprise a large percentage of our total hearings, the number of parties, issues, and time involved are more significant than 90% of the DMV hearings we hold.

By the numbers – FY22 DMV Hearings

Received over 275 hearing requests to review DMV actions.

- Over 93% of requests were approved for hearing
- Resolved just over half prior to the hearing

Held 123 hearings and issued 104 decisions

- DMV actions were upheld in 70% of the cases
- 30% remaining cases were either DMV actions that were reversed or were lifetime suspensions that were lifted as part of the Total Abstinence Program.