

VERMONT
HUMAN SERVICES PLAN
FY – 2014



**FEDERAL ASSURANCES AND DOCUMENTATION
BLOCK GRANT APPLICATIONS AND REPORT**

VERMONT HUMAN SERVICES PLAN - FY 2014
FEDERAL ASSURANCES & DOCUMENTATION

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FEDERAL ASSURANCES & DOCUMENTATION

PREFACE

This document has been constructed for use with the FY 14 Vermont Human Services Plan and is an integral part of that plan. Preparation of the Vermont Human Services Plan is part of the National Planning Requirements Reform Project sponsored by the Council of State Planning Agencies (an affiliate of the National Governor's Association) and the U.S. Department of Health and Human Services.

This document includes the state plans for three categorical programs and seven block grants. It also reduces the state's cost for administration and management. In addition, it will reduce the amount of paperwork and review time at the federal level and "free up" time which can be spent on substantive program planning issues. The use of this new format simplifies state planning with no loss of federal and state accountability for programs.

This document is divided into three sections:

- Assurances common to most federal programs. Each assurance is made in reference to the appropriate federal regulation.
- Program Specific Assurances include federally mandated assurances that are unique to a particular categorical program or block grant and block grant applications.
- Program Specific Documentation includes all other information required by federal regulation that is not accounted for in the main narrative section of the plan or in the assurances.

It is intended that this document will be submitted once annually and resubmitted only as changes occur. Reference documents which are not submitted as Program Specific Documentation are on file at the central office of the Vermont Agency of Human Services and at the appropriate federal offices.

FEDERAL ASSURANCES & DOCUMENTATION

**FY-14 Certification Regarding Drug-Free
Workplace Requirements**

**OMB Approval No. 0937-0189
Expiration Date: July 31, 2014**

The undersigned (authorized official signing for the applicant organization) certifies that it will provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;
- (d) Notifying the employee in the statement required by paragraph (a), above, that as a condition of employment under the grant, the employee will -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2), above, from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), above, with respect to any employee who is so convicted -

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**FY-14 Certification Regarding Drug-Free
Workplace Requirements**

**OMB Approval No. 0937-0189
Expiration Date: July 31, 2014**

- (1) Taking appropriate personnel action against such an employee, up to and including termination; or
- (2) Requiring such an employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f), above.

Vermont Agency of Human Services
Organization Name

Dixie Henry, Deputy Secretary
Name and Title of Authorized Representative

Dixie Henry
Signature

8/21/13
Date

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FY-14 Certification Regarding Lobbying

OMB Approval No. 0937-0189

Expiration Date: July 31, 2014

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of the Congress in connection with the making of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans and cooperative agreements), and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite

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FY-14 Certification Regarding Lobbying OMB Approval No. 0937-0189
Expiration Date: July 31, 2014

for making or entering into this transaction imposed by Section 1352, U.S. Code. "Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure."

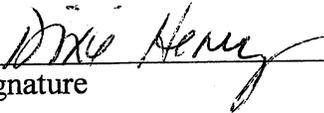
Agency of Human Services

Organization Name

Dixie Henry, Deputy Secretary

Name and Title of Authorized Representative

Signature



Date



VERMONT HUMAN SERVICES PLAN - FY 2014

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FY-14 Certification Regarding Program OMB Approval No. 0937-0189
Fraud Civil Remedies Act (PFCRA) Expiration Date: July 31, 2014

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the statements herein are true, accurate and complete, and agrees to comply with the Public Health Service terms and conditions if an award is issued as a result of this application. Willful provision of false information is a criminal offense (Title 18, U.S. Code, Section 1001). Any person making any false, fictitious or fraudulent statement may, in addition to other remedies available to the Government, be subject to civil penalties under the Program Fraud Civil Remedies Act of 1986 (45 CFR Part 79).

Agency of Human Services
Organization Name

Dixie Henry, Deputy Secretary
Name and Title of Authorized Representative

Dixie Henry
Signature

8/21/13
Date

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**FY-14 Certification Regarding
Debarment and Suspension**

**OMB Approval No. 0937-0189
Expiration Date: July 31, 2014**

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a criminal judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transaction" (Appendix B to 45 CFR Part 76) in all lower tier covered transactions (i.e., transactions with sub grantees and/or contractors) and in all solicitations for lower tier covered transactions.

Agency of Human Services
Organization Name

Date: 8/21/13

Dixie Henry, Deputy Secretary
Name and Title of Authorized Representative

Dixie Henry
Signature

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**FY-14 Certification Regarding
Environmental Tobacco Smoke**

**OMB Approval No. 0937-0189
Expiration Date: July 31, 2014**

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable Federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing this certification, the offertory/contractor (for acquisitions) or applicant/grantee (for grants) certifies that the submitting organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The submitting organization agrees that it will require that the language of this certification be included in any sub awards which contain provisions for children's services and that all sub recipients shall certify accordingly.

Agency of Human Services
Organization Name

Date: _____

8/21/13

Dixie Henry, Deputy Secretary
Name and Title of Authorized Representative

Signature



G E N E R A L
A S S U R A N C E S

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Page 1

GENERAL ASSURANCES

The Agency of Human Services agrees to maintain documentation to substantiate all of the following assurance items. Such documentation is available for federal review in order to determine adequacy and completeness.

Each assurance item is followed by an indication of the categorical grant programs to which it applies. A specific reference to the comparable planning requirements of each program is included for the convenience of state and federal reviewers.

A. GENERAL ADMINISTRATION

1. SINGLE STATE AGENCY

The Agency of Human Services is the single State Agency responsible for the administration or supervision of the administration of this plan.

State Plan on Aging under Title III of the Older Americans Act.
Child Welfare Services Plan (IV-B)

2. COMPLIANCE WITH REQUIREMENTS

The Agency of Human Services agrees to administer the program in accordance with the applicable Act, the State Plan and all applicable regulations, policies and procedures established by the Commissioner or the Deputy Secretary, including the requirements at 34CFR Part 85 Subpart F, Drug free Workplace Act of 1988 and debarment and suspension, 34 CFR Part 85, Section 85.510 and certification regarding lobbying as required by Section 1352, Title 31 of the U.S. Code.

Social Services Block Grant
Preventive Health and Health Services Block Grant
Maternal and Child Health Service Block Grant
Prevention and Treatment of Substance Abuse Block Grant
Community Mental Health Services Block Grant
Community Services Block Grant
Low-Income Home Energy Assistance Block Grant
State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B) - 1392.1 [220.1], 1392.3 [220.3]
Child Abuse and Neglect - 130.1 - 3(b)
State Plan for Developmental Disabilities Services and Facilities Construction program
- 1386.30
Community Food and Nutrition Program

GENERAL ASSURANCES

3. COMPLIANCE BY LOCAL AGENCIES

Where the Agency of Human Services supervises the administration of the State Plan, there are adequate methods for assuring compliance with the requirements of the plan by local agencies and/or services contractors.

State Plan on Aging under Title III of the Older Americans Act

4. EFFICIENT ADMINISTRATION

The Agency of Human Services utilizes such methods of administration as are necessary for the proper and efficient administration of the plan.

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)

5. GENERAL ADMINISTRATION AND FISCAL REQUIREMENTS

The Agency of Human Services' uniform administrative requirements and cost principles are in compliance with the relevant provisions of 45 CFR Part 74, except where these provisions are superseded by statute or program regulations.

Social Services Block Grant
Preventive Health and Health Services Block Grant
Maternal and Child Health Service Block Grant
Prevention and Treatment of Substance Abuse Block Grant
Community Mental Health Services Block Grant
Community Services Block Grant
Low-Income Home Energy Assistance Block Grant
State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
State Plan for Developmental Disabilities Services and Facilities Construction
Program - 1385.9
Community Food and Nutrition Program

GENERAL ASSURANCES

6. TRAINING OF STAFF

The Agency of Human Services provides a program of appropriate training for all classes of positions and volunteers, if applicable.

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
Child Abuse and Neglect - 1340.3-3(d)(4)
State Plan for Developmental Disabilities Services and Facilities Construction
Program - 1386.30

7. MANAGEMENT OF FUNDS

The Agency of Human Services maintains sufficient fiscal control and accounting procedures to assure proper disbursement of and accounting for federal funds paid under this plan.

Social Services Block Grant
Preventive Health and Health Services Block Grant
Maternal and Child Health Service Block Grant
Prevention and Treatment of Substance Abuse Block Grant
Community Mental Health Services Block Grant
Community Services Block Grant
Low-Income Home Energy Assistance Block Grant
State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
State Plan for Developmental Disabilities Services and Facilities Construction
Program - 1386.32

8. SAFEGUARDING INFORMATION

The Agency of Human Services has implemented such regulations, standards, and procedures as are necessary to meet the requirements on safeguarding confidential information under relevant program regulations.

Social Services Block Grant
Preventive Health and Health Services Block Grant
Maternal and Child Health Service Block Grant

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GENERAL ASSURANCES

Prevention and Treatment of Substance Abuse Block Grant
Community Mental Health Services Block Grant
Community Services Block Grant
Low-Income Home Energy Assistance Block Grant
State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
Child Abuse and Neglect - 1340.3-3(d)(5)
State Plan for developmental Disabilities Services and Facilities Construction
Program

9. REPORTING REQUIREMENTS

The Agency of Human Services agrees to furnish such reports and evaluations to the Deputy Secretary or the Commissioner as may be specified.

Social Services Block Grant
Preventive Health and Health Services Block Grant
Maternal and Child Health Service Block Grant
Prevention and Treatment of Substance Abuse Block Grant
Community Mental Health Services Block Grant
Community Services Block Grant
Low-Income Home Energy Assistance Block Grant
State Plan on Aging under Title III of the Older Americans Act
Child Welfare Service Plan (IV-B)
Child Abuse and Neglect - 1340.1-15
State Plan for Developmental Disabilities Services and Facilities Construction
Program - 1386.32
State Plan on Aging under Title III of the Older Americans Act
Community Food and Nutrition Program

10. STANDARDS FOR SERVICE PROVIDERS

All providers of service under this plan operate fully in conformance with all applicable federal, state and local fire, health, safety and sanitation and other standards prescribed in law or regulations. The Agency of Human Services provides that where the state or local public jurisdictions require licensure for the provision of services, agencies providing such services shall be licensed.

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
State Plan for Developmental Disabilities Services and Facilities Construction
Program - 1386.30

GENERAL ASSURANCES

11. AMENDMENTS TO STATE PLAN

The State Plan provides for amendment whenever there is any material change in any applicable phase of State law, organization, policy, agency operations or other major conditions which affect the administration of this plan. Such amendments will be made in conformance with applicable regulations and submitted to the federal government before they are put into effect or at a reasonable time thereafter.

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
Child Abuse and Neglect - 1340.1-12
State Plan for Developmental Disabilities Services and Facilities Construction
Program – 1385.9.

B. EQUAL OPPORTUNITY AND CIVIL RIGHTS

1. EQUAL EMPLOYMENT OPPORTUNITY

The Agency of Human Services has an equal employment opportunity policy, implemented through an affirmative action plan for all aspects of personnel administration as specified in 45 CFR Part 86.

Community Services Block Grant (no specific reference in Block Grant regulations)
Preventive Health Block Grant (no specific reference in Block Grant regulations)
Prevention and Treatment of Substance Abuse Block Grant (no specific reference in Block Grant regulations)
Community Mental Health Services Block Grant (no specific reference in Block Grant regulations)
Maternal and Child Health Services Block Grant (no specific reference in Block Grant regulations)
Social Services Block Grant (no specific reference in Block Grant regulations)
Low-Income Home Energy Assistance Block Grant (no specific reference in Block Grant regulations)
State Plan on Aging under Title III of the Older Americans Act Child Welfare Services Plan (IV-B)
State Plan for Developmental Disabilities Services and Facilities Construction Program - 1385.9

GENERAL ASSURANCES

2. NON-DISCRIMINATION ON THE BASIS OF HANDICAP

All recipients of funds from the Agency of Human Services are required to operate each program or activity so that, when viewed in its entirety, the program or activity is readily accessible to and usable by a handicapped person. Where structural changes are required, these changes shall be made as quickly as possible in keeping with 45 CFR 84 and P.L. 97-45.

Community Services Block Grant (no specific reference in Block Grant regulations)
Preventive Health Block Grant (no specific reference in Block Grant regulations)
Prevention and Treatment of Substance Abuse Block Grant (no specific reference in Block Grant regulations)
Community Mental Health Services Block Grant (no specific reference in Block Grant regulations)
Maternal and Child Health Services Block Grant (no specific reference in Block Grant regulations)
Social Services Block Grant (no specific reference in Block Grant regulations)
Low-Income Home Energy Assistance Block Grant (no specific reference in Block Grant regulations)
State Plan on Aging under Title III of the Older Americans Act Child Welfare Services Plan (IV-B)
Child Abuse and Neglect -1340.1-10
State Plan for Developmental Disabilities Services and Facilities Construction Program - 1385.9

3. CIVIL RIGHTS COMPLIANCE

The Agency of Human Services has developed a system to ensure that benefits and services available under the State Plan are provided in a non-discriminatory manner as required by Title VI of the Civil Rights Act of 1964 as amended.

Community Services Block Grant (no specific reference in Block Grant regulations)
Preventive Health Block Grant (no specific reference in Block Grant regulations)

GENERAL ASSURANCES

Prevention and Treatment of Substance Abuse Block Grant (no specific reference in Block Grant regulations)
Community Mental Health Services Block Grant (no specific reference in Block Grant regulations)
Maternal and Child Health Services Block Grant (no specific reference in Block Grant regulations)
Social Services Block Grant (no specific reference in Block Grant regulations)
Low-Income Home Energy Assistance Block Grant (no specific reference in Block Grant regulations)
State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
Child Abuse and Neglect -1340.1-9
State Plan for Developmental Disabilities Services and Facilities Construction Program - 1385.9

C. PROVISIONS OF SERVICES

1. WRITTEN POLICIES AND PROCEDURES

With regard to the provision of any services included in this plan to individuals or groups of individuals, the Agency of Human Services has established in writing and will maintain policies and procedures for the provision of such services. These policies shall include a description of the scope and nature of each service and the procedures and conditions under which each such services is to be provided, including criteria for establishment of fee schedule or contributions, if applicable.

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
State Plan for Developmental Disabilities Services and Facilities Construction Program - 1386.34

2. NEEDS ASSESSMENT

The Agency of Human Services has a reasonable and objective method for determining the needs of all eligible residents of all geographic areas in the State and for allocating resources to meet those needs.

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
State Plan for Developmental Disabilities Services and Facilities Construction Program - 1386.34

GENERAL ASSURANCES

3. PRIORITIES

The Agency of Human Services has a reasonable and objective method for establishing priorities for service and such methods are in compliance with applicable statutes.

State Plan on Aging under Title III of the Older Americans Act

Child Welfare Services Plan (IV-B)

State Plan for Developmental Disabilities Services and Facilities Construction Program - 1386.34

4. ELIGIBILITY

The activities covered by this State Plan serve only those individuals and groups eligible under the provisions of the applicable statute.

State Plan on Aging under Title III of the Older Americans Act

Child Welfare Services Plan (IV-B)

State Plan for Developmental Disabilities Services and Facilities Construction Program - 1386.34

5. RESIDENCY

No requirements as to duration of residence or citizenship will be imposed as a condition of participation in Vermont's program for the provision of services.

State Plan on Aging under Title III of the Older Americans Act

Child Welfare Services Plan (IV-B)

State Plan for Developmental Disabilities Services and Facilities Construction Program

6. COORDINATION AND MAXIMUM UTILIZATION OF SERVICES

The Agency of Human Services has entered into cooperative arrangements with, and utilizes the services and facilities of, other appropriate public and private agencies whose activities further the purposes of the program covered by this plan or which are specifically referenced in the applicable statute. Such coordination shall maximize utilization of public and private resources.

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FEDERAL ASSURANCES & DOCUMENTATION

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GENERAL ASSURANCES

State Plan on Aging under Title III of the Older Americans Act
Child Welfare Services Plan (IV-B)
Child Abuse and Neglect - 1340.3-3(d)(6)
State Plan for Developmental Disabilities Services and Facilities Construction
Program 1386.43(ii), 1386.46(b), 1386.50, 1386.48(b), 1386.30

ASSURANCE OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964, SECTION 504 OF THE REHABILITATION ACT OF 1973, TITLE IX OF THE EDUCATION AMENDMENTS OF 1972, AND THE AGE DISCRIMINATION ACT OF 1975.

The applicant provides this assurance in consideration of and for the purpose of obtaining Federal grants, loans, contracts, property, discounts or other Federal financial assistance from the Department of Health and Human Services.

THE APPLICANT HEREBY AGREES THAT IT WILL COMPLY WITH:

- A. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R., Part 80), to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.
- A. Section 504 of the Rehabilitation Act of 1973 (P.L. 93-112), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 84), to the end that, in accordance with Section 504 of that Act and the Regulation, no otherwise qualified handicapped individual in the United States shall, solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.
- A. Title IX of the Educational Amendments of 1972 (P.L. 92-318), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86), to the end that, in accordance with Title IX and the Regulation, no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any education program or activity for which the Applicant received Federal financial assistance from the Department.

GENERAL ASSURANCES

A. The Age Discrimination Act of 1975 (P.L. 94-135), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 91), to the end that, in accordance with the Act and the Regulation, no person in the United States shall, on the basis of age, be denied the benefits of, be excluded from participation in, or be subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.

The Applicant agrees that compliance with this assurance constitutes a condition of continued receipt of Federal financial assistance, and that it is binding upon the Applicant, its successors, transferees and assignees for the period during which such assistance is provided. If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant by the Department, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. The Applicant further recognizes and agrees that the United States shall have the right to seek judicial enforcement of this assurance.

The person or persons whose signature(s) appear(s) below is/are authorized to sign this assurance, and commit the Applicant to the above provisions.

Date 8/21/13 Signature 
Dixie Henry, Deputy Secretary
Agency of Human Services
103 South Main Street
Waterbury, VT 05676

The Assurance of Compliance Form HHS 690 should be filed with the Department of Health and Human Services Office of Civil Rights at the following address:

Office of Civil Rights
Office of Programs Operations
HHS North, Room 5626
330 Independence Avenue, SW
Washington, DC 20201

B L O C K
G R A N T
A P P L I C A T I O N S

A P P E N D I X A

**A summary of the Block Grant hearing
held August 27, 2013,
will be provided upon request**

**COMMUNITY MENTAL HEALTH
SERVICES BLOCK GRANT**

VERMONT HUMAN SERVICES PLAN - FY 2014

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Community Mental Health Services Block Grant
Department of Mental Health

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #1</u>			
To enable children and adolescents who are experiencing a severe emotional disturbance to remain in community-based programs and public schools by providing community-based treatment, support services and consultation.			
APPROPRIATION: MH- Children	\$4,637,317	\$5,065,948	\$4,909,718
State Funds	1,931,091	2,193,350	2,178,449
Additional state funds matched by others			
Federal	2,651,469	2,840,732	2,699,403
MH Block	54,757	31,866	31,866

Goal #2

Services for families with a child or adolescent experiencing a severe emotional disturbance in order to avoid out-of-home placements.

APPROPRIATION: MH-Respite	\$930,345	\$930,345	\$930,345
State Funds	525,557	525,557	525,557
Federal	0	0	0
MH Block	404,788	404,788	404,788

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FEDERAL ASSURANCES & DOCUMENTATION

Community Mental Health Services Block Grant
Department of Mental Health

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #3</u>			
To increase the abilities of persons with long-term mental illness to function in community settings with the greatest possible independence from the mental-health and human-services system by providing community-based treatment, rehabilitation and support.			
APPROPRIATION: MH-Community Rehabilitation & Treatment	\$39,824,628	\$41,184,771	\$43,942,369
State Funds	14,082,355	11,514,162	14,775,866
Federal	25,621,315	29,565,237	29,061,131
MH Block	120,958	105,372	105,372

Goal #4

To support evidence-based practice of Integrated Treatment for Dual Diagnoses (IDDT) of severe mental illness and substance-abuse at two designated agencies in Vermont

APPROPRIATION: MH-Co-Occurring Treatment	\$50,000	\$50,000	\$50,000
State Funds			
Federal			
MH Block	50,000	50,000	50,000

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Community Mental Health Services Block Grant
Department of Mental Health

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #5</u>			
To avoid unnecessary institutionalization of acutely mentally ill persons by providing immediate professional evaluation and treatment.			
APPROPRIATION: MH-Emergency	\$4,168,331	\$9,701,291	\$9,824,667
State Funds	3,846,974	9,027,219	8,867,552
Federal	288,260	640,975	924,018
MH Block	33,097	33,097	33,097
<u>Goal #6</u>			
Housing infrastructure funds: consultation, etc. to maintain stable housing in the community for adults with severe mental illnesses			
Total	\$13,000	\$13,000	\$13,000
State Funds	0	0	0
Federal	0	0	0
MH Block	13,000	13,000	13,000
<u>Goal #7</u>			
Outreach to increase the presence and availability of qualified mental-health professionals to work with adults with severe mental illness in the downtown Burlington/Marketplace through a community-client liaison.			
Total	\$25,000	\$25,000	\$25,000
State Funds	0	0	0
Federal	0	0	0
MH Block	\$25,000	25,000	25,000

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Community Mental Health Services Block Grant
Department of Mental Health

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #8</u>			
Support for activities of Vermont Psychiatric Survivors, a statewide consumer-run organization of consumers, survivors, and ex-patients with a multiplicity of activities and growing responsibilities.			
Total	\$42,342	\$47,660	\$47,660
State Funds	0	0	0
Federal	0	0	0
MH Block	42,342	47,660	47,660
<u>Goal #9</u>			
Peer-operated initiatives			
Total	\$45,000	\$45,000	\$45,000
State Funds	0	0	0
Federal	0	0	0
MH Block	45,000	45,000	45,000
<u>TOTALS</u>	\$49,735,963	\$57,063,015	\$59,787,759
State Funds	20,385,976	23,260,287	26,347,423
Federal	28,561,045	33,046,945	32,684,553
MH Block	788,942	755,783	755,783
Additional state funds			
Matched by others			

Community Mental Health Services Block Grant
Department of Mental Health

Block Grant Awards

FFY12	\$788,942
FFY13	\$755,783 (estimated)
FFY14	\$755,783 (estimated)

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Community Mental Health Services Block Grant
Department of Mental Health

GOAL ACCOMPLISHMENT

Goal #1

Goal Description

Block grant and other funds are expended to enable children and adolescents who are experiencing a severe emotional disturbance to remain with their families or in community-based programs and public schools by providing treatment, support services, and consultation. Community mental health agencies and one private specialized nonprofit provider deliver a range of services which include outpatient services, residential treatment, individual and group therapy, case management and individualized wraparound services, chemotherapy, diagnosis and evaluation, and consultation to schools and other community agencies. All block grant funds for this goal go to the Northeastern Family Institute, in South Burlington, Vermont.

Goal Accomplishment

Services are provided on a statewide basis through a private nonprofit organization and ten community mental health centers (CMHCs) that cover the fourteen counties of Vermont in accordance with 3 VSA 24 (b), passed in 1988. Planning for systems change is carried out in accordance with 3 VSA 24 (b) and P.L. 106-310, which amended the Public Health Service Act with respect to children's health. The state law created an Advisory Board and established state and local interagency coordinating structures. The preparation of an annual "System of Care Plan for Children and Adolescents With a Severe Emotional Disturbance and Their Families" and an annual status report on implementation are required. If necessary, a waiver may be requested under Section 1916 (c) (2) (B) if it appears that set-aside requirements will substantially disrupt new services in place. Indicators of goal accomplishment include the number of children and adolescents who are experiencing a severe emotional disturbance served in non-institutional in-home and professional foster care services as an alternative to institutional placement and the total number of children and adolescents and their families served. In combination with grants from private foundations and other state and federal funding, Mental Health Block Grants have provided services as follows:

TOTAL NUMBER OF CLIENTS ASSIGNED
TO COMMUNITY-BASED PROGRAMS
FOR CHILDREN AND ADOLESCENTS
AND THEIR FAMILIES

FY 2012 Actual	9,783
FY 2013 Estimated	9,500-10,500
FY 2014 Projected	9,500-10,500

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Community Mental Health Services Block Grant
Department of Mental Health

Goal #2

Goal Description

Block grant and other funds are expended to provide respite services for families with a child or adolescent experiencing a severe emotional disturbance in order to avoid out-of-home placements.

Goal Accomplishment

In Vermont Fiscal Year 2012 (July 1, 2011-June 30, 2012), Vermont's designated agencies reported 7,483 episodes of respite services delivered to 385 Children's Services clients experiencing a severe emotional disturbance. The projection for Fiscal Years 2013 and 2014 is a comparable figure, funding permitting. Demand for this service continues to be considerably in excess of the resources to provide it.

Goal #3

Goal Description

The Vermont Department of Mental Health (DMH) purchases services from designated agencies to increase the abilities of adults with severe mental illness to function in community settings with the greatest possible independence by providing community-based treatment, rehabilitation, and support. The services include community supports and coordination (case management); individual, group, and medication therapy; employment and educational supports; peer support groups and other recovery-oriented activities and counseling; and residential supports and programs.

Goal Accomplishment

The major indicator of Goal Accomplishment is the number of adults with severe mental illness receiving services in community programs. The number of adults with severe mental illness served in Community Rehabilitation and Treatment (CRT) programs from community mental health centers was 2,769 in Fiscal Year 2012. The number for Fiscal Years 2013 and 2014 is expected to be in the range of 2,500-3,000 clients.

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Community Mental Health Services Block Grant Department of Mental Health

Goal #4

Goal Description

For many years the Department of Mental Health has used block grant funding to support Integrated Dual-Diagnosis Treatment for adults with diagnoses of severe mental illness and substance abuse in two of the state's catchment areas: Chittenden County, served by Howard Center; and Windsor and Windham counties, served by Health Care and Rehabilitation Services of Southeastern Vermont (HCRS). The programs continue with level funding of \$50,000 (\$25,000 for each agency) from the Community Mental Health Services Block Grant for Fiscal Years 2012, 2013, and 2014.

Goal #5

Goal Description

The Department of Mental Health funds emergency and crisis stabilization support services in all catchment areas of Vermont. The specific components include screening, evaluation, and referral; facilitation of an admission to an inpatient setting, if necessary, or facility-based crisis or respite services; in-home support and crisis stabilization services; psychiatric consultation and evaluation; telephone crisis lines (available twenty-four hours a day, seven days a week) staffed by mental-health professionals; and screening for court-ordered psychiatric evaluations in criminal cases.

Goal Accomplishment

Approximately 10,542 people in mental-health crises received emergency services from designated agencies in the community in Vermont Fiscal Year 2012; 73,285 units of services were delivered. In FY 2013, approximately 9,939 people in mental-health crises received emergency services from designated agencies and 85,842 units of services were delivered. The numbers for FY 2014 are projected to be, respectively, 10,339 and 75,796.

Goal #5

Goal Description

The \$13,000 from block grant funding for housing infrastructure buys such items as software and computer capacity for keeping data on homelessness, a requirement for federal funding; consultation on renovations; assistance in developing applications, which are extremely technical and competitive, to the Department of Housing and Urban Development, and related services.

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Community Mental Health Services Block Grant Department of Mental Health

Goal Accomplishments

Housing infrastructure funding has provided consistent and reliable data, unavailable until recent years, on homelessness in Vermont. The infrastructure funding has also purchased consultation on renovations essential to maintaining housing for adults with severe mental illness being served by the public mental-health system and to apply for federal funding for additional units.

Goal #6

Goal Description

HowardCenter (HC), the designated agency for mental-health services in Burlington and the rest of Chittenden County, joins with others in Vermont's only Statistical Metropolitan Area in efforts to increase the presence and availability of qualified mental-health professionals to work with adults with severe mental illness in the downtown Burlington/Marketplace area. ("Others" in the community include representatives from the Downtown Business Association; United Way; Spectrum, a youth services agency; the Homeless Health Project; downtown merchants; the Mayor's Office; and the Burlington Police Department.) The overall purpose is to have a coordinated response system to downtown behavioral-health issues through:

- Developing positive, trusting relationships with clients, merchants, and police,
- Enhancing social skills and behavior that will help individuals maintain their independence in the community, and
- Providing a single point of contact with the mental-health system for the business community and the Burlington Police Department.

Goal Accomplishment

A community-client liaison is available in the downtown area for:

- Interaction, prevention or intervention with adults with severe mental illness,
- Coordination of services and supports with HCHS case management, crisis, homeless health, and other staff,
- Training about severe mental illness and challenging behavioral needs for the police, and
- Developing educational materials on needs and issues of people with severe mental illness for merchants in the area.

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Community Mental Health Services Block Grant Department of Mental Health

Goal #7

Goal Description

Vermont Psychiatric Survivors (VPS) offers peer support, information, referral, and networking services to mental-health consumers all over Vermont in addition to technical assistance and a limited amount of funding to local support groups around Vermont. The organization is a partner with one of Vermont's designated agencies and a local chapter of the National Alliance for the Mentally Ill of Vermont (NAMI—VT) in the operation of a safe haven for people who are mentally ill and homeless in Randolph. In addition VPS administers Vermont's Recovery Education Project, offering the curriculum numerous times a year in several locations; publishes the once-again quarterly *Counterpoint*, a voice for news and the arts by psychiatric survivors, ex-patients, and consumers of mental-health services, and their families and friends; assists individuals who have been denied Supplemental Security Income (SSI) or Social Security Disability Income (SSDI) and Medicaid; evaluates the recovery orientations of a local psychiatric inpatient unit as well as the Vermont State Hospital; and offers assistance in drafting a durable power of attorney for mental health treatment.

Goal Accomplishment

VPS continued with these activities and similar ones in Fiscal Years 2012 and 2013 and is under contract to do the same throughout Fiscal Year 2014.

Goal #8

Goal Description

Funding for this goal in FYs 2012, 2013, and 2014 goes to a variety of consumer-operated projects scattered around the state. These projects have all been designed to increase consumer empowerment, independence, and ability to support themselves and others in their communities.

Goal Accomplishment

The consumer projects funded in Fiscal Years 2012 and 2013 include the following:

- ◆ The Peer Educational Program (PEP), a community education series about the experience of mental illness by consumers of public mental-health services in Washington County
- ◆ The WRAP-Line Project, a weekend warm-line service operated by peers for peers in Bennington County (WRAP is an acronym for "Wellness Recovery Action Plan")
- ◆ Another Warm Line in Rutland
- ◆ Computer-Education and an arts program in Southeastern Vermont, and
- ◆ The Northeast Kingdom Partners for Mental Health Recovery/Roadmap to Recovery

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Community Mental Health Services Block Grant
Department of Mental Health

Additional projects are awarded grants, based upon proposals from peers and reviewed by peers and DMH, as funding becomes available through the Community Mental Health Services Block Grant.

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Community Mental Health Services Block Grant
Department of Mental Health

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Community Services Block Grant

**COMMUNITY SERVICES
BLOCK GRANT (CSBG)
Fiscal Year 2014**

Community Services Block Grant

STATEMENT OF FEDERAL AND CSBG ASSURANCES

As part of the annual or biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act – by signature at the end of this section.

A. PROGRAMMATIC ASSURANCES

- (1) Funds made available through the grant or allotment will be used:
 - (a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and to strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
 - (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and

Community Services Block Grant

- (c) To make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts). ['676(b)(1)]
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) of the Act in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; ['676(b)(2)]
- (3) To provide information provided by eligible entities in the State, including:
 - (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - (b) a description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow up consultations;
 - (c) a description of how funds made available through grants made under section 675C(a) will be coordinated with other public and private resources; and
 - (d) a description of how the local entity will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(5)]
- (4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. ['676(b)(4)]
- (5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and a description of how the State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; ['676(b)(5)]
- (6) To ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities. ['676(b)(6)]
- (7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]
- (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated

Community Services Block Grant

under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b) of the Act. ['676(b)(8)]

- (9) That the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]
- (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(11)]
- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (*which shall be submitted to the Secretary, at the request of the Secretary, with the State plan*) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs; ['676(b)(11)]
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b) of the Act. ['676(b)(12)]
- (13) To provide information describing how the State will carry out the assurances. ['676(b)(13)]

B. ADMINISTRATIVE AND FINANCIAL ASSURANCES

The State further agrees to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of un-obligated funds outlined below. ['675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when un-obligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to

Community Services Block Grant

- redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. ['675C(a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]
 - (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]
 - (6) That the lead agency will hold at least one hearing in the state with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the state plan. ['676(a)(2)(B)]
 - (7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State community services block grant program activities. ['676(a)(1)]
 - (8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan. ['676(a)(3)]
 - (9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]
 - (10) To conduct the following reviews of eligible entities:
 - (a) full onsite review of each such entity at least once during each three year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. ['678B(a)]
 - (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:

Community Services Block Grant

- (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved.
 - (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [‘678(C)(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
 - (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [‘678D(a)(3)]
 - (14) To participate, and ensure that all-eligible entities in the State participate, in the Results-Oriented Management and Accountability (ROMA) System. [‘678E(a)(1)]
 - (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under ‘678E(a)(2) of the Act.
 - (16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in section 678F(a) of the Act.
 - (17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [‘678F(b)]
 - (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination

Community Services Block Grant

Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [678F(c)]

- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [679]

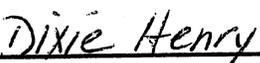
C. OTHER ADMINISTRATIVE CERTIFICATIONS

The State also certifies the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all sub-grantees shall certify accordingly.



Signature



Deputy Secretary, Agency of Human Services



Date

Community Services Block Grant

NARRATIVE STATE PLAN

I. INTRODUCTION

In 1981, the Governor of Vermont designated the Office of Economic Opportunity, administrator of the Community Services Block grant (hereinafter called CSBG). Under the provisions of the Omnibus Budget Reconciliation Act of 1981 (hereinafter called OMBR), and Public Law 98-558, Human Services Reauthorization Act of 1984, and the Augustus F. Hawkins Human Services Reauthorization of 1990 (P.L. 101-501), and the COATS Human Services Reauthorization Act of 1998, the Office of Economic Opportunity has developed a proposed plan for the distribution and use of these funds.

The CSBG program will be used to provide a range of services and activities having a measurable and potentially major impact on the causes and effects of poverty in Vermont. The activities will be directed toward assisting low-income participants including the elderly poor. A common theme among the local programs is the active participation of low-income people, in tandem with public officials and leaders of the private sector, in the design and implementation of the programs. In addition, these programs share a common goal: the achievement of self-sufficiency, emphasizing self-reliance and institutional change to assist the low-income people they serve. This State Plan is prepared and submitted to comply with the legislative requirements which specify, in order to receive an allotment under this subtitle, an application shall be submitted to the Secretary of the Department of Health and Human Services (hereinafter called HHS). The plan will be submitted to the State legislature for the purpose of conducting public hearings on the proposed use and distribution of the funds.

This plan sets forth the State's policy, goals and objectives for the program, the requirements which subgrantees must meet to qualify for funds, the manner in which the State intends to distribute the block grant and the procedures the State intends to implement in administering the program.

II. GOALS AND OBJECTIVES OF THE PROGRAM

The mission of the Agency of Human Services is to improve the health and well-being of Vermonters today and tomorrow and to protect those among us who are unable to protect themselves. The Department for Children and Families, as part of an integrated Agency of Human Services, fosters the healthy development, safety, well-being, and self-sufficiency of Vermonters. The Office of Economic Opportunity is a division of the Department for Children and Families. The mission of the Vermont Office of Economic Opportunity, which administers the Community Services Block Grant, is to increase the self-sufficiency of Vermonters, strengthen Vermont communities, and eliminate the causes and symptoms of poverty. The mission coincides with and fosters the intent of the goals and objectives of the CSBG program.

In its utilization of CSBG funds, the State of Vermont seeks to further the following goals:

1. to provide a range of services and activities having a measurable and potentially major impact on causes and effects of poverty in the community or those areas of the community where poverty is a particularly acute problem;
2. to provide activities designed to assist low-income participants including the elderly poor;
 - a. to secure and retain meaningful employment;

Community Services Block Grant

- b. to attain an adequate education;
 - c. to make better use of available income;
 - d. to obtain and maintain adequate housing and a suitable living environment;
 - e. to obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs including the need for health services, nutritious food, housing and employment-related assistance;
 - f. to remove obstacles and solve problems which block the achievement of self-sufficiency;
 - g. to achieve greater participation in the affairs of the community; and
 - h. to make more effective use of other programs related to this subtitle;
- 3. to provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor;
 - 4. to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals;
 - 5. to encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community; and
 - 6. to provide for coordination between anti-poverty programs in each community, where appropriate, with emergency energy crisis programs under Title XXVI of this Act (relating to Low Income Home Energy Assistance) conducted in such community.

III. DISTRIBUTION OF FUNDS

Vermont CSBG (a) funds will be distributed to five eligible Community Action Agencies, which provide services in all fourteen counties in Vermont. These entities, in accordance with their statutory designation, are considered by the State of Vermont to be the lead anti-poverty organization for each of their respective services areas.

Eligible Entities:

BROC – Community Action in Southwestern Vermont

Central Vermont Community Action Council

Champlain Valley Office of Economic Opportunity

Northeast Kingdom Community Action

Geographic Areas Served:

Rutland, Bennington Counties (except Pittsfield Town)

Lamoille, Orange, Washington Counties, and Pittsfield, Granville, Hancock, Rochester, Bethel, Stockbridge, Royalton, Sharon and Barnard Towns

Chittenden, Franklin, Grand Isle Counties, and in Addison County (except Hancock and Granville Towns)

Caledonia, Essex, Orleans Counties

Community Services Block Grant

Southeastern Vermont Community Action

Windham and Windsor Counties (except
Rochester, Bethel, Stockbridge, Royalton,
Sharon and Barnard Towns)

The amount to be awarded to each Community Action Agency will be determined by the application of the State Office of Economic Opportunity allocation formula. This formula is designed to insure that each eligible entity receives an amount sufficient to provide an administrative funding base and, further, to ensure that funding to specific areas during subsequent years corresponds to the current economic situation of each area.

Prior to the award of CSBG funds, the Office of Economic Opportunity will reserve 10 percent of the funds awarded. Fifty-five thousand dollars (\$55,000) or 5 percent, whichever is larger, will be used for State administration of the program. With the balance of the funds reserved, the State may:

1. transfer in accordance with Section 675(c)(5) of the CSBG Act; or
2. utilize for the purpose of funding special projects which have proven to be, or may prove to be particularly effective in ameliorating the causes of poverty in communities within the State; or
3. distribute through the allocation formula.

By statute, Vermont shall distribute 90% of its total CSBG award to eligible entities. The Office of Economic Opportunity allocation formula is updated periodically to address the distribution of this statutory 90% to Vermont's five Community Action Agencies while allowing for adjustments to be made as current, local poverty data become available.

The State Office of Economic Opportunity has adopted the FY 2010 Community Action Agencies distributions as the new base levels for funding.

In any year where Vermont receives an increase in core CSBG funding available to eligible entities—above the FY 2010 base level of \$3,357,000—the additional core funds—in excess of that historical base—shall be distributed on the basis of each eligible entity's service territory's share of the State's total eligible population (currently defined as the number of persons at or below 125% of the federal poverty level).

In any year where Vermont receives a decrease in core CSBG funding below the FY 2010 core funding level of \$3,357,000, a corresponding across-the-board percentage reduction will be applied to the base awards of all eligible entities.

FFY 2014 Distribution of Funds: Based on the assumption of level funding from FFY 2013, *i.e.* **\$3,340,193 for FY 2014 CSBG**, the planned distribution of funds is:

BROC – Community Action in Southwestern Vermont	\$535,439
Central Vermont Community Action Council	\$572,161
Champlain Valley Office of Economic Opportunity	\$880,377
Northeast Kingdom Community Action	\$551,208
Southeastern Vermont Community Action	\$466,989

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HISTORICAL NOTE

FY 2010 base awards were arrived at by distributing the historical FFY 1993 base of \$2,051,460 according to the following formula:

- 50% divided equally
- 40% on the basis of eligible population
- 5% on the basis of per capita income
- 5% excess unemployment

and the excess of \$1,305,540 on the basis of each eligible entity's service territory's share of the State's total eligible population (defined as the number of persons at or below 125% of federal poverty level).

IV. QUALIFICATIONS AND APPLICATION OF FUNDS

For Fiscal Year 2014, all agencies identified as eligible to apply for funds shall submit an application before the beginning of the grant year in a form prescribed by the State Office of Economic Opportunity in the "Request for Work Plan." Applications must be approved by the eligible entity's governing board and signed by the chief governing official of the board.

1. Determination of Community Needs and Strengths

Each eligible sub-grantee governing board is responsible for conducting an assessment of low-income community needs and strengths, establishing service priorities, developing goals and objectives to address the needs identified and prioritized, and build on identified strengths. The State Office of Economic Opportunity recognizes the value of long-term, in-depth planning for the purpose of ensuring the most effective utilization of Federal funds. As Federal funding resources grow scarcer, the value of an efficient planning process becomes progressively greater.

All eligible entities will be required to submit, as an integral part of their application, a description of the community assessment process within the service area. Further, the State Office of Economic Opportunity perceives the community assessment to be an ongoing process - needs and strengths are constantly being reassessed through the experience of the sub-grantees and the acquisition of new information. A formal assessment serves as a base from which to judge the changing needs of the community.

The community assessment report should show not only the problems that can be ameliorated by delivery of services, but problems that pinpoint precisely the major causes of poverty in that area; for example, the absence of an industrial base, seasonal employment, a high percentage of families on minimum wage income, etc. The community assessment report should also identify community strengths, including unique community assets and resources which support specific approaches and partnerships. While the State Office of Economic Opportunity does not expect that each sub-grantee will be able to address all problems that are identified in the community assessment, the State

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expects that the detailed identification of those problems and community strengths will ensure: the appropriate targeting of resources; enable sub-grantees to design specific plans to address problems which build on community strengths; and ensure that the highest return possible is realized through the expenditure of federal funds. The State Office of Economic Opportunity requires an updated community assessment for each new program year.

2. Request for Work Plan

The State Office of Economic Opportunity has developed a Request for Work Plan package for distribution to all eligible entities currently operating programs under the CSBG Act. The Request for Work Plan outlines broad goals and the general activities allowed under the Act, and requires detailed sub-grantee responses delineating specific activities to be undertaken by the sub-grantees in their efforts to achieve the purposes of the Act. The Request for Work Plan will provide estimates of sub-grantee awards, and contains the following major components, outlined below:

Program Design

- a. Mission
- b. Community Assessment

ROMA Implementation Plan

- a. Indicators
- b. Targets
- c. Programs reporting

Management and Administration

- a. Board structure and composition
- b. Sub-grantee's organizational structure
- c. Job descriptions of employees funded with CSBG
- d. Operating procedure by which the sub-grantee identifies eligible clients
- e. Evaluation and control systems

Budget/Financial Management

- a. Line Item Budget
- b. Financial Management Plan

Assurances

Signed assurances relative to activities undertaken and expenditures incurred with CSBG

(The complete Request for Work Plan is included within this State Plan document.)

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3. Uses of the Request for Work Plan

a. U.S. Department of Health & Human Services - Annual Plan

Responses to the Request for Work Plan will be utilized in the preparation of the State's annual plan and application for funds under the CSBG program.

b. Vermont Office of Economic Opportunity - Grants for the Provisions of Services

Responses to the Request for Work Plan will be evaluated for technical quality, cost reasonableness and cost effectiveness, as well as for the potential of proposed activities to ameliorate the causes and effects of poverty. Only those proposals which meet all the requirements of the Request for Work Plan will be considered.

Once acceptable proposals have been evaluated, representatives of the prospective sub-grantees will be invited to negotiate a grant agreement based on the proposal submitted. The purpose of the negotiations is to arrive at a mutually-agreeable and cost-effective approach to meeting the requirements of the Request for Work Plan and the goals of the program.

Once agreement has been reached in regards to program approach and line item budgets, the State Office of Economic Opportunity will award grants.

V. STATE MONITORING OF PROGRAM

Consistent with the federal requirements in section 678B of the CSBG statute, The State of Vermont conducts monitoring of all CSBG Eligible Entities to determine whether eligible entities are meeting the performance goals, administrative standards, financial management requirements, and other requirements of the State.

Onsite Monitoring: The State Office of Economic Opportunity and The Agency of Human Services Audit Unit conducts the following reviews of all eligible entities:

- A full onsite review of each eligible entity at least once during each 3-year period. This onsite monitoring incorporates interviews with the Community Action Agency management, staff and board, review of back-up documentation, site inspection, review of client files, policies and procedures. The process utilizes the State of Vermont's CSBG Monitoring tool which contains 130 items dealing with Program Compliance, Board Governance, ROMA implementation and data quality, and Administrative Operations. The Agency of Human Services Audit Unit uses its financial monitoring tool which focuses on Fiscal Controls and Financial Procedures. Full CSBG audits and onsite monitoring are currently underway (July 2013) and will be completed by the end of August 2013. The dates of the last completed CSBG audits are:
 - BROCC – Community Action in Southwestern Vermont, August 24th and November 17th, 2010
 - Central Vermont Community Action Council, August 27th and September 16th, 2010
 - Champlain Valley Office of Economic Opportunity, August 18th and 25th, 2010
 - Northeast Kingdom Community Action, September 15th, 2010 with a required follow-up visit on March 9, 2011

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- Southeastern Vermont Community Action, August 31st and October 4th, 2010
- An onsite review of each newly designated entity immediately after the completion of the first year in which the entity receives funds through the community services block grant program.
- Follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State. The State Office of Economic Opportunity uses a risk-assessment procedure to determine if follow-up monitoring is indicated, and whether the next full monitoring visit is required in one, two or three years.
- Other reviews as appropriate, including reviews of entities with programs that have had other Federal, State, or local grants terminated for cause.

Additionally, the State Office of Economic Opportunity conducts off-site (desk monitoring) reviews of all eligible entities throughout the program year. This consists primarily of a review of financial and programmatic reports from eligible entities.

I. Reporting Requirements

a. Programmatic

- 1) Each Vermont Community Action Agency, in conjunction with the State Office of Economic Opportunity, has developed a client information system to collect and track data on programs operated, clients served, and outcomes achieved. Community Action Agencies will use the information systems to generate a demographic profile of clients served and the types of services provided. Summary reports on the number of, and characteristics of, clients served will be submitted to the State Office of Economic Opportunity on a quarterly basis, defined in the individual grant agreements with the local sub-grantees.
- 2) Programmatic reports, consisting of the agency's National Performance Indicator data, detailing the progress the Community Action Agency has made towards each of the Six National Goals, and a CSBG narrative in the format proscribed by the National Association for State Community Service Programs (NASCSPP), will be submitted by each Community Action Agency to the State Office of Economic Opportunity quarterly.

b. Financial

- 1) The State Office of Economic Opportunity has developed a financial report – Invoice/Financial Statement – which is designed to facilitate the reporting of financial data on a monthly and cumulative basis. This report form was designed to afford the State and the sub-grantees the capability to carefully monitor expenditures by comparing actual to projected expenditures as presented on the Monthly Expenditure Plan.

2. Utilization of Required Reports

Report forms have been designed to consolidate financial and programmatic information and to incorporate expenditure and service goals established by, and presented in, the grant agreements entered into between the State Office of Economic Opportunity and sub-grantees. This format presents a ready means of assessing grantee performance and further affords the capability of off-

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site financial monitoring which can identify individual sub-grantee(s) or specific sub-grantee expense accounts which should be subjected to on-site monitoring.

3. Regulations

The State Office of Economic Opportunity will develop no regulations or policies beyond those absolutely necessary to operate successfully with necessary program and fiscal accountability. Whenever possible, in addition to basic requirements contained in grant agreements between the State Office of Economic Opportunity and the sub-grantee, rules and policies will be issued in the form of numbered policy memoranda to all sub-grantees on an "as needed" basis with a timely effective date. The provisions of such memoranda will be binding for CSBG sub-grantees. The provisions of "Vermont CSBG Uniform Requirements for Grants and Agreements with Non-profit Organizations" and the "Vermont CSBG Cost Principles for Non-Profits" will apply to the administration of the program.

4. Audit Requirements

Any funds made available to the sub-grantees by the State Office of Economic Opportunity from the CSBG will be audited on an annual basis in accordance with the standards for Audit of Governmental Organizations, programs, Activities, and Functions, 1981 Revisions, and Guidelines for Financial and Compliance Audits of Federally Assisted programs, and OMB Circular A-133.

In accordance with Section 1745 of the OBRA of 1981, the State Office of Economic Opportunity shall enter into agreement with the office of the State Auditor or an independent CPA firm to conduct a financial and compliance audit of its administration of funds received under the CSBG in accordance with the General Accounting Office audit guide. Within 30 days after the completion of this audit, the Governor shall submit a copy of it to the State Legislature and to the Secretary of HHS.

5. State Responsibilities and Services

The State Office of Economic Opportunity is accountable to the Governor, Agency of Human Services Secretary, State Legislature, U.S. Department of Health and Human Services and the Congress for all aspects of grant management and program operation. Therefore, it will closely monitor program and fiscal management activities of its sub-grantees to ensure that services are being provided in an effective and efficient manner and that goals are being achieved.

Effective technical assistance and on-site monitoring can be accomplished through careful review and in-depth evaluation of fiscal and programmatic reports. Such analyses will identify any variance in planned progress toward the attainment of defined goals and will enable the State Office of Economic Opportunity to provide assistance or initiate the necessary action as necessary to remedy the situation. The Office of Economic Opportunity will provide a wide range of technical assistance to the sub-grantees to assist them in provision of services to clients.

Additionally, all eligible entities will receive on-site visits by Office of Economic Opportunity staff in order to conduct formal reviews of the sub-grantee's accounting system and procedures, personnel and travel policies, management systems and program activities in order to assure programmatic and

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management accountability.

Written reports detailing monitoring findings - both positive and negative - will be submitted to the Chief Administrator of the Office of Economic Opportunity. The Chief Administrator will, where appropriate and necessary, initiate corrective action measures detailing the specific steps that must be taken in order to achieve compliance with defined goals and standards. Such corrective measures will be communicated to the Executive Director of the particular agency, who will be responsible for implementing the required action.

VI. USE, SUSPENSION OR TERMINATION OF FUNDS

I. Use of Funds

Funds given to grantees pursuant to this plan must be used in furtherance of the goals and objectives set forth in Section II above and will be governed by a grant agreement between the State Office of Economic Opportunity and the sub-grantee as well as this plan and applicable law. The grant agreement shall be based on the sub-grantee's application for funding as approved. The Office of Economic Opportunity may condition the sub-grantee's receipt of the block grant funds on such terms as the State deems appropriate, provided the terms are consistent with and in furtherance of this plan and the Federal law governing CSBG.

A cash advance in an amount sufficient to fund one quarter's operation shall be made to each agency upon the effective date of the grant executed with the State Office of Economic Opportunity.

Subsequent transmittals of cash shall be made in quarterly payments, which may contain a blend of reimbursement and advance. In the event that a continuing resolution or similar action should delay the determination of the State's CSBG allocation, or temporarily restrict spending authority, the State Office of Economic Opportunity, may, at its discretion, amend this procedure to make monthly payments, or restrict payments to reimbursement of actual eligible costs up to a level specified in the Community Action Agency's approved monthly expenditure plan.

2. Local Sub-grantee Administration Costs

While there is no limitation on administrative expenditures at the local level imposed by the Act, such limitations may be imposed by applicable management circular of the Federal Office of Management and Budget. However, the State Office of Economic Opportunity expects agencies to establish reasonable levels of administrative cost.

Reasonable administrative costs will be determined through the process of grant negotiations, and expenditures will consequently be governed by the levels established by the grant.

3. Suspension or Termination of Funds

The State Office of Economic Opportunity may suspend funding to a sub-grantee if the agency fails to submit accurate reports on the dates the reports are required. Funding may also be suspended if monitoring reports or independent audit reports indicate substantial noncompliance with Federal legislation, program regulations, established State policy, grant requirements, generally accepted accounting procedures or fiscal control procedures.

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VII. PUBLIC PARTICIPATION

The State supports maximum feasible participation of all interested persons and groups in the development and implementation of CSBG programs at the state and local level, in an advisory capacity. Therefore, it expects local agencies to continue meaningful participation of the public, private and low-income sectors in the planning and operation of programs under the CSBG. Limited purpose sub-grantees and other interested parties are invited to attend the public and legislative hearings which will review this plan. In addition, copies of the plan will be available for public inspection from the State Office of Economic Opportunity.

VIII. PROVISION OF ASSURANCES

Public Law Citation: Community Services Block Grant Act, Title VI, Subtitle B, of the Omnibus Budget Reconciliation Act of 1981, P.L. 97-35; and Human Services Reauthorization Act of 1984, P.L. 98-558, P.L. 99-425, and P.L. 101-501, and P.L. 103-252; COATS Human Services Reauthorization Act of 1998, and the Omnibus Consolidated Appropriation Act of 2000, Public Law 106-113.

I. Certifications

The State of Vermont will use the funds available under the Community Services Block Grant to assure that, at its discretion and consistent with agreements with the State, each recipient of funds available under this subtitle will use such funds.

675(c)(1)(A) provide a range of services and activities having a measurable and potentially major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem;

675(c)(1)(B) provide activities designed to assist low-income participants including homeless individuals and families, migrants, and the elderly poor.

- (i) to secure and retain meaningful employment
- (ii) to attain an adequate education;
- (iii) to make better use of available income;
- (iv) to obtain and maintain adequate housing and a suitable living environment;
- (v) to obtain emergency assistance through loans or grants to meet immediate and urgent individual family needs, including the need for health services, nutritious food, housing and employment-related assistance;
- (vi) to remove obstacles and solve problems which block the achievement of self-sufficiency;
- (vii) to achieve greater participation in the affairs of the community; and
- (viii) to make more effective use of other programs related to the purpose of this subtitle;

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- 675(c)(1)(C) provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor;
- 675(c)(1)(D) coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals; and
- 675(c)(1)(E) encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community;
- 675(c)(2)(A) use, for FY85 and for each subsequent fiscal year, not less than 90 percent of the funds allotted to the State under Section 674 to make grants to use for the purpose described in clause (1) to eligible entities (as defined in Section 673(1) or to organizations serving seasonal or migrant farm workers, except that no more than 7 percent of the funds available for this sub-clause shall be granted to organizations which were not eligible entities during the previous fiscal year;

2. Assurances/Provisions to Ensure Compliance

Assurance: Section 675(c)(2)(B)

If less than 100 percent of the allotment is expended under subparagraph (A), provide assurances that with respect to the remainder of the allotment a reasonable amount shall be used for -

- (i) providing training and technical assistance to those entities in need of such assistance and such activities will not be considered administrative expenses;
- (ii) coordinating State-operated programs and services targeted to low-income children and families with services provided by eligible entities funded under this subtitle, including out posting appropriate State or local public employees into entities funded under this subtitle to ensure increased access to services provided by such State or local agencies;
- (iii) supporting statewide coordination and communication among eligible entities;
- (iv) Administrative expenses at the State level, including monitoring activities, but not more than the greater of \$55,000 or 5 percent of its allotment under section 674; and
- (v) considering the distribution of funds under this subtitle within the State to determine if such funds have been targeted to the areas of greatest need.

Provision:

Upon notification of its CSBG allocation, the State prepares a plan for the use and distribution of

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funds. The plan includes a formula for the distribution of funds to ensure funds have been targeted to areas of greatest need. The plan also includes a reserve **\$167,009** or 5 percent of the funds for the State's administration. All other funds are awarded for discretionary projects to eligible entities based on a grant proposal to this Office. Discretionary funds are used for: training of eligible entity staff and Boards, purchase of computer software to ensure accurate data and performance management, promising pilot demonstrations to promote the self-sufficiency of low income Vermonters through asset building strategies, assistance in the delivery of activities to promote economic opportunity for low income women and girls, and additional services to low income Vermonters.

In addition, the State Office coordinates and convenes various task forces and working groups to ensure communication among eligible entities and other State and local service providers. These include: homelessness, hunger and housing as well as asset development.

Assurance:

The State will provide assurances that (A) in the case of a community action agency or nonprofit private organization, each board will be selected by the community action agency or nonprofit private organization and constituted so as to assure that

- (i) one-third of the members of the board are elected public officials, currently holding office, or their representatives, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive public officials may be counted in meeting such one-third requirement;
- (ii) at least one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; and
- (iii) the remainder of the members are officials or members of business, industry, labor, religious, welfare, education, or other major groups and interests in the community, and

Provision:

In order to ensure that the board of directors of the Community Action Agencies are constituted in accordance with Section 675(c)(3), the Request for Work Plan package to which agencies must respond to receive funds includes a section that requires the names, addresses, and phone numbers of all board members and requires each Community Action Agency to specify the sector each represents (public, private, low-income) as well as the process used to ensure the election of the low-income representatives is in accordance with democratic principles. Additionally, each Community Action Agency is required to denote the offices held and by whom and committee assignments. Further, grants for the provision of services require that minutes of the board meetings be submitted to the Office of Economic Opportunity to allow for ongoing monitoring of this requirement.

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Assurance: Section 675(c)(4)

The State will give special consideration to the designation of local community action agencies under this subtitle to any community action agency which is receiving funds under any Federal anti-poverty program on the date of the enactment of the Act, except that (A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and (B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, the State shall give special consideration in the designation of community action agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds in the fiscal year preceding the fiscal year for which the determination is made.

Provision:

The State awards funds only to Community Action Agencies that were receiving funds under Federal anti-poverty programs on the date of enactment of the Act. The State plan for the distribution of funds, which is made available to the public and is subject to a public hearing, specifies the agencies eligible to receive funds.

Assurance: Section 675(c)(5)

The State will not transfer funds in excess of 5 percent of its allotment; if 5 percent of its allotment under Section 674 is transferred, it will be transferred for the provisions set forth in this subtitle to services under the energy crisis intervention program under Title XXVI of this Act (relating to low-income home energy assistance) or the Temporary Emergency Food Assistance Act of 1983.

Provision:

The CSBG Plan prepared by the State - and made available for public inspection and subject to public hearing - specifies that only 5 percent of the funds allocated to the State may be transferred as specified above. All other funds (amounts specified in the application and plan which are made available to the public) are allocated to Community Action Agencies, and other organizations and efforts intended to alleviate and reduce poverty.

Assurance: Section 675(c)(6)

Repealed by the Hatch Act Reform Amendments of 1994, P.L. 103-94.

Assurance: Section 675(c)(7)

The State will prohibit the use of any funds provided under this title for any activities to provide voters and prospective voters with transportation to the polls or to provide similar assistance in connection with an election or voter registration activity.

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Provision:

Grants for the provision of services contain a clause which prohibits the use of any funds provided under the CSBG for any political activities. Monitoring of Community Action Agencies' activities insures continued compliance.

Assurance: Section 675(c)(8)

The State will provide for coordination between anti-poverty programs in each community, where appropriate, with emergency crisis intervention programs under Title XXVI of this Act (relating to low income home energy assistance);

Provision:

The Grantee for funds under Title XXVI of the Act (relating to low income home energy assistance) provides funds to the CSBG grantee, which in turn awards funds to Community Action Agencies to provide outreach services to potential home energy assistance recipients, thus ensuring coordination between anti-poverty programs.

Assurance: Section 675(c)(9)

The State will provide fiscal control and will establish fund accounting procedures as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this subtitle including procedures for monitoring the assistance provided under this subtitle; and it will provide for an independent financial and compliance audit of this grant to meet the requirements as set out in Section 1745 of the Omnibus Reconciliation Act;

Provision:

The State financial system and fund accounting procedures provide strict controls that assure the proper disbursement and accounting for funds paid to the State under the Act. Community Action Agencies awarded funds are required to report on the expenditure of funds (including the amounts and purpose of the expenditures) on a monthly basis, thus allowing for ongoing monitoring of the use of the funds. Community Action Agencies are required to conduct an annual, agency-wide audit of all funds, and to submit those audits to the State.

Assurance: Section 675(c)(10)

The State will permit and cooperate with Federal investigations undertaken in accordance with Section 679 of this Act.

Provision:

The State will permit and cooperate with any federal investigations undertaken in accordance with

Community Services Block Grant

Section 679 of the Act. Grants for the provision of services contains a clause that specifies that all books, documents, accounting records, etc. pertinent to CSBG funds will be maintained and made available at reasonable times for the inspection by any authorized agent of the State or Federal government, thus insuring cooperation at all levels.

Assurance: Section 675(c)(II)

The State agrees to "provide assurances that any community action agency or migrant and seasonal farm worker organization which received funding in the previous fiscal year under the Act will not have its present or future funding terminated under this Act or reduced below the proportional share of funding it received in the previous year, unless after notice, and opportunity for hearing on the record, the State determines that cause existed for such termination or reduction subject to the procedures and review by the Deputy Secretary as provided in Section 676A."

- (A) For purposes of making a determination with respect to a funding reduction, the term "cause" includes:
- (i) a statewide redistribution of funds under this subtitle to respond to:
 - a. the results of the recently available census or other appropriate data;
 - b. the establishment of a new eligible entity;
 - c. severe economic dislocation; and
 - (ii) the failure of an eligible entity to comply with the terms of its agreement to provide services under this subtitle."
- (B) For purposes of making a determination with respect to a termination, the term 'cause' includes the material failure of an eligible entity to comply with the terms of its agreement and community action plan to provide services under this subtitle.

Provision:

All Vermont CSBG program operators are Community Action Agencies which received funding under the Act in the previous fiscal year. Only current CSBG program operators are recipients of the Request for Work Plan grant package for FY 2014, and all funds provided (except for State administration and the Discretionary pool) for the CSBG in FY 2014 and beyond will be obligated to these entities according to the 90 percent statutory rule. It is the State's intention to continue funding these agencies, provided that they meet the intent and requirements of the Act, grant obligations to the State, and comply with State and Federal laws and regulations, and Uniform Administrative Requirements prescribed by OMB.

All Community Action Agencies in Vermont that have received funds in the previous fiscal year will be notified as soon as practical, but no less than thirty days before the new fiscal year of status of funding for the upcoming fiscal year. If the State determines that for some substantiated reason

Community Services Block Grant

that a Community Action Agency is not meeting its grantee obligation, the State will notify the agency in writing of its determination and utilize the thirty day cancellation clause. This written notice will be the last resort after all reasonable attempts have been made to resolve and rectify the noncompliance.

The Community Action Agency has the right to appeal the cancellation of its CSBG grant agreement or failure to receive a new grant to the Vermont Agency of Human Services "Human Services Board" as described in Vermont Statutes Annotated, Title 3, Section 3090 and 3091. This provides for proper notice, the conducting of hearings and an appeal process.

The final termination of CSBG funds is subject to review by the Secretary as provided in Section 676A.

Additionally, the State assures that it will meet the requirements of Section 1742(a) and (b) as required in P.L. 97-35.

Assurance: Section 675(c)(12)

In the case of a State which applied for and received a waiver from the Deputy Secretary under Public Law 98-139 (Colorado, Utah, and Wyoming) "provide assurances that funds will not be provided under this subtitle (Community Services Block Grant Act) by such State to an organization to which such State made under this subtitle in fiscal year 1984 unless such organization allows, before expending such funds, low-income individuals to comment on the uses for which such organization proposes to expend such funds."

Assurance: Section 675(c)(13)

- (13) secure from each eligible entity as a condition to its receipt of funding under this Act a community action work plan (which shall be available to the Secretary for inspection) that includes –
- (A) a community needs assessment (including food needs);
 - (B) a description of the service delivery system targeted to low-income individuals and families in the service area;
 - (C) a description of how linkages will be developed to fill identified gaps in services through information, referral, case management, and follow-up consultations;
 - (D) a description of how funding under this Act will be coordinated with other public and private resources; and
 - (E) a description of outcome measures to be used to monitor success in promoting self-sufficiency, family stability, and community revitalization.

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Provision:

The Office of Economic Opportunity has developed the following Request for Work Plan package that is distributed to all eligible entities. The Request for Work Plan outlines broad goals and the general activities allowed under the Act, and require detailed sub-grantee responses which delineate specific activities to be undertaken by the sub-grantees in their efforts to achieve the purposes of the Act. All requirements of Section 675(c)(13) are met by this Request for Work Plan.

Community Services Block Grant

COMMUNITY SERVICES BLOCK GRANT
FY 2014 REQUEST FOR WORK PLAN
FOR THE PERIOD
OCTOBER 1, 2013 - SEPTEMBER 30, 2014

STATE OFFICE OF ECONOMIC OPPORTUNITY

103 SOUTH MAIN STREET

WATERBURY, VERMONT

05671-1801



Community Services Block Grant

I. INTRODUCTION

A. PROGRAM PURPOSE

The purpose of the Community Services Block Grant (hereinafter called CSBG) program is to ameliorate the causes and effects of poverty through the provision of a range of services and activities designed to have a measurable and potentially major impact on the causes of poverty in Vermont, especially in those communities where poverty is a particularly acute problem.

B. BACKGROUND INFORMATION

The State of Vermont accepted administrative responsibility for the CSBG as of October 1, 1981. The State Office of Economic Opportunity) was designated as the grantee for the CSBG program by the Governor.

Consistent with the intent of Congress in establishing block grants, the Department of Health and Human Services, Office of Community Services, imposed no requirements, restrictions or regulations other than those contained in the authorizing legislation. Of particular note with regard to the requirements contained herein, the State is required to:

"...provide that fiscal control and fund accounting procedures will be established as may be necessary to assure the proper dispersal of and accounting for Federal funds paid to the State under this subtitle, including procedures for monitoring the assistance provided under this subtitle..."

And the Reauthorization Act included the following:

"all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management System... ..for measuring performance and results and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

In the absence of specific requirements for the management of operations and the control of funds, the State has developed an administrative plan for the control of funds and activities that is consistent with sound management practices, while at the same time providing maximum flexibility to the operators of CSBG programs. The State is pleased with the progress made in the implementation of the CSBG by all parties involved and is confident that the systems developed provide, in large measure, the structure and procedures necessary to meet the requirements outlined above.

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C. PURPOSE OF THE REQUEST FOR WORK PLAN

The State is seeking a comprehensive program developed by the Community Action Agency to meet the purpose of the CSBG Act. The work plan allows for a clear presentation of the correlation between the agency plan and budgets; and allows for the development and presentation of performance indicators and outcome measures by which each agency will be able to monitor their progress toward the full implementation of Results Oriented Management and Accountability (ROMA) and attainment of the six National Anti-Poverty Goals. The Request for Work Plan package consists of the following major components:

- Program Design;
- ROMA Implementation Plan;
- Management and Administration;
- Budget/Financial Management; and
- Assurances.

1. Program Design

- a. Agency Mission: A brief description of the sub-grantee's mission. This statement includes a combination of basic assumptions about poverty causes and the sub-grantee's anti-poverty strategies to address these problems.
- b. FY 2014 Community Assessment: An assessment of community needs and strengths, involving the identification and ranking of poverty-related problems and existing community assets to address problems. It also involves the identification and prioritization of program strategies to address these problems.

2. Completed FY 2014 ROMA Implementation Plan

Since 2001, the Community Services Block Grant Act has required all CSBG eligible entities to participate in the Results-Oriented Management and Accountability (ROMA) system, and the State Office of Economic Opportunity expects Vermont's Community Action Agencies to be fully and actively engaged in the five-stage cyclical ROMA process of: Assessment; Planning; Implementation; Achievement of Results; and Evaluation. To be effective, this must be reinforced at all levels of the organization, including the board of directors. This strategic approach ensures that Community Action Agencies:

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- I. have a complete and current understanding of the type and scope of poverty problems in their local communities;
- II. plan their programming and initiatives to address those needs identified and can select metrics against which program effectiveness will later be tested as well as targets and benchmarks;
- III. operate programs that make full and strategic use of appropriate resources;
- IV. achieve, measure, and report on results in the form of progress made towards performance indicators and the national poverty goals; and
- V. can evaluate overall program effectiveness by analyzing data and comparing against targets and/or benchmarks.

The ROMA Implementation Plan is a management tool which encapsulates all five stages of the ROMA cycle. It provides for the planning; implementation; achievement of results; and evaluation sections of the agency's efforts toward each of the six National Goals during a given program year. Further, the data reported during the year feed into future community assessments, beginning the next ROMA cycle. The electronic document that the State of Vermont Office of Economic Opportunity uses for ROMA planning and reporting comports with the national template, identifies strategies to meet the national goals and utilizes outcome measures and performance indicators to measure progress toward those goals.

3. Management and Administration

- a. Description of the board structure and composition
- b. Description of the sub-grantee's organizational structure
- c. Job descriptions of employees funded with CSBG
- d. Description of the procedure by which the sub-grantee identifies eligible clients.
- e. Description of evaluation and control systems.

4. Budget/Financial Management

- a. Budget: While the level of funding is uncertain at this time, we are operating under the

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assumption of level funding from FFY 2013 *i.e.* \$3,340,193 for FY 2014 CSBG. The agency should develop a line item budget that reflects the CSBG contribution to operating programs based on the number specified in Section V, A, 2.

b. Financial Management: This narrative section contains a description of the mechanisms developed to assure compliance with Federal standards.

5. Assurances.

Responses by the Community Action Agency to the Request for Work Plan will include a signed list of Assurances which will delineate all necessary assurances relative to activities undertaken and the expenditures incurred with funds provided under the CSBG Act. These assurances will include:

- 1) that it will use funds granted as a result of the application to provide a range of services and activities having a measurable and potentially major impact on causes and effects of poverty in the area to be served;
- 2) that it will provide services and activities to remove obstacles and solve problems which block the achievement of self-sufficiency and other services and activities as appropriate to address identified causes and conditions of poverty;
- 3) that the Community Action Agency meets the requirements of Section 675(c)(3) of the Act relating to board composition. It must provide as an addendum to the application a current list of board members with the groups, organizations or sectors they represent;
- 4) that it will not undertake any political activities prohibited by the Act with these funds including, but not limited to, transportation of voters to the polls, voter registration activity, partisan political activity, or lobbying the congress;
- 5) that it will coordinate its activities with emergency Energy Crisis programs operated in the community pursuant to the Low-Income Home Energy Assistance Program;
- 6) that it will ensure that financial management systems utilize the standards prescribed in the "Vermont CSBG Uniform Requirements for Grants and Agreements with Non-profit Organizations".
- 7) that it will ensure the cooperation of staff and availability of all records, pertaining to the CSBG, to representatives of the State Office of Economic Opportunity, the office of the State Auditor and Federal officials charged with monitoring the use of the funds provided;

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- 8) that it will cooperate with Federal investigations undertaken in accordance with Section 679 of the Act;
- 9) that it will comply with the nondiscrimination provisions in Section 677 of the Act;
- 10) that it has adopted and implemented bylaws for itself and sub-grantee policies relative to travel, personnel and other areas as appropriate, consistent with Federal and State laws and regulations. The reimbursement rates for travel and related expenses will be set locally by the boards but may not exceed the State limits. Fiscal management policies and procedures must have been approved and be located in separate volume.

D. REPORTING REQUIREMENTS

Data collection involves the collection of information on; unduplicated number of persons served, number of households served, various demographic information, etc. that act as indicators of progress being made on various poverty programs and management functions. These data collection systems must be capable of providing all necessary data to this office.

Outcome measures and performance indicators are required by the Office of Community Services (OCS) and are now part of the CSBG statute. The required outcome measures and indicators were agreed upon between the state and the five Community Action Agencies. Additional agency-specific measures are encouraged.

Monitoring of the agency's operations involves evaluating the success made toward the National goals and the satisfaction of State requirements concerning management activities.

E. PROCESS

The agency's proposal will not be considered unless it complies with all requirements listed in this request. The acceptable proposal submitted will be negotiated by the staff at the State Office of Economic Opportunity. The purpose of the negotiations is to arrive at a mutually agreed upon approach to meeting the requirements of the CSBG Act in furthering its goals and purpose.

Successful negotiations will result in the award of a grant to be entered into between the State and the Community Action Agency for the provision of services under the CSBG.

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F. GENERAL INSTRUCTIONS

1. General Information: Section I (this section) is for information and assistance in preparing the work plan proposal.
2. Instructions for CSBG Work Plan: Sections II through V contain the specific instructions for completing the work plan proposals. The responses to these sections will comprise the actual work plan narrative and budget. Sections VI through IX contain attachments to be included in the work plan proposals.
3. Assembly of Application: Work Plan sections are listed below and should be specifically marked within the body of the proposal. Sections should be numbered using the following pagination format in the upper right corner of the document page:

Example: Agency Name, Date
 Section XXX
 Page X of X

Please include a list of attachments. To facilitate review and processing of the application, please assemble the materials as follows:

- Cover letter: Submit with the application and include the name(s) of the person to be contacted to answer questions and who will be negotiating the proposal.
- Section 1: Program Design
- Section 2: ROMA Implementation Plan (*submitted electronically in Excel*)
- Section 3: Management/Administration
- Section 4: Budget & Monthly Expenditure Plan (*submitted electronically in Excel*)
- Section 5: Financial Management Plan

Attachments:

- List of Attachments
- Signed Assurances (*Document provided – needs signature*)
- Reporting Requirements (*Document provided*)
- Allowable Activities (*Document provided*)
- Definitions and Conditions (*Document provided*)
- Board Roster
- Agency By-Laws

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- Job Descriptions for all positions funded in whole or in part with CSBG funds
- Indirect Cost Rate Agreement (if applicable)
- Community Assessment or Strategic Planning Documents
- Other Attachments (please specify in List)

DUE DATES

Proposals must be received by mail on or before August 23, 2013:

Sarah Phillips
State Office of Economic Opportunity
103 South Main Street
Waterbury, Vt. 05671-1801
sarah.phillips@state.vt.us

Electronic files are also required where noted above.

On or before August 30, 2013, the proposal will be reviewed by the Office of Economic Opportunity and on or before September 13, 2013 the Community Action Agency will meet with State Office of Economic Opportunity staff (if necessary) to review the proposal, suggest changes or make any other recommendations in order to fully understand the proposal and its goals.

All proposals will be either granted or denied by October 1, 2013. The award of funds is contingent upon a Congressional appropriation to operate the program.

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II. PROGRAM DESIGN

(NOTE: Submitted as Section 1)

A. Agency Mission

Provide a brief description of the agency's mission. This section should include the mission statement as well as a combination of basic assumptions about poverty causes and the agency's anti-poverty strategies to address these problems within the scope of the CSBG Act. The section should contain specific statements which provide information regarding:

1. An identification of the agency's target population.
2. The agency's identification of the causes of the problems with which the target population is confronted.
3. The strategies to be used to combat the particular causes.
4. The attributes you perceive to be inherent to those strategies which make them particularly well suited to the task.

B. FY 2014 Community Assessment

The community assessment involves the identification of the needs and strengths of the low income population and communities served. It involves the identification of strategies, which build on community strengths, to address these needs and issues and the CSBG Act poverty problem as identified in the CSBG Act. Because of the many and diverse community and municipal groups that are collecting data for various community/needs assessments; we are asking that you utilize those in your proposal, to the extent possible, rather than undertaking an in depth analysis on your own for the sole purpose of this proposal, unless your Agency has undergone strategic planning efforts that are more relevant to this proposal. In either case, please include the most recent community assessment or strategic planning documents, relative to your service area, that drives your plan.

Describe the process used to apply the needs and strengths, as identified in the community assessment, to the development of your plan to address poverty problems (below) within the six National Goals. The definition of poverty problems that will be used in the community assessment and work plan are based on the CSBG Act as amended 2000. The poverty areas identified in the law are:

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- I. Unemployment/Underemployment
- II. Inadequate Education
- III. Use of Available Income/Lack of Income
- IV. Inadequate Housing
- V. Inability to Meet Emergency Needs
- VI. Remove Obstacles and Solve Problems which block the Achievement of Self Sufficiency
- VII. Achieve Greater Participation in the Affairs of the Community
- VIII. Ineffective/Inefficient use of Available Programs
- IX. Starvation/Malnutrition
- X. Coordinate and Establish Linkages between governmental and other social services programs to ensure the effective delivery of such services to low income individuals: and
- XI. Encourage the use of entities in the Private Sector of the community in efforts to ameliorate poverty in the community.

Within this section, please identify any ways you will use funds to support innovative community and neighborhood-based initiatives relative to the purposes of CSBG.

III. FY 2014 ROMA IMPLEMENTATION PLAN

(NOTE: Submitted as Section 2, in the excel template provided)

With a completed community assessment, the development of the ROMA Implementation Plan is the next step. The poverty areas have been identified and developed for agency action. The ROMA Implementation Plan will be the implementation schedule/plan for addressing the concerns in this section.

The ROMA Implementation Plan is a comprehensive management plan which provides for the implementation of the Six National Anti-Poverty Goals within a broad framework of outcome measures and National Performance Indicators. The ROMA Implementation Plan involves three subsections:

- **Indicators:** A selection of indicators -- from the National Performance Indicators and any

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“agency-specific” indicators -- beyond the minimum required and agreed-upon Statewide Indicators (in blue). The Community Action Agency will continue to report on these indicators quarterly during the program year.

- **Targets:** The setting of annual performance targets. Please set these targets for ALL indicators that the agency will report on during the program year.
- **Programs:** A list of agency programs which will contribute data towards each Indicator during the program year. Please include on the supplemental “notes” tabs of the reporting spreadsheet.

Vermont’s eligible entities report quarterly outcome data to the Vermont Office of Economic Opportunity. Each entity reports on a minimum number of “common” indicators agreed upon by the State Office of Economic Opportunity and the Community Action Agencies. In addition, agencies choose additional performance indicators from the national list, and develop agency-specific indicators consistent with the Community Services Block Grant. Additional and agency-specific outcome measures will be identified by each eligible entity as part of their proposed Work Plan.

The State Office of Economic Opportunity will send an electronic template of the FY 2014 National Performance Indicators to all eligible entities in Vermont with the Request for Work Plan. Eligible entities will complete the template and return electronically to the State Office of Economic Opportunity by the Request for Work Plan due date as part of their proposed CSBG Work Plan. Each quarter, the Community Action Agency will submit their updated cumulative year-to-date data to the State Office of Economic Opportunity. These data will be aggregated by the Office of Economic Opportunity into a statewide report.

An example of Vermont’s FFY 2014 National Performance Indicators (NPI) template appears on the following pages.

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Part II: Community Action National Performance Indicators (NPI) FFY 2014

Agency Reporting:	Select From List
Reporting Period:	PROPOSAL showing selected Indicators & Targets

Goal 1: Low-income people become more self-sufficient.

National Performance Indicator 1.1		II.) Number of Participants Expected to Achieve Outcome In Reporting Period (Target)	III.) Number of Participants Achieving Outcome In Reporting Period (Actual)	IV.) Percentage Achieving Outcome In Reporting Period [III / II = IV]
Employment	I.) Number of Participants Enrolled in Program(s)	(#)	(#)	(%)
The number and percentage of low-income participants who get a job or become self-employed, as a result of Community Action Assistance, as measured by one or more of the following:				
A. Unemployed and obtained a job				#DIV/0!
B. Employed and maintained a job for at least 90 days				#DIV/0!
C. Employed and obtained an increase in employment income and/or benefits				#DIV/0!
D. Achieved "living wage" employment and/or benefits				#DIV/0!
<i>In the rows below, please include any additional indicators that were not captured above.</i>				
E. Low-income people who became self-employed.				#DIV/0!
				#DIV/0!
				#DIV/0!

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National Performance Indicator 1.2			
Employment Supports	I.) Number of Participants Enrolled In Program(s)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period	III.) Number of Participants Achieving Outcome in Reporting Period
The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:	(#)	(#)	(#)
A. Obtained skills/competencies required for employment			
B. Completed ABE/GED and received certificate or diploma			
C. Completed post-secondary education program and obtained certificate or diploma			
D. Enrolled children in before or after school programs			
E. Obtained care for child or other dependant			
F. Obtained access to reliable transportation and/or driver's license			
G. Obtained health care services for themselves or family member			
H. Obtained safe and affordable housing			
I. Obtained food assistance			
J. Obtained non-emergency LIHEAP energy assistance			
K. Obtained non-emergency WX energy assistance			
L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)			
<i>In the rows below, please include any additional indicators that were not captured above.</i>			

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National Performance Indicator 1.3 Economic Asset Enhancement and Utilization							
The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of Community Action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:		I.) Number of Participants Enrolled in Program(s)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual)	IV.) Percentage Achieving Outcome in Reporting Period [III / II = IV]	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings)	
		(#)	(#)	(#)	(%)	(\$)	
E N H A N C E M E N T	A. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits				#DIV/0!		
	B. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments				#DIV/0!		
	C. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings				#DIV/0!		
<i>In the rows below, please include any additional indicators that were not captured above.</i>							
	4. The number and percent of participants that received tax <u>refunds</u> , and the expected aggregated dollar amount.				#DIV/0!		
	5. The number and percent of participants that received <u>renters rebates</u> , and the expected aggregated dollar amount.				#DIV/0!		
	6. The number and percents of participants accessing business capital, and the aggregated dollar value.				#DIV/0!		
	7. The number and percent of participants in asset-development programs who increased their financial skills as determined by follow-up or pre/post testing.				#DIV/0!		
	8. The number and percent of participants in asset-development programs who improved their credit scores.				#DIV/0!		
					#DIV/0!		

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	National Performance Indicator 1.3 (Continued) Economic Asset Enhancement and Utilization	I.) Number of Participants Enrolled in Program(s) (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [III/ II = IV] (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
U T I L I Z A T I O N	D. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days				#DIV/0!	N/A
	E. Number and percent of participants opening an Individual Development Account (IDA) or other savings account				#DIV/0!	N/A
	F. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings				#DIV/0!	
	G. Number and percent of participants capitalizing a small business with accumulated IDA or other savings				#DIV/0!	
	H. Number and percent of participants pursuing post-secondary education with accumulated IDA or other savings				#DIV/0!	
	I. Number and percent of participants purchasing a home with accumulated IDA or other savings				#DIV/0!	
	J. Number and percent of participants purchasing other assets with accumulated IDA or other savings				#DIV/0!	
<i>In the rows below, please include any additional indicators that were not captured above.</i>						
					#DIV/0!	
					#DIV/0!	
					#DIV/0!	

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Goal 2: The conditions in which low-income people live are improved.

National Performance Indicator 2.1 Community Improvement and Revitalization Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:	I.) Number of Projects or Initiatives (#)	II.) Number of Opportunities and/or Community Resources Preserved or Increased (#)
A. Jobs created, or saved, from reduction or elimination in the community		
B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community		
C. Safe and affordable housing units created in the community		
D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy		
E. Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination		
F. Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination		
G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination		
H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation		
I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education		
<i>In the rows below, please include any additional indicators that were not captured above.</i>		
J. Number of full-time equivalent jobs (FTEs) created by Community Action MBDP.		

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National Performance Indicator 2.2	I.) Number of Program Initiatives or Advocacy Efforts	II.) Number of Community Assets, Services or Facilities Preserved or Increased
Community Quality of Life and Assets	(#)	(#)
The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by one or more of the following:		
A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets		
B. Increase in the availability or preservation of community facilities		
C. Increase in the availability or preservation of community services to improve public health and safety		
D. Increase in the availability or preservation of commercial services within low-income neighborhoods		
E. Increase in or preservation of neighborhood quality-of-life resources		
<i>In the rows below, please include any additional indicators that were not captured above.</i>		
F. Increase in the availability of fresh, nutritious food through: subsidized garden plots; distribution of vegetable gardening supplies & information; or farmer's market coupons.		

National Performance Indicator 2.3	I.) Total Contribution by Community
Community Engagement	(#)
The number of community members working with Community Action to improve conditions in the community.	
A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives	
B. Number of volunteer hours donated to the agency (This will be ALL volunteer hours)	

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Goal 3: Low-income people own a stake in their community.

<u>National Performance Indicator 3.1</u>	I.) Total Number of Volunteer Hours
Community Enhancement through Maximum Feasible Participation	(#)
The number of volunteer hours donated to Community Action.	(#)
A. Total number of volunteer hours donated by <u>low-income</u> individuals to Community Action (This is ONLY the number of volunteer hours from individuals who are low-income)	
<i>In the rows below, please include any additional indicators that were not captured above.</i>	

<u>National Performance Indicator 3.2</u>	I.) Number of Low-Income People
Community Empowerment through Maximum Feasible Participation	(#)
The number low-income people mobilized as a direct result of Community Action initiative to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:	(#)
A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts	
B. Number of low-income people acquiring businesses in their community as a result of Community Action assistance	
C. Number of low-income people purchasing their own home in their community as a result of Community Action assistance	
D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action	
<i>In the rows below, please include any additional indicators that were not captured above.</i>	
E. Number of low-income people <u>enhancing</u> businesses in their community as a result of Community Action assistance.	
F. Number of low-income people <u>expanding</u> businesses in their community as a result of Community Action assistance.	

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Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

National Performance Indicator 4.1		
Expanding Opportunities through Community-Wide Partnerships		
The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.	I.) Number of Organizations	II.) Number of Partnerships
	(#)	(#)
A. Nonprofit		
B. Faith Based		
C. Local Government		
D. State Government		
E. Federal Government		
F. For-Profit Business or Corporation		
G. Consortiums/Collaboration		
H. Housing Consortiums/Collaboration		
I. School Districts		
J. Institutions of post secondary education/training		
K. Financial/Banking Institutions		
L. Health Service Institutions		
M. State wide associations or collaborations		
In the rows below, please add other types of partners with which your CAA has formed relationships that were not captured above. <i>Please describe these partnerships in Goal 4 Notes.</i>		
N. The total number of organizations and total number of partnerships CAAs work with to promote family and community outcomes (automatically calculates)	0	0

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Goal 5: Agencies increase their capacity to achieve results.

National Performance Indicator 5.1	
Agency Development	
The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by <u>one or more</u> of the following:	I.) Resources in Agency
	(#)
A. Number of Certified Community Action Professionals	
B. Number of Nationally Certified ROMA Trainers	
C. Number of Family Development Certified Staff	
D. Number of Child Development Certified Staff	
E. Number of staff attending trainings	
F. Number of board members attending trainings	
G. Hours of staff in trainings	
H. Hours of board members in trainings	
In the rows below, please include any additional indicators that were not captured above. <i>Please describe these measures in Goal 5 Notes.</i>	

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Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

National Performance Indicator 6.1	I.) Number of Vulnerable Individuals Living Independently
Independent Living	
The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:	(#)
A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under Individuals with Disabilities, ages 55-over)	
B. Individuals with Disabilities	
Ages: 0-17	
18-54	
55-over	
Age Unknown	
TOTAL Individuals with disabilities (automatically calculates)	0
<i>In the rows below, please include any additional indicators that were not captured above.</i>	

National Performance Indicator 6.2	I.) Number of Individuals Seeking Assistance	II.) Number of Individuals Receiving Assistance
Emergency Assistance		
The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:	(#)	(#)
A. Emergency Food		
B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources		
C. Emergency Rent or Mortgage Assistance		
D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)		
E. Emergency Temporary Shelter		
F. Emergency Medical Care		
G. Emergency Protection from Violence		
H. Emergency Legal Assistance		
I. Emergency Transportation		
J. Emergency Disaster Relief		
K. Emergency Clothing		
<i>In the rows below, please include any additional indicators that were not captured above.</i>		
L. Other Housing Assistance (Persons who were homeless or at imminent risk of homelessness whose housing was stabilized through one or more of the following; fair housing assistance; landlord/tenant advocacy or education; case-management; housing search, etcetera.)		

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National Performance Indicator 6.3					
Child and Family Development					
The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:		I.) Number of Participants Enrolled in Program(s)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual)	IV.) Percentage Achieving Outcome in Reporting Period [III / II = IV]
		(#)	(#)	(#)	(%)
I N F A N T S & C H I L D R E N	A. Infants and children obtain age-appropriate immunizations, medical, and dental care				#DIV/0!
	B. Infant and child health and physical development are improved as a result of adequate nutrition				#DIV/0!
	C. Children participate in pre-school activities to develop school readiness skills				#DIV/0!
	D. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade				#DIV/0!
Y O U T H	E. Youth improve health and physical development				#DIV/0!
	F. Youth improve social/emotional development				#DIV/0!
	G. Youth avoid risk-taking behavior for a defined period of time				#DIV/0!
	H. Youth have reduced involvement with criminal justice system				#DIV/0!
	I. Youth increase academic, athletic, or social skills for school success				#DIV/0!
A D U L T S	J. Parents and other adults learn and exhibit improved parenting skills				#DIV/0!
	K. Parents and other adults learn and exhibit improved family functioning skills				#DIV/0!
<i>In the rows below, please include any additional indicators that were not captured above.</i>					
					#DIV/0!
					#DIV/0!
					#DIV/0!

VERMONT HUMAN SERVICES PLAN - FY 2014
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Community Services Block Grant

National Performance Indicator 6.4	I.) Number of Participants Enrolled in Program(s)	II.) Number of Participants Achieving Outcome in Reporting Period
Family Supports (Seniors, Disabled and Caregivers)		
Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:	(#)	(#)
A. Enrolled children in before or after school programs		
B. Obtained care for child or other dependant		
C. Obtained access to reliable transportation and/or driver's license		
D. Obtained health care services for themselves or family member		
E. Obtained and/or maintained safe and affordable housing		
F. Obtained food assistance		
G. Obtained non-emergency LIHEAP energy assistance		
H. Obtained non-emergency WX energy assistance		
I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)		

National Performance Indicator 6.5	I.) Number of Services
Service Counts	
The number of services provided to low-income individuals and/or families, as measured by one or more of the following:	(#)
A. Food Boxes	
B. Pounds of Food	
C. Units of Clothing	
D. Rides Provided (if your agency provides transportation)	
E. Information and Referral Calls	

Community Services Block Grant

IV. MANAGEMENT AND ADMINISTRATION

(NOTE: Submitted as Section 3)

A. Board Operations

1. Describe the composition of your agency's board of directors (i.e., private sector, public sector, low-income representative) including total membership and number of representatives from each sector. Describe the manner in which representatives are selected.
2. Provide a board roster with: names, addresses and phone numbers of current members and indicate which sector each represent. Also include the dates of each board member's term of office. Indicate the current chairperson. Indicate each member's committee responsibilities.
3. Provide the bylaws.
4. Describe the board's function, frequency of meetings of the general assembly and frequency of committee meetings.

B. Organizational Structure:

Provide a detailed description of the agency's internal organizational structure, i.e. divisions, departments, units, as appropriate. Explain the function of each division and its staffing pattern.

C. Job Descriptions

Attach job descriptions for all positions funded in whole or in part with CSBG funds.

D. Operating Procedures

1. Describe the procedure your agency uses to identify eligible clients.
2. Provide a description of the methods your agency uses to control CSBG eligible applications, to control applications which are not CSBG eligible but, applicants who are eligible for other agency programs and how you control applications completed by applicants who are not eligible to receive service under any agency-sponsored program.
3. Describe your agency's policy with respect to those applicants who are members of minority populations.
4. Describe the system your agency utilizes to ensure that client needs have been met.

E. Evaluation and Control Systems:

Community Services Block Grant

1. Provide a description of the system you will use to perform an ongoing evaluation of the effectiveness of programs and activities operated under the CSBG.
2. Describe how you use ROMA measures to evaluate the effectiveness of the Agency in meeting the national goals, including program and or board involvement and frequency of review.

V. BUDGET/FINANCIAL MANAGEMENT

A. Budget (NOTE: Submitted as Section 4)

Based on the following, prepare a line item budget for the planned expenditure of federal funds. This budget should total the figure below (IV,A,2) and should not include any anticipated agency carry-forward from the previous fiscal year.

1. General

In the absence of firm budget figures, we are proceeding on the assumption that the State's award will be level-funded at **\$3,340,193**. Allocations to Vermont's five Community Action Agencies have been developed by applying the State Office of Economic Opportunity allocation formula to the 90% statutory pass-through of **\$3,006,174**.

The budget developed for this proposal should be developed in such a way that if Congress significantly alters the level of funds, the agency can amend its work plan with the least amount of disruption to the provision of services as possible. Following are the Anticipated Grant Awards Amounts:

2. CSBG Allocations - Anticipated Award Amounts

BROC	\$535,439
CVCAC	\$572,161
CVOEO	\$880,377
NEKCA	\$551,208
SEVCA	\$466,989

3. Specific Budget Instructions

a. Cost Categories: The cost categories to be used in preparing your budget are Administration and Program Operations. The cost categories should be further divided into Personnel and Operating (all non personnel costs) components. **To facilitate desk reviews, these cost categories must remain consistent between Document C "Budget"; Document B "Monthly Expenditure Plan"; Document CSBG-0001 "invoice/financial statements"; and any proposed budget modification documents. Budget documents not submitted in this**

Community Services Block Grant

format may be rejected.

b. **Administration:** No limitations are imposed with regard to amounts allocable for administrative expenses; however, administrative expenses should be maintained at the lowest level possible that will ensure the implementation of efficient operations.

c. **Audit:** The agency is to conduct its own audit of its CSBG funds in conformance with OMB Circular A-133. The estimated cost of the audit shall be a separate item within the budget.

d. **Indirect Costs:** Agencies that have an approved indirect cost rate must include a copy of the Indirect Cost Negotiation Agreement entered into with the cognizant federal agency.

B. Financial Management (*NOTE: Submitted as Section 5*)

To ensure the proper management of federal grant funds, the State requires the Community Action Agency to develop a financial management plan that adopts and assures compliance with the Vermont CSBG Uniform Requirements for Grants and Agreements with Nonprofit Organizations.

Also, provide a general description of your agency's finance department and identify key personnel and their responsibilities. Also describe the relationship between your agency's central administrative office and satellite/field offices, relative to financial transactions.

Describe the system of internal controls established with respect to the following areas of financial operations:

1. **Cash Receipts:** CSBG cash advances and other CSBG related receipts, if appropriate. Discuss the process for recording receipt, verifying relationship between check amount remittance voucher, timing of bank deposit, position responsible for making deposit, etc.
2. **Cash Payments:** Provide a description of the process whereby payments for goods and services are initiated, including documentation required to make payment, positions authorized to sign checks and the number of signatures required to validate checks.
3. **Bank Reconciliations:** Describe the procedure utilized to compare cash recorded, per the accounting records, with cash reported by the bank. Note the frequency with which bank reconciliations are conducted and indicate the position responsible for ensuring the process is completed.
4. **Payroll System:** Describe the items of control (i.e., time sheets) and procedure utilized (i.e., supervisory review/signature) to ensure the validity and accuracy of payments under the payroll system.

Community Services Block Grant

VI. COMMUNITY ACTION AGENCY ASSURANCES

(Include signed page with submission)

1. that it will use funds granted as a result of the application to provide a range of services and activities having a measurable and potentially major impact on causes and effects of poverty in the area to be served;
2. that it will provide services and activities to remove obstacles and solve problems which block the achievement of self-sufficiency and other services and activities as appropriate to address identified causes and conditions of poverty;
3. that the Community Action Agency meets the requirements of Section 675(c)(3) of the Act relating to board composition. It must provide as an addendum to the application a current list of board members with the groups, organizations or sectors they represent;
4. that it will not undertake any political activities prohibited by the Act with these funds including, but not limited to, transportation of voters to the polls, voter registration activity, partisan political activity, or lobbying the congress;
5. that it will coordinate its activities with emergency Energy Crisis programs operated in the community pursuant to the Low-Income Home Energy Assistance Program;
6. that it will ensure that financial management systems utilize the standards prescribed in the "Vermont CSBG Uniform Requirements for Grants and Agreements with Non-profit Organizations".
7. that it will ensure the cooperation of staff and availability of all records, pertaining to the CSBG, to representatives of the State Office of Economic Opportunity, the office of the State Auditor and Federal officials charged with monitoring the use of the funds provided;
8. that it will cooperate with Federal investigations undertaken in accordance with Section 679 of the Act;
9. that it will comply with the nondiscrimination provisions in Section 677 of the Act;
10. that it has adopted and implemented bylaws for itself and sub-grantee policies relative to travel, personnel and other areas as appropriate, consistent with Federal and State laws and regulations. The reimbursement rates for travel and related expenses will be set locally by the boards but may not exceed the State limits. Fiscal management policies and procedures must have been approved and be located in separate volume.

Signature, Executive Director _____

Date _____

Print Name _____

Community Services Block Grant

VII. CSBG REPORTING REQUIREMENTS

(Include with submission)

<u>CSBG Report</u>	<u>Due Date</u>
CSBG-0001 Invoice/Financial Statement	Monthly, due at State Office of Economic Opportunity the 15 th of the month following the report month.
CSBG-0002 Request for Cash Advance	Quarterly, due at State Office of Economic Opportunity the 15 th of the month, following the report period.
General Client/Services Report From Tracker, OCTOPIA, CSST or similar	Quarterly, due at State Office of Economic Opportunity the 30 th of the month, following the report period.
Agency National Performance Indicators. Reporting on Agency progress made toward the six National Goals.	Quarterly, due at State Office of Economic Opportunity the 30 th of the month, following the report period.
CSBG narrative highlighting agency programs or initiatives in format specified by NASCSP and the Vermont Office of Economic Opportunity.	Quarterly, due at State Office of Economic Opportunity the 30 th of the month, following the report period.

The reporting system will start anew on October 1, 2013.

All CSBG clients will require new intakes or recertification to certify eligibility for FFY 2014.

----- *End of Request for Work Plan* -----

VERMONT HUMAN SERVICES PLAN - FY 2014
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Community Services Block Grant

CSBG BUDGET SUMMARY

<u>Use of Funds by Community Action Agency</u>	FFY '11 (Actual)	FFY '12 (Actual)	FFY '13 (Estimated)	FFY '14 (Proposed)
BROC – Community Action In Southwestern Vermont	\$ 580,145	\$ 570,900	\$ 542,439	\$ 535,439
Central Vermont Community Action Council Inc.	\$ 619,933	\$ 699,611	\$ 582,661	\$ 572,161
Champlain Valley Office of Economic Opportunity Inc.	\$ 953,883	\$ 957,182	\$ 887,377	\$ 880,337
Northeast Kingdom Community Action Inc.	\$ 597,231	\$ 587,713	\$ 558,208	\$ 551,208
Southeastern Vermont Community Action Inc.	<u>\$ 505,981</u>	<u>\$ 522,701</u>	<u>\$ 473,989</u>	<u>\$ 466,989</u>
Community Action Agency Total	\$3,257,173	\$ 3,338,107	\$ 3,044,674	\$ 3,006,174
State Administration	\$ 175,398	\$ 178,070	\$ 167,009	\$ 167,009
Discretionary Grants	\$ 75,399	\$ 45,229	\$ 128,510	\$ 167,010
Total Federal Funds	\$3,507,970	\$ 3,561,406	\$ 3,340,193	\$ 3,340,193
FFY 2011	\$ 3,507,970			
FFY 2012		\$ 3,561,406		
FFY 2013			\$ 3,340,193	
FFY 2014				\$3,340,193

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

ABBREVIATED PLAN (Detailed Plan Required Every Three Years)

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2014

GRANTEE STATE of VERMONT

EIN: 1-036000274-A8

ADDRESS 103 South Main Street

Waterbury, VT 05671-5501

NAME OF LIHEAP COORDINATOR Richard Moffi, Fuel Assistance Program Chief

EMAIL: richard.moffi@state.vt.us

TELEPHONE: 802-769-6448 FAX: 802-769-2186

PLEASE CHECK ONE: TRIBE _____ STATE X INSULAR AREA _____

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20447

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
Expiration Date: 09/30/2011

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)
Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Assurances

The State of Vermont agrees to:
(Grantee Name)

(1) use the funds available under this title to--

(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);

(B) intervene in energy crisis situations;

(C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and

(D) plan, develop, and administer the State's program under this title including leveraging programs,

and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) make payments under this title only with respect to--

(A) households in which one or more individuals are receiving--

(i) assistance under the State program funded under part A of title IV of the Social Security Act;

(ii) supplemental security income payments under title XVI of the Social Security Act;

(iii) food stamps under the Food Stamp Act of 1977 as amended; or

(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of--

(i) gross income in an amount equal to 185 percent of the 2012 federal poverty level guidelines for seasonal fuel assistance;

(ii) gross income in an amount equal to 200 percent of the 2012 federal poverty level guidelines for crisis fuel assistance; and

(iii) based on household size for seasonal and crisis assistance incomes shall not exceed maximums established by LIHEAP; and

except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that—

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

(A) notify each participating household of the amount of assistance paid on its behalf;

(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that,

(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and

(B) the State will treat owners and renters equitably under the program assisted under this title;

(9) provide that--

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and

(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.

(15) * beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

*** This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.**

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

Certification to the Assurances: As Chief Executive Officer, I agree to comply with the sixteen assurances contained in Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended.* By signing these assurances, I also agree to abide by the standard assurances on lobbying, debarment and suspension, and a drug-free workplace.

Signature of the Tribal or Board Chairperson or Chief Executive Officer of the State or Territory.**

Signature: 

Title: Dixie Henry, Deputy Secretary, Vermont Agency of Human Services

Date: 8/21/13

*** Indian tribes/tribal organizations, and territories with annual regular LIHEAP allotments of \$200,000 or less, are not subject to assurance 15, and thus must only certify to 15 assurances.**

**** If a person other than the Chief Executive Officer of the State or territory, or Tribal Chairperson or Board Chairperson of a tribal organization, is signing the certification to the assurances, a letter must be submitted delegating such authority. (PLEASE ATTACH DELEGATION of AUTHORITY.) The delegation must include authority to sign the assurances, not just to administer the program.**

***** HHS needs the EIN (Entity Identification Number) of the State, territory or Tribal agency that is to receive the grant funds before it can issue the grant.**

In the above assurances which are quoted from the law, "State" means the 50 States, the District of Columbia, an Indian Tribe or Tribal Organization, or a Territory; "title" of the Act refers to Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), as amended, the "Low Income Home Energy Assistance Act"; "section" means Section 2605 of OBRA; and, "subsection" refers to Section 2605(b) of OBRA.

VERMONT LIHEAP Block Grant	FFY2012 <u>Actual</u>	FFY2013 <u>Estimated</u>	FFY2014 <u>Proposed</u>
<u>Goal #1</u>			
Home heating energy cost supplement to needy low income households, including the use of program funds for services to inform and assist persons to apply.	\$15,751,526	\$15,697,000	\$13,882,000
<u>Goal #2</u>			
Home heating crisis assistance for Low income needy households, Including the use of program funds for services to inform and assist persons to apply and resolve crisis situations.	\$3,992,152	\$2,821,000	\$2,000,000
<u>Goal #3</u>			
Administrative expense containment Within the 10% maximum allowed.	\$1,952,915	\$1,867,000	\$1,699,000
Transfer to Weatherization	\$ - 0 -	\$ - 0 -	\$ - 0 -
Source of Funds			
LIHEAP Block Grant Award	\$19,529,156	\$18,229,732	\$16,990,000
Supplemental LIHEAP Award	\$ -0-	\$ - 0 -	\$ - 0 -
LIHEAP Leverage Award	\$ - 0 -	\$111,399	\$ - 0 -
Total LIHEAP Spending:	\$21,696,593	\$20,385,000	\$17,581,000

NOTES:

- 1 + 2 + 3 + Wx = Total Spending. Total Spending may not equal the listed "Source of Funds" as the Source list does not include prior year's carryover and other LIHEAP funds not listed.
- The source of funds are Federal LIHEAP dollars only – State funds are not included.

Vermont Contact Person: Richard Moffi, Fuel Assistance Program Chief 802-769-6448

**MATERNAL AND CHILD
HEALTH SERVICES
BLOCK GRANT**

VERMONT HUMAN SERVICES PLAN - FY 2014

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Maternal and Child Health Services Block Grant

STATEMENT OF ASSURANCES/CERTIFICATION

In accordance with Section 505 (2) of the Maternal and Child Services Block Grant Act, the State of Vermont makes the following assurances and certifications thereto:

- A. the State of Vermont will provide a fair method for allocating funds allotted to the State under this title among such individuals, areas, and localities identified as needing maternal and child health services and the State will identify and apply guidelines for the appropriate frequency and content of, and appropriate referral and follow-up with respect to, health care assessments and services financially assisted by the State under this title and methods for assuring quality assessments and services;
- B. funds allotted to Vermont under this title will only be used, consistent with section 508, to carry out the purposes of this title or to continue activities previously conducted under the consolidated health programs;
- C. Vermont will use:
 - (i) a substantial proportion of the sums expended by the State for carrying out this title for the provision of health services to mothers and children, with special consideration given, where appropriate, to the continuation of the funding of special projects in the State previously funded under this title (as in effect before the date of the enactment of the Maternal and Child Health Services Block Grant Act), and
 - (ii) a reasonable proportion (based upon the State's previous use of funds under this title) of such sums will be used to carry out the purposes described in paragraphs (1) through (3) of section 501 (a);
- D. any charges imposed for the provision of health services assisted by the State under this title, (i) will be pursuant to a public schedule of charges; (ii) will not be imposed with respect to services provided to low income mothers or children, and (iii) will be adjusted to reflect the income, resources, and family size of the individual provided the services; and

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Maternal and Child Health Services Block Grant

- E. The Vermont State Department of Health, as principal agencies' administering agency, will participate --
- (i) in the coordination of activities between such program and the early and periodic screening diagnosis and treatment program under Title XIX to ensure that such programs are carried out without duplication of effort,
 - (ii) in the arrangement and carrying out of coordination agreements described in section 1902(a) (11) (relating to coordination of care and services available under this title and Title XIX), and
 - (iii) in the coordination of activities within the State with programs carried out under this title and related Federal grant programs (including supplemental food programs for mothers, infants, and children, related education programs, and other health developmental disability, and family planning programs).

Vermont achieves maximum coordination by having the Department of Health administer both the EPSDT and WIC programs and serves as the grantee for the family planning program.

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Maternal and Child Health Services Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #1</u> Component A: preventive and primary care services for pregnant women, mothers, and infants up to age one.	\$ 143,832	\$ 373,529	\$ 373,529

APPROPRIATION: Public Health

<u>Goal #2</u> Component B: preventive and primary care services for children.	\$2,266,065	\$2,800,468	\$2,800,468
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APPROPRIATION: Public Health

<u>Goal #3</u> Component C: family-centered, community based, coordinated care for children with special health care needs and the development of community-based systems of care for children with special health care needs and their families.	\$2,059,802	\$1,357,885	\$1,357,885
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APPROPRIATION: Public Health

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Maternal and Child Health Services Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FY'13 Estimated</u>	<u>FFY'14 Proposed</u>
Less: Medicaid Receipts	\$-1,058,956	\$-1,022,580	\$-1,022,580
Less: MOE	\$ -167,092	\$ -167,092	\$ -167,092
Total Expenditures:	\$ 3,243,651	\$ 3,342,210	\$ 3,342,210
Federal MCH Block	\$ 1,683,958	\$ 1,676,345	\$ 1,676,345
State Share	<u>\$ 1,559,693</u>	<u>\$ 1,665,865</u>	<u>\$ 1,665,865</u>
Total	\$ 3,243,651	\$ 3,342,210	\$ 3,342,210

Block Grant Awards

FFY 2011	\$1,684,954
FFY 2012	\$1,676,345
FFY 2013	\$1,676,345
FFY 2014	\$1,676,345

Title V Plan submitted to the Maternal and Child Health Bureau
on July 15, 2013

Copies furnished upon request.

**PREVENTIVE HEALTH AND
HEALTH SERVICES
BLOCK GRANT**

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The State of Vermont, Agency of Human Services, under Section 1905 of the Public Health Service Act:

- A. Agrees to use the funds allocated only as described under Section 1904 (a) (1)(A)-(F).
- B. Agrees to submit a State Plan as described under Section 1905 (b) (1) - 6 (B).
- C. Certifies that the Chief Health Officer of the state will conduct public hearings on the plan in a manner that facilitates comment from public and private entities.
- D. Agrees that any revisions made to the state plan will be presented in public hearings and will submit a description of the revisions to the Secretary (CDC).
- E. Agrees that an advisory committee will be established to develop a plan authorizing activities to be carried out with payment made to the state under Section 1903. This committee will be comprised of members representing the general public and local health services.
- F. Agrees to collect and report data in accordance with Section 1906 to measure the extent of progress being made toward improving the health status for each population through the use of applicable uniform data sets and data items developed by the Deputy Secretary.
- G. Agrees to maintain state expenditures for such activities at a level not less than the average level of such state expenditures for the 2-year period proceeding the fiscal year for which the state is applying to receive payments under Section 1903.
- H. Agrees to establish reasonable criteria to evaluate effective performance of entities receiving funds, and agrees to develop procedures for procedural and substantial independent state review of the failure by the state, to provide funds to any such entity receiving funds from the Preventive Health and Health Services Block Grant.
- I. Agrees to permit and cooperate with federal investigations undertaken in accordance with Section 1907.
- J. Agrees to have in effect a system to protect from inappropriate disclosures patient and sex offense victim records maintained by the state in connection with an activity funded under this part or by any entity receiving payments from the allotment of the state under this part.
- K. Agrees to provide participation and review opportunity by the officer of state government responsible for administration of the state highway safety program in the development of any state plan relating to emergency medical services as such plan relates to highway safety.

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<u>Use of Funds by Goal or Priority Area</u>	<u>FFY'12 Actual</u>	<u>FY'13 Estimated</u>	<u>FY'14 Proposed</u>
<p><u>Town Health officer Education</u> To continue to build a series of training modules through which Town Health Officers can increase their knowledge and skills about environmental health hazards with an emphasis on rental housing inspections and healthy home topics. Approp: Public Health</p>	\$ 54,668	\$ 91,481	\$ 91,481
<p>Obesity Prevention To support systematic policy and environmental change for nutrition and physical activity in a school setting. Approp: Public Health</p>	\$ 57,690	\$30,000	\$30,000
<p>EMS Training To train and support new Emergency Medical Services Instructor Coordinators, increasing our EMS capacity across the state. Approp.: Public Health</p>	\$ 66,998	\$30,000	\$30,000

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<u>Use of Funds by Goal or Priority Area</u>	<u>FFY'12 Actual</u>	<u>FY'13 Estimated</u>	<u>FY'14 Proposed</u>
<u>Sexual Assault Prevention</u> To fund the Sexual Assault Nurse Examiner (SANE) Program to provide assistance and support to victims of sexual assault at VT hospitals and to support the ongoing prevention of sexual violence in schools.	\$23,318	\$19,000	\$19,000
Immunization To support high levels of Immunization Approp: Public Health	\$ 0	\$ 8,168	\$ 8,168
 Total Expenditures-Gross	 \$202,664	 \$178,649	 \$178,649

Source of Funds

PHHS Block	\$202,664	\$178,649	\$178,649
State General Funds	\$ 0	\$ 0	\$ 0
Total	\$ 202,664	\$ 178,649	\$ 178,649

Block Grant Awards

FFY 2011	\$204,926
FFY 2012	\$202,664
FFY 2013	\$178,649
FFY 2014	\$178,649

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Please note: The PHHS Block Grant was not included in the President's Budget Request for **FFY14**. If Congress nonetheless continues funding for this Block Grant, the information shown above will be a placeholder for our **FFY 14** application.

PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT

**If the program continues into FY14, the application document will be submitted via
electronic filing.**

SOCIAL SERVICES

BLOCK GRANT

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Social Services Block Grant

The Agency of Human Services maintains the authority and responsibility for:

- the State Plan;
- the services plan;
- the projection of estimated expenditures;
- the accountability for federal funds;
- the establishing and maintaining of standards for the determination of eligibility;
- the administration or supervision of the administration for the provision of services;
- operating the program on a statewide basis;
- complying with any program reporting requirements;
- maintaining a working relationship between the state and the Deputy Secretary; and
- overall supervision, control, and oversight of block grant activities.

SERVICE PLAN

Before the beginning of each fiscal year, the Agency of Human Services makes public a report or plan on the intended use of block grant funds. Services are described and the characteristics of individuals to be served are described.

Neither the law implementing this block grant nor HHS regulations dictate details of how the state should operate its program. Nor are "assurances" required as to standards and practices the state will maintain in the program. Therefore, the parts of this document dealing with the Social Services Block Grant are not for the purpose of meeting specific regulations, but rather are for the purpose of explaining how the Social Services Block Grant will be administered in Vermont. The State of Vermont will not provide any services specifically prohibited by statute.

AMENDMENTS TO THE PLAN

Substantial changes to the plan during the course of the year will be made public. Substantial changes are defined as follows:

- Discontinuation of Block Grant funding for a service.
- Changes in eligibility or funding that are expected to result in an increase or decrease in persons served.
- Significant change in what is being provided through a service
- Increase or decrease in client fees.
- Other changes considered significant in judgment of State Block Grant Manager.

Social Services Block Grant

AUDIT

The Agency of Human Services has contracted with an independent auditing agency to audit expenditures made under Social Services Block Grant as required by 45 CFR 96.31.

When eligibility for service is based on gross monthly income, the size of family and total income must be considered even though only one individual of the family may be applying for the service. Vermont's definition of family size is "the basic family unit consisting of one or more adults and children, if any, related by blood, marriage, or adoption, and residing in the same household." Where related adults other than spouses or unrelated adults reside together, each adult is considered a separate family. Children living with non-legally responsible relatives, emancipated minors (individuals under age 18 who are physically and economically removed from their family) and children living under the care of unrelated persons, are also considered one-person families.

The definition of gross monthly income is the monthly sum of income received by an individual from the following sources: money, wages or salary; net income from self-employment; Social Security; dividends and interest on savings or bonds; income from estates or trusts; net rental income or royalties; public assistance or Welfare payments; pensions and annuities; unemployment compensation; worker's compensation; alimony; child support; and Veteran's benefits.

How to Know if you are Eligible for "Block Grant" Services

- If you are currently receiving ANFC or SSI you are income eligible for all services listed in this document.
- If you are in need of protection from others or yourself, you may be eligible, without regard to income, for counseling and intervention, child care, and legal services.
- Anyone who requests and is determined eligible for services offered by the Child Welfare and Youth Justice.
- If you need family services, you may receive them without regard to income. Depending on your net income, you may be required to pay a fee according to Fee Schedule D.
- If you are developmentally delayed, you are eligible for Assessment Placement and Monitoring Services.
- If your gross monthly income does not exceed those on Table A you are eligible for adoption, counseling and intervention for the elderly, personal services, residential treatment for the handicapped or disabled.

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Social Services Block Grant

FEE SCHEDULE D

FOR FAMILY PLANNING ONLY

All individuals voluntarily requesting service will be served. Most will be required to pay part of the service cost according to Fee Schedule D.

Family Size	Weekly Income as Percent of Federal Poverty Level				
	<100%	101-125%	126-250%	251-500%	>500%
1	165	206	413	826	827+
2	223	279	558	1,116	1,117+
3	281	352	703	1,407	1,408+
4	339	424	849	1,697	1,698+
5+	398	497	994	1,988	1,988+

Service	Co-payment				
Office Visit, Limited	0	16	23	32	84
Office Visit, Comprehensive	0	29	42	53	170
Office Visit, Prevention	0	29	42	53	153
Influenza Shot	4	5	5	10	20

Social Services Block Grant
TABLE C

CHILD CARE FEE SCHEDULE

The following eligibility and fee schedule allows a 100% subsidy of the State established rate for all eligible families with gross monthly income at or below the levels given in Line #1. It allows partially subsidized child care services to all other eligible families with gross monthly incomes below the levels given in Line #24.

Eligible families who receive partially subsidized child care services pay any remaining fee directly to their child care provider(s).

CHILD CARE SUBSIDY SUPPORT BASED ON GROSS MONTHLY INCOME
 BY FAMILY SIZE

Percent of Subsidy paid by State	2-3 fewer	4	5	6 + Family Size		
Line 1	100%	1157	1392	1627	1862	100% poverty
Line 2	99%	1193	1436	1678	1921	
Line 3	98%	1230	1480	1730	1980	
Line 4	97%	1267	1524	1782	2040	
Line 5	96%	1303	1568	1834	2099	
Line 6	95%	1352	1628	1903	2179	
Line 7	90%	1419	1709	1998	2288	
Line 8	85%	1487	1789	2092	2396	
Line 9	80%	1560	1878	2196	2515	
Line 10	75%	1633	1966	2299	2633	
Line 11	70%	1706	2055	2403	2752	
Line 12	65%	1780	2143	2506	2871	
Line 13	60%	1853	2231	2610	2989	
Line 14	55%	1926	2320	2713	3108	
Line 15	50%	2000	2408	2817	3227	
Line 16	45%	2073	2497	2920	3345	
Line 17	40%	2146	2585	3024	3464	
Line 18	35%	2220	2673	3127	3583	
Line 19	30%	2293	3762	3231	3702	
Line 20	25%	2366	2850	3334	3820	82.5% SMI
Line 21	20%	2439	2939	3438	3939	
Line 22	15%	2513	3027	3541	4058	
Line 23	10%	2586	3115	3645	4176	

Federal Poverty and State Median Income are based on 1999 figures.
 Child Care Subsidy Tuition Services are partially funded by the Social Services Block Grant.

Social Services Block Grant

ADOPTION

Adoption Services is the obtaining of voluntary and involuntary release of a child from the natural family through due process of law, preparing a child to give up the natural family and to take on a new family, selecting the appropriate adoptive family, and supporting all persons involved through the finalization of the adoptive process.

ASSESSMENT, PLACEMENT AND MONITORING

Adults who are unable to look out for their own interests are provided assessment, placement and monitoring services. The services involve helping the individual with activities necessary for living in a community setting. The individuals are persons who might otherwise be residents of state institutions rather than being able to live in the community with the help of Community Mental Health Centers. Some of the activities performed by the mental health workers are: assisting individuals to attain and maintain medical treatment, making referrals to other appropriate agencies, and supervising community placements of individuals with monitoring for continued appropriateness.

COUNSELING, REFERRAL AND INTERVENTION

Counseling, referral and intervention are services available to assist individuals and families to cope with life's problems. Some persons who become social service clients need relatively brief encounters to obtain information about services available to meet their needs. Others may need to develop an ongoing relationship with a Social Worker to develop long-term goals and find lasting solutions to serious problems. Some clients voluntarily request services while others are involuntarily referred via reports of abuse or neglect or through juvenile court. Reports of child abuse and neglect or requests for service prompt an investigation and/or evaluation of the child and family's service needs. Goals of services offered include delivery of pre-placement prevention and protective services to help children safely remain with their own families, substitute care placement in the least restrictive environment consistent with the child's needs when removal is unavoidable, and adoption, legal guardianship or independent living when reunification efforts with biological parents are unsuccessful or inappropriate.

The State may obtain custody of children through a judgment of the court or voluntary agreement with parents. Once custody of a child is awarded, the State is responsible for arranging substitute care for the child as well as provision of services to the child and caretakers to facilitate adjustment and other aspects of the child's care such as room, board, recreational, educational, and medical needs.

Social workers arrange for residential placement for children ranging from "emergency shelter" to placement on a more permanent basis in foster and or/ adoptive homes. Children with emotional, behavioral or physical disabilities can be placed in specialized foster care so that specially trained people can deal effectively with the problems. The Family Services Division purchases "group home" services in about twenty-five facilities statewide if the need for this type of placement is indicated.

Social Services Block Grant

Case reviews and reunification services with the child's parents and others are provided to ensure a timely return home whenever feasible. In addition to direct casework and counseling services furnished by Social Workers, information and referral services are offered to help individuals obtain access to other services in the community.

Case planning and case management services are casework services essential to the coordination of service delivery by all service providers and for monitoring progress toward case goals. While most services are state funded, many are obtained through purchase agreement with the State and may require eligibility to be established on income or service need before actual service is delivered.

Preventive and reunification services may include:

- A. 24-hour emergency caretaker, and homemaker services;
- B. child care;
- C. crisis counseling;
- D. individual and family counseling or casework services;
- E. emergency shelter;
- F. procedures and arrangements for access to available emergency financial assistance;
- G. arrangements for the provision of temporary child care to provide support to the child and family for a brief period, as part of a plan for preventing children's removal from home;
- H. other services which the agency identifies as necessary and appropriate such as home-based family services, self-help groups, services to unmarried parents, provision of or arrangements for mental health, drug and alcohol abuse counseling, vocational counseling or vocational rehabilitation; and
- I. post-adoption services.

DAILY LIVING SKILLS

Daily Living Skills is a service providing the basic education that helps adults learn living skills such as budgeting, food preparation and home maintenance. Those persons who did not master reading, writing, and arithmetic in school have the opportunity to try again at Adult Learning Centers. All centers have correspondence courses and home tutors; all centers offer individualized programs of learning.

Social Services Block Grant

CHILD CARE

Child Care is the care and supervision of children whose parents work or are in training. Child care is also used as part of a service plan for children who are in home situations detrimental to their well-being. State Social Services Offices in conjunction with The Child Development Division determine eligibility, assess the need, and arrange for child care to be provided at child care facilities.

DAY WORK ACTIVITY

Day Work Activity is a service that ranges from "day care" for adults which provides association and relationships for elderly and disabled adults, to sheltered workshop settings for developmentally delayed adults which provide social and recreational activities and production of crafts and saleable products. Day Work Activity can also consist of an activity program for developmentally disabled adults.

FAMILY PLANNING

Family Planning are those counseling, education and medical services which enable individuals to limit family size. Medical services may include diagnosis, treatment, drugs, supplies, devices and related counseling furnished, prescribed by, or under the supervision of a physician.

LEGAL SERVICES

Legal Services is legal advice and representation in civil affairs. The majority of problems brought to Vermont Legal Aid involve divorce and family matters, disputes with governmental agencies, housing problems, and consumer issues. Vermont Legal Aid also provides representation for persons whose commitment is sought or being reviewed for hospitals for the mentally ill.

PERSONAL SERVICES

Personal Services is assistance with basic dressing, grooming, meal preparation, feeding, and other personal care for people who cannot fully care for themselves but, with some assistance, can remain in their homes, rather than live in a nursing home. Legal guardians are also arranged for individuals incapable of handling their own finances or legal matters.

RESIDENTIAL TREATMENT FOR THE HANDICAPPED OR DISABLED

Residential Treatment for the Handicapped or Disabled is the provision of social services in a residential facility for adults with physical or mental handicaps who do not need institutional care, yet can benefit from social services that include general supervision, assistance with employment or recreation, and training which enables such persons to cope with everyday problems. Room and board may be included as part of this service.

Social Services Block Grant

**SUMMARY OF PUBLIC COMMENTS ON THE PROPOSED
BLOCK GRANT APPLICATION AND REPORTS**

There is a public meeting scheduled by the Agency on **August 27, 2013** to be held in the Secretary's Conference room at 208 Hurricane Lane, Williston, Vermont. The Agency of Human Services continues to encourage public influence through the budgetary and legislative processes which are described in the plan.

DIFFERENCES BETWEEN THE PROPOSED AND FINAL PLANS

If any technical or editorial changes are required to be made as a result of the public hearing, they will be transmitted. Transcript of the hearing, attendance, newspaper tear sheets, letters of notification to key legislators and the interagency memo are on file in the Agency of Human Services Secretary's Office.

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Social Services Block Grant

<u>Distribution by Department</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
Secretary's Office	\$ 841,781	\$ 1,656,526	\$ 966,637
Family Services	\$8,488,613	\$8,592,667	\$5,332,175
Health Department	\$ 327,504	\$ 354,796	\$ 308,826
Mental Health Department	\$ 433,748	\$ 394,884	\$ 409,005
Dept. of Disabilities, Aging and Independent Living	\$ 932,922	\$ 1,027,909	\$ 944,675
Total Social Services Expend.	\$ 11,023,859	\$ 12,026,782	\$ 7,961,318
 <u>Source of Funds</u>			
Federal Funds	\$ 3,423,684	\$ 3,522,813	\$ 3,226,000
Overclaim/State General Funds	\$ 2,864,857	\$ 3,768,651	\$ 3,070,679
TANF Transfer	\$ 4,735,318	\$ 4,735,318	\$ 4,735,318
Total	\$ 11,023,859	\$ 12,026,782	\$ 11,031,997

Block Grant Awards

FFY 2012	\$3,423,684
FFY 2013	\$3,522,813
FFY 2014	\$3,226,000

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Social Services Block Grant

Secretary's Office

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
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Goal #1

The Agency of Human Services purchases legal services from Vermont Legal Aid for low income persons and for persons whose commitment is sought or being reviewed for hospitals for the mentally ill.

	\$370,913	\$373,423	\$373,423
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APPROPRIATION:

AHS Secretary's Office

Goal #2

The Secretary's Office is responsible for managing the Social Services Block Grant which funds programs in the Departments of Health; Children and Families; and Disabilities, Aging and Independent Living. All of the Administrative costs claimed under the SSBG in AHS are included here.

	<u>\$584,802</u>	<u>\$581,802</u>	<u>\$581,802</u>
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APPROPRIATION:

AHS Sec. Office
 Human Svc. Bd.
 DCF Admin. Dpt.
 DAIL Admin
 Mental Health
 CMR
 CMH
 Central Office

Total Expenditures:	\$ 952,715	\$955,225	\$ 955,225
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Social Services Block Grant

Secretary's Office

GOAL ACCOMPLISHMENT

Goal #1

The administration of the Social Services Block Grant ensures that program objectives are congruent with AHS goals and meet all state and federal regulations. While assuring financial accountability to both state and federal governments, the Agency of Human Services allocates the Social Services Block Grant funds in such a way as to maximize the revenues to the State, and then to expend those funds as intended with no waste or errors.

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Social Services Block Grant

Department for Children and Families: Family Services Division

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #1</u>			
To assure that legislative mandates and departmental policies are implemented for foster care programs.	\$ 424,254	\$ 661,740	\$ 661,740
<u>Goal #2</u>			
To ensure the safety and welfare of children and youth who are abused, neglected, or abandoned, or whose behaviors bring them into conflict with the law and their own best interests.	\$ 5,914,995	\$ 5,677,420	\$ 5,677,420
<u>Goal #3</u>			
To provide social services and mental health treatment programs for children in custody and children and families at risk of substitute care placements.	\$ 1,497,666	\$ 1,585,588	\$ 1,585,588
<u>Goal #4</u>			
To promote the developmental well-being of children in low income families and to support parental participation in work or education leading to employment.	\$ 11,504	\$ 478,106	\$ 478,106
Total Expenditures	\$7,848,419	\$8,402,854	\$8,402,854

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Department for Children and Families: Child Welfare and Youth Justice Division

GOAL ACCOMPLISHMENT

Goal 1

Services provided under this goal fund staff in twelve Department of Children and Families district and central office. Staff numbers approximately 400 and it is estimated that staff will serve a client caseload of approximately 7,600 in FY 14.

Goal 2

Services provided under this goal include foster and adoptive parent support services provided to meet room, board and supervision needs of children in custody. Approximately 1,900 children are expected to receive adoption subsidy in FFY'14.

Goal 3

Services funded under this goal provide a broad range of social and mental health treatment services delivered primarily in the community by community-based organizations or the Community Mental Health provider system. The specific services and the estimated number of families/children served are as follows:

Intensive Family Based Services	-	520
Parent Educators	-	170
Sexual Abuse Victims Counseling and Juvenile Sex Offender Treatment	-	225

Goal 4

The Child Development Division provided child care tuition assistance to support to over 8,434 children in FY'13. Child Care Services are provided through community based providers. The services support the positive developmental growth and well-being of the children in care, and allows low income families to work or go to school in order to gain employment.

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Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Mental Health Department

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #1</u> To reduce the number of persons with severe mental illness who are admitted to or remain at Vermont State Hospital because of lack of community-based programs.			
APPROPRIATION:	\$433,748	\$409,005	\$409,005

GOAL ACCOMPLISHMENT

Goal #1

Social Services Block Grant funds are used to purchase residential treatment services with 24-hour supervision, professional staffing, and structured programming from designated agencies; and to enable people with severe mental illness to obtain and remain in decent, affordable, integrated housing through the provision of community supports and service coordination along with related support services for daily living. The principal indicators of goal accomplishment are admissions to the Vermont State Hospital, the number of Community Rehabilitation and Treatment clients served, and bed days in therapeutic community residences. Funded programs have contributed to reductions in Vermont State Hospital admissions and average daily in-house census.

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Social Services Block Grant

Goal #1

	<u>VSH/Level 1 Admissions*</u>	<u>No. CRT Clients Served</u>	<u>Days of Housing and Home Support</u>
FY2012 (Actual)	38	2,769	51,856
FY2013 (Estimated)	194 + 19**	2,800-2,950	54,254
FY2014 (Projected)	Indeterminate***	2,800-2,950	52,000-55,000

*The Vermont State Hospital (VSH) was open for admissions in FY2012 only from July 1-August 29, 2011. Tropical Storm Irene struck on August 29-30 and damaged VSH so extensively that all of the approximately fifty patients were evacuated and located elsewhere, and the institution was closed except for a small unit for fewer than ten patients who were relocated temporarily to Springfield until other placements could be arranged.

Other hospitals with psychiatric units in Vermont have been designated for admissions of Level 1 patients (those who would have gone to VSH if it had not closed). The figures for FYs 2013 and 2014 reflect that reality. Level 1 is a funding mechanism to cover the costs for the highest-acuity patients in Vermont's public mental-health system. The Department of Mental Health began using the Level 1 category on July 1, 2012.

In addition, the Green Mountain Psychiatric Care Center (GMPCC), a smaller, temporary facility with eight beds intended as a partial replacement for VSH, opened on January 2, 2013, in Morrisville. The new Vermont Psychiatric Care Hospital in Berlin, with a capacity of sixteen to twenty-five beds, is currently scheduled to open in the late spring of 2014.

**The 194 admissions in FY 2013 were to the designated hospitals; the 19 admissions were to GMPCC during the six months after it opened in January 2013.

***Until more data over more years become available.

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Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Health Department

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #1</u>			
To provide comprehensive family planning services.			
APPROPRIATION: Public Health	<u>\$327,504</u>	<u>\$312,728</u>	<u>\$312,728</u>

Goal #1

The major activities undertaken to accomplish goal #1 are provided through a direct services contract with Planned Parenthood of Northern New England, Inc. The primary indicator to be monitored is the quarterly Planned Parenthood report outlining the activities performed by the contractor. This program provides about 34,000 visits annually and a similar or increasing need is expected to continue.

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Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Department of Disability, Aging & Independent Living

<u>Use of funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
<u>Goal #1</u>			
Attendant Services Program			
To provide personal care services To people with permanent and Severe physical disabilities.	\$ 300,469	\$ 256,307	\$284,520
APPROPRIATION: DAIL Grants			
Number of persons served:	11	11	11
<u>Goal #2</u>			
Guardianship			
To provide guardianship Services to mentally disabled persons 60 years of age or older for whom the probate court is unable to appoint a guardian from the private sector. To utilize guardianship for mentally disabled persons only as necessary to promote the well being of the individual and to protect the individual from violations of his or her human and civil rights.	\$ 384,962	\$380,108	\$364,528
APPROPRIATION: DAIL Administration			
Number of persons served:	71	71	71

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Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Department of Disability, Aging & Independent Living

<u>Use of funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
Goal #3			
Developmental Disabilities To increase the abilities of persons with developmental disabilities to function in community settings with the greatest possible independence from the mental health and human services system by providing community-based support.	\$ 315,603	\$ 308,260	\$ 295,627
Number of persons served: APPROPRIATION: DS Grants	4,105	4,105	4,105
Grand Total:	\$ 1,001,034	\$ 944,675	\$ 944,675

**SUBSTANCE ABUSE PREVENTION
& TREATMENT BLOCK GRANT**

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Substance Abuse Prevention & Treatment Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
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Goal #1 - Administration

To support and plan for the allocation and distribution of Block Grant funds in a manner consistent with the needs of Vermont communities and special populations to include women and those at risk of contracting the AIDS virus; to assess need as well as quality and appropriateness of treatment services and to collect all required data as per Section 509D.

INDICATORS:

- Adult chronic drinking
- Adult binge drinking
- Adult smoking
- DWI arrests
- DWI convictions
- Drinking-driver fatalities
- Deaths attributable to alcohol or drugs

APPROPRIATION: Office of Alcohol & Drug Abuse Programs	\$ 863,702	\$ 836,635	\$ 836,635
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Goal #2 - Prevention

The goal of primary prevention is to promote healthy (non-abusive) lifestyles through broad based school and community education and prevention programs. The goal of secondary prevention/intervention is to identify high risk populations and to develop intervention strategies to correct abusive characteristics before they become problematic and

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Substance Abuse Prevention & Treatment Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12</u> <u>Actual</u>	<u>FFY'13</u> <u>Estimated</u>	<u>FFY'14</u> <u>Proposed</u>
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assure that prevention services are available to all Vermont communities.

INDICATORS:

- Student drinking
- Student use of marijuana
- Student use of cocaine
- Student smoking
- Prevention Activities (Management information system under development)

APPROPRIATION: Office of Alcohol & Drug Abuse programs	\$1,641,418	\$1,589,978	\$1,589,978
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Goal #3 - Treatment

Substance abuse treatment will be available and accessible to all Vermont residents in need.

Community-based treatment services which are available to identified target populations; e.g., Corrections clients, women, IV drug users, youth, etc., and to uninsured clients.

Intensive outpatient treatment, is available for substance abusers through a regional system of providers.

Residential treatment and rehabilitation services are provided through two adult short-term programs, two long-term halfway programs, one long-term therapeutic community, and one adolescent facility.

Screening and intervention services for public inebriates through community-based crisis teams. Services include supervision and shelter

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Substance Abuse Prevention & Treatment Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
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The State will continue to collaborate with the Department of Mental Health in meeting the needs of substance abuse and mental health clients.

The State has established specific objectives for the treatment of women, outreach and treatment of IV drug users, tuberculosis education and screening, limits on waiting time for admission to treatment and a priority for the admission of IV drug users to treatment.

Substance abuse and mental health treatment providers will collaborate and receive cross training to improve substance abuse assessment/treatment services to ADAP and DMH clients.

INDICATORS:

- Outpatient Admissions
- Outpatient Utilization
- Intensive Outpatient Admissions
- Intensive Outpatient Utilization
- Residential Admissions
- Residential Utilization
- Public Inebriate Interventions
- Dollars saved by Public Inebriate Program (by diversion from jail)
- Mental Health treatment admissions with primary or secondary substance abuse diagnosis
- Mental Health Crisis Team contacts involving alcohol/drug use

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Substance Abuse Prevention & Treatment Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
APPROPRIATION: 3420060000	\$6,599,518	\$6,392,699	\$6,392,699
Total	\$9,104,638	\$8,819,312	\$8,819,312
<u>Source of Funds</u>			
SAPT Funds	\$5,379,072	\$ 5,093,746	\$ 5,093,746
State General Funds	\$3,725,566	\$ 3,725,566	\$ 3,725,566
TOTAL	\$9,104,638	\$ 8,819,312	\$ 8,819,312

Block Grant Awards

FFY'11	\$5,390,666
FFY'12	\$5,379,071
FFY'13	\$5,093,846
FFY'14	\$5,093,846

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Substance Abuse Prevention & Treatment Block Grant

ALCOHOL AND DRUG ABUSE AND MENTAL HEALTH SERVICES
BLOCK GRANT APPLICATION FOR FY 2008

State Name: VERMONT

1. STATE AGENCY TO BE THE GRANTEE FOR THE SAPT BLOCK GRANT

Agency Name: AGENCY OF HUMAN SERVICES

Organizational Unit: DIVISION OF ALCOHOL AND DRUG ABUSE PROGRAMS

Street Address: DEPARTMENT OF HEALTH, 108 CHERRY STREET

City: BURLINGTON Zip Code: 05402

II. CONTACT PERSON FOR THE GRANTEE OF THE ADMS BLOCK GRANT

Name: James Giffin

Agency Name: AGENCY OF HUMAN SERVICES

Street Address: 108 CHERRY STREET

City: BURLINGTON Zip Code: 05401

III. STATE EXPENDITURE PERIOD

From: 10-1-13 To: 9-30-14

IV. DATE SUBMITTED

Date: Original Revision

V. CONTACT PERSON RESPONSIBLE FOR APPLICATION SUBMISSION

Name: Peter Bestenbostel Telephone: 802-651-1670

Substance Abuse Prevention & Treatment Block Grant

Form 3

OMB No. 0930-0080

FY 2014 SUBSTANCE ABUSE BLOCK GRANT APPLICATION
FUNDING AGREEMENTS/CERTIFICATIONS
AS REQUIRED BY THE PUBLIC HEALTH SERVICE ACT

As part of the annual application for Block Grant funds it is required under Title XIX, Part B, Subpart II of the Public Health Services Act, as amended, that the chief executive officer (or an authorized designee) of the applicant organization certify that the State will comply with the following specific citations as summarized and set forth below, and with any regulations or guidelines issued in conjunction with this Subpart except as exempt by statute. We will accept a signature on this form as certification of agreement to comply with the cited provisions of the PHS Act. If signed by a designee, a copy of the designation must be attached.

I. FORMULA GRANTS TO STATES, SECTION 1921

Grant funds will be expended "only for the purpose of planning, carrying out, and evaluating activities to prevent and treat substance abuse and for related activities" as authorized.

II. CERTAIN ALLOCATIONS, SECTION 1922

- Allocations Regarding Alcohol and Other Drugs, Section 1922(a)
- Allocations Regarding Primary Prevention Programs, Section 1922(b)
- Allocations Regarding Women, Section 1922(c)

III. INTRAVENOUS DRUG ABUSE, SECTION 1923

- Capacity of Treatment Programs, Section 1923(a)
- Outreach Regarding Intravenous Substance Abuse, Section 1923(b)

IV. REQUIREMENTS REGARDING TUBERCULOSIS AND HUMAN IMMUNODEFICIENCY VIRUS, SECTION 1924

V. RESERVED

Substance Abuse Prevention & Treatment Block Grant

Form 3

OMB No. 0930-0080

VI. STATE LAW REGARDING SALE OF TOBACCO PRODUCTS TO INDIVIDUALS UNDER AGE OF 18, SECTION 1926:

- The State has a law in effect making it illegal to sell or distribute tobacco products to minors as provided in Section 1926 (a)(1).
- The State will enforce such law in a manner that can reasonably be expected to reduce the extent to which tobacco products are available to individuals under the age of 18 as provided in Section 1926 (b)(1).
- The State will conduct annual, random unannounced inspections as prescribed in Section 1926 (b)(2).

Approved 08/14/01

VII. TREATMENT SERVICES FOR PREGNANT WOMEN, SECTION 1927

The State "will ensure that each pregnant woman in the State who seeks or is referred for and would benefit from such services is given preference in admission to treatment facilities receiving funds pursuant to the grant."

VIII. ADDITIONAL AGREEMENTS, SECTION 1928

- Improvement of Process for Appropriate Referrals for Treatment, Section 1928(a)
- Continuing Education, Section 1928(b)
- Coordination of Various Activities and Services, Section 1928(c)
- Waiver of Requirement, Section 1928(d)

IX. SUBMISSION TO DEPUTY SECRETARY OF STATEWIDE ASSESSMENT OF NEEDS, SECTION 1929

X. MAINTENANCE OF EFFORT REGARDING STATE EXPENDITURES, SECTION 1930

The State "will maintain aggregate State expenditures for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal year for which the State is applying for the grant."

XI. RESTRICTIONS ON EXPENDITURE OF GRANT, SECTION 1931

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Substance Abuse Prevention & Treatment Block Grant

XII. APPLICATION FOR GRANT; APPROVAL OF STATE PLAN, SECTION 1932

XIII. OPPORTUNITY FOR PUBLIC COMMENT ON STATE PLANS, SECTION 1941

The plan required under Section 1932 will be made "public in such a manner as to facilitate comment from any person (including any Federal or other public agency) during the development of the plan (including any revisions) and after the submission of the plan to the Deputy Secretary."

Approved 08/14/01

XIV. REQUIREMENT OF REPORTS AND AUDITS BY STATES, SECTION 1942

XV. ADDITIONAL REQUIREMENTS, SECTION 1943

XVI. PROHIBITIONS REGARDING RECEIPT OF FUNDS, SECTION 1946

XVII. NONDISCRIMINATION, SECTION 1947

I hereby certify that the State or Territory will comply with Title XIX, Part B, Subpart III of the Public Health Services Act, as amended, as summarized above, except for those Sections in the Act that do not apply or for which a waiver has been granted or may be granted by the Deputy Secretary for the period covered by this agreement.

STATE: VERMONT

Name of Chief Executive Officer or Designee: Douglas A. Racine

Title: Secretary

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Substance Abuse Prevention & Treatment Block Grant

Narrative¹ Intended use narrative is submitted to Substance Abuse and Mental Health Services Administration (SAMHSA)

annually

Copies furnished upon request.

STATE PLAN ON AGING
UNDER TITLE III
OF THE OLDER AMERICAN'S ACT

State Plan on Aging Under Title III

**Listing of State Plan Assurances
Older Americans Act, As Amended in 2006**

By signing this document, the authorized official commits the State Agency on Aging to performing all listed assurances, required activities and information requirements as stipulated in the Older Americans Act, as amended in 2006.

ASSURANCES

Sec. 305 (a) - (c), ORGANIZATION

(a) (2) (A) The State agency shall, except as provided in subsection (b) (5), designate for each such area (planning and service area) after consideration of the views offered by the unit or units of general purpose local government in such area, a public or private nonprofit agency or organization as the area agency on aging for such area.

(a) (2) (B) The State agency shall provide assurances, satisfactory to the Assistant Secretary, that the State agency will take into account, in connection with matters of general policy arising in the development and administration of the State plan for any fiscal year, the views of recipients of supportive services or nutrition services, or individuals using multipurpose senior centers provided under such plan.

(a) (2) (E) The State agency shall provide assurance that preference will be given to providing services to older individuals with greatest economic need and older individuals with greatest social need, (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas) and include proposed methods of carrying out the preference in the State plan;

(a) (2) (F) The State agency shall provide assurances that the State agency will require use of outreach efforts described in section 307(a) (16).

(a) (2) (G) (ii) The State agency shall provide an assurance that the State agency will undertake specific program development, advocacy, and outreach efforts focused on the needs of low-income minority older individuals and older individuals residing in rural areas.

(c) (5) In the case of a State specified in subsection (b) (5), the State agency and area agencies shall provide assurance, determined adequate by the State agency, that the area agency on aging will have the ability to develop an area plan and to carry

State Plan on Aging Under Title III

out, directly or through contractual or other arrangements, a program in accordance with the plan within the planning and service area.

States must assure that the following assurances (Section 306) will be met by its designated area agencies on agencies, or by the State in the case of single planning and service area states.

Sec. 306(a), AREA PLANS

(2) Each area agency on aging shall provide assurances that an adequate proportion, as required under section 307(a)(2), of the amount allotted for part B to the planning and service area will be expended for the delivery of each of the following categories of services-

(A) services associated with access to services (transportation, health services (including mental health services), outreach, information and assistance (which may include information and assistance to consumers on availability of services under part B and how to receive benefits under and participate in publicly supported programs for which the consumer may be eligible), and case management services);

(B) in-home services, including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and

(C) legal assistance;

and assurances that the area agency on aging will report annually to the State agency in detail the amount of funds expended for each such category during the fiscal year most recently concluded.

(4)(A)(i)(I) provide assurances that the area agency on aging will-

(aa) set specific objectives, consistent with State policy, for providing services to older individuals with greatest economic need, older individuals with greatest social need, and older individuals at risk for institutional placement;

(bb) include specific objectives for providing services to low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas; and

(II) include proposed methods to achieve the objectives described in items (aa) and (bb) of subclause (I);

(ii) provide assurances that the area agency on aging will include in each agreement made with a provider of any service under this title, a requirement that such provider will-

State Plan on Aging Under Title III

(I) specify how the provider intends to satisfy the service needs of low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in the area served by the provider;

(II) to the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in accordance with their need for such services; and

(III) meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas within the planning and service area; and

(4) (A) (iii) With respect to the fiscal year preceding the fiscal year for which such plan is prepared, each area agency on aging shall--

(I) identify the number of low-income minority older individuals and older individuals residing in rural areas in the planning and service area;

(II) describe the methods used to satisfy the service needs of such minority older individuals; and

(III) provide information on the extent to which the area agency on aging met the objectives described in clause (a) (4) (A) (i).

(4) (B) (i) Each area agency on aging shall provide assurances that the area agency on aging will use outreach efforts that will identify individuals eligible for assistance under this Act, with special emphasis on--

(I) older individuals residing in rural areas;

(II) older individuals with greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas);

(III) older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas);

(IV) older individuals with severe disabilities;

(V) older individuals with limited English proficiency;

(VI) older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and

State Plan on Aging Under Title III

(VII) older individuals at risk for institutional placement; and
(4) (C) Each area agency on aging shall provide assurance that the area agency on aging will ensure that each activity undertaken by the agency, including planning, advocacy, and systems development, will include a focus on the needs of low-income minority older individuals and older individuals residing in rural areas.

(5) Each area agency on aging shall provide assurances that the area agency on aging will coordinate planning, identification, assessment of needs, and provision of services for older individuals with disabilities, with particular attention to individuals with severe disabilities, and individuals at risk for institutional placement, with agencies that develop or provide services for individuals with disabilities.

(6) (F) Each area agency will:
in coordination with the State agency and with the State agency responsible for mental health services, increase public awareness of mental health disorders, remove barriers to diagnosis and treatment, and coordinate mental health services (including mental health screenings) provided with funds expended by the area agency on aging with mental health services provided by community health centers and by other public agencies and nonprofit private organizations;

(9) Each area agency on aging shall provide assurances that the area agency on aging, in carrying out the State Long-Term Care Ombudsman program under section 307(a)(9), will expend not less than the total amount of funds appropriated under this Act and expended by the agency in fiscal year 2000 in carrying out such a program under this title.

(11) Each area agency on aging shall provide information and assurances concerning services to older individuals who are Native Americans (referred to in this paragraph as "older Native Americans"), including-

(A) information concerning whether there is a significant population of older Native Americans in the planning and service area and if so, an assurance that the area agency on aging will pursue activities, including outreach, to increase access of those older Native Americans to programs and benefits provided under this title;

(B) an assurance that the area agency on aging will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI; and

(C) an assurance that the area agency on aging will make services under the area plan available, to the same extent as

State Plan on Aging Under Title III

such services are available to older individuals within the planning and service area, to older Native Americans.

(13) (A) Each area agency on aging shall provide assurances that the area agency on aging will maintain the integrity and public purpose of services provided, and service providers, under this title in all contractual and commercial relationships.

(13) (B) Each area agency on aging shall provide assurances that the area agency on aging will disclose to the Assistant Secretary and the State agency--

(i) the identity of each nongovernmental entity with which such agency has a contract or commercial relationship relating to providing any service to older individuals; and

(ii) the nature of such contract or such relationship.

(13) (C) Each area agency on aging shall provide assurances that the area agency will demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under this title by such agency has not resulted and will not result from such non-governmental contracts or such commercial relationships.

(13) (D) Each area agency on aging shall provide assurances that the area agency will demonstrate that the quantity or quality of the services to be provided under this title by such agency will be enhanced as a result of such non-governmental contracts or commercial relationships.

(13) (E) Each area agency on aging shall provide assurances that the area agency will, on the request of the Assistant Secretary or the State, for the purpose of monitoring compliance with this Act (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older individuals.

(14) Each area agency on aging shall provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title.

(15) provide assurances that funds received under this title will be used-

(A) to provide benefits and services to older individuals, giving priority to older individuals identified in paragraph

(4) (A) (i); and

(B) in compliance with the assurances specified in paragraph (13) and the limitations specified in section 212;

Sec. 307, STATE PLANS

(7) (A) The plan shall provide satisfactory assurance that such

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State Plan on Aging Under Title III

fiscal control and fund accounting procedures will be adopted as may be necessary to assure proper disbursement of, and accounting for, Federal funds paid under this title to the State, including any such funds paid to the recipients of a grant or contract.

(7) (B) The plan shall provide assurances that--

(i) no individual (appointed or otherwise) involved in the designation of the State agency or an area agency on aging, or in the designation of the head of any subdivision of the State agency or of an area agency on aging, is subject to a conflict of interest prohibited under this Act;

(ii) no officer, employee, or other representative of the State agency or an area agency on aging is subject to a conflict of interest prohibited under this Act; and

(iii) mechanisms are in place to identify and remove conflicts of interest prohibited under this Act.

(9) The plan shall provide assurances that the State agency will carry out, through the Office of the State Long-Term Care Ombudsman, a State Long-Term Care Ombudsman program in accordance with section 712 and this title, and will expend for such purpose an amount that is not less than an amount expended by the State agency with funds received under this title for fiscal year 2000, and an amount that is not less than the amount expended by the State agency with funds received under title VII for fiscal year 2000.

(10) The plan shall provide assurance that the special needs of older individuals residing in rural areas will be taken into consideration and shall describe how those needs have been met and describe how funds have been allocated to meet those needs.

(11) (A) The plan shall provide assurances that area agencies on aging will--

(i) enter into contracts with providers of legal assistance which can demonstrate the experience or capacity to deliver legal assistance;

(ii) include in any such contract provisions to assure that any recipient of funds under division (A) will be subject to specific restrictions and regulations promulgated under the Legal Services Corporation Act (other than restrictions and regulations governing eligibility for legal assistance under such Act and governing membership of local governing boards) as determined appropriate by the Assistant Secretary; and

(iii) attempt to involve the private bar in legal assistance activities authorized under this title, including groups within the private bar furnishing services to older individuals on a pro bono and reduced fee basis.

State Plan on Aging Under Title III

(11) (B) The plan contains assurances that no legal assistance will be furnished unless the grantee administers a program designed to provide legal assistance to older individuals with social or economic need and has agreed, if the grantee is not a Legal Services Corporation project grantee, to coordinate its services with existing Legal Services Corporation projects in the planning and service area in order to concentrate the use of funds provided under this title on individuals with the greatest such need; and the area agency on aging makes a finding, after assessment, pursuant to standards for service promulgated by the Assistant Secretary, that any grantee selected is the entity best able to provide the particular services. (11) (D) The plan contains assurances, to the extent practicable, that legal assistance furnished under the plan will be in addition to any legal assistance for older individuals being furnished with funds from sources other than this Act and that reasonable efforts will be made to maintain existing levels of legal assistance for older individuals;

(11) (E) The plan contains assurances that area agencies on aging will give priority to legal assistance related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect, and age discrimination.

(12) The plan shall provide, whenever the State desires to provide for a fiscal year for services for the prevention of abuse of older individuals, the plan contains assurances that any area agency on aging carrying out such services will conduct a program consistent with relevant State law and coordinated with existing State adult protective service activities for--

(A) public education to identify and prevent abuse of older individuals;

(B) receipt of reports of abuse of older individuals;

(C) active participation of older individuals participating in programs under this Act through outreach, conferences, and referral of such individuals to other social service agencies or sources of assistance where appropriate and consented to by the parties to be referred; and

(D) referral of complaints to law enforcement or public protective service agencies where appropriate.

(13) The plan shall provide assurances that each State will assign personnel (one of whom shall be known as a legal assistance developer) to provide State leadership in developing legal assistance programs for older individuals throughout the State.

(14) The plan shall, with respect to the fiscal year preceding

State Plan on Aging Under Title III

the fiscal year for which such plan is prepared—

(A) identify the number of low-income minority older individuals in the State, including the number of low income minority older individuals with limited English proficiency; and

(B) describe the methods used to satisfy the service needs of the low-income minority older individuals described in subparagraph (A), including the plan to meet the needs of low-income minority older individuals with limited English proficiency.

(15) The plan shall provide assurances that, if a substantial number of the older individuals residing in any planning and service area in the State are of limited English-speaking ability, then the State will require the area agency on aging for each such planning and service area—

(A) to utilize in the delivery of outreach services under section 306(a)(2)(A), the services of workers who are fluent in the language spoken by a predominant number of such older individuals who are of limited English-speaking ability; and

(B) to designate an individual employed by the area agency on aging, or available to such area agency on aging on a full-time basis, whose responsibilities will include--

(i) taking such action as may be appropriate to assure that counseling assistance is made available to such older individuals who are of limited English-speaking ability in order to assist such older individuals in participating in programs and receiving assistance under this Act; and

(ii) providing guidance to individuals engaged in the delivery of supportive services under the area plan involved to enable such individuals to be aware of cultural sensitivities and to take into account effectively linguistic and cultural differences.

(16) The plan shall provide assurances that the State agency will require outreach efforts that will—

(A) identify individuals eligible for assistance under this Act, with special emphasis on—

(i) older individuals residing in rural areas;

(ii) older individuals with greatest economic need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas;

(iii) older individuals with greatest social need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in

State Plan on Aging Under Title III

rural areas;

(iv) older individuals with severe disabilities;

(v) older individuals with limited English-speaking ability; and

(vi) older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and

(B) inform the older individuals referred to in clauses (i) through (vi) of subparagraph (A), and the caretakers of such individuals, of the availability of such assistance.

(17) The plan shall provide, with respect to the needs of older individuals with severe disabilities, assurances that the State will coordinate planning, identification, assessment of needs, and service for older individuals with disabilities with particular attention to individuals with severe disabilities with the State agencies with primary responsibility for individuals with disabilities, including severe disabilities, to enhance services and develop collaborative programs, where appropriate, to meet the needs of older individuals with disabilities.

(18) The plan shall provide assurances that area agencies on aging will conduct efforts to facilitate the coordination of community-based, long-term care services, pursuant to section 306(a)(7), for older individuals who--

(A) reside at home and are at risk of institutionalization because of limitations on their ability to function independently;

(B) are patients in hospitals and are at risk of prolonged institutionalization; or

(C) are patients in long-term care facilities, but who can return to their homes if community-based services are provided to them.

(19) The plan shall include the assurances and description required by section 705(a).

(20) The plan shall provide assurances that special efforts will be made to provide technical assistance to minority providers of services.

(21) The plan shall

(A) provide an assurance that the State agency will coordinate programs under this title and programs under title VI, if applicable; and

(B) provide an assurance that the State agency will pursue activities to increase access by older individuals who are Native Americans to all aging programs and benefits provided by the agency, including programs and benefits provided under this title, if applicable, and specify the ways in which the State

State Plan on Aging Under Title III

agency intends to implement the activities.

(22) If case management services are offered to provide access to supportive services, the plan shall provide that the State agency shall ensure compliance with the requirements specified in section 306(a)(8).

(23) The plan shall provide assurances that demonstrable efforts will be made--

(A) to coordinate services provided under this Act with other State services that benefit older individuals; and

(B) to provide multigenerational activities, such as opportunities for older individuals to serve as mentors or advisers in child care, youth day care, educational assistance, at-risk youth intervention, juvenile delinquency treatment, and family support programs.

(24) The plan shall provide assurances that the State will coordinate public services within the State to assist older individuals to obtain transportation services associated with access to services provided under this title, to services under title VI, to comprehensive counseling services, and to legal assistance.

(25) The plan shall include assurances that the State has in effect a mechanism to provide for quality in the provision of in-home services under this title.

(26) The plan shall provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the State agency or an area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title.

(27) The plan shall provide assurances that area agencies on aging will provide, to the extent feasible, for the furnishing of services under this Act, consistent with self-directed care.

Sec. 308, PLANNING, COORDINATION, EVALUATION, AND ADMINISTRATION OF STATE PLANS

(b)(3)(E) No application by a State under subparagraph (b)(3)(A) shall be approved unless it contains assurances that no amounts received by the State under this paragraph will be used to hire any individual to fill a job opening created by the action of the State in laying off or terminating the employment of any regular employee not supported under this Act in anticipation of filling the vacancy so created by hiring an employee to be supported through use of amounts received under this paragraph.

Sec. 705, ADDITIONAL STATE PLAN REQUIREMENTS (as numbered in statute)

State Plan on Aging Under Title III

(1) The State plan shall provide an assurance that the State, in carrying out any chapter of this subtitle for which the State receives funding under this subtitle, will establish programs in accordance with the requirements of the chapter and this chapter.

(2) The State plan shall provide an assurance that the State will hold public hearings, and use other means, to obtain the views of older individuals, area agencies on aging, recipients of grants under title VI, and other interested persons and entities regarding programs carried out under this subtitle.

(3) The State plan shall provide an assurance that the State, in consultation with area agencies on aging, will identify and prioritize statewide activities aimed at ensuring that older individuals have access to, and assistance in securing and maintaining, benefits and rights.

(4) The State plan shall provide an assurance that the State will use funds made available under this subtitle for a chapter in addition to, and will not supplant, any funds that are expended under any Federal or State law in existence on the day before the date of the enactment of this subtitle, to carry out each of the vulnerable elder rights protection activities described in the chapter.

(5) The State plan shall provide an assurance that the State will place no restrictions, other than the requirements referred to in clauses (i) through (iv) of section 712(a)(5)(C), on the eligibility of entities for designation as local Ombudsman entities under section 712(a)(5).

(6) The State plan shall provide an assurance that, with respect to programs for the prevention of elder abuse, neglect, and exploitation under chapter 3—

(A) in carrying out such programs the State agency will conduct a program of services consistent with relevant State law and coordinated with existing State adult protective service activities for--(i) public education to identify and prevent elder abuse;

(ii) receipt of reports of elder abuse;

(iii) active participation of older individuals participating in programs under this Act through outreach, conferences, and referral of such individuals to other social service agencies or sources of assistance if appropriate and if the individuals to be referred consent; and

(iv) referral of complaints to law enforcement or public protective service agencies if appropriate;

(B) the State will not permit involuntary or coerced participation in the program of services described in

State Plan on Aging Under Title III

subparagraph (A) by alleged victims, abusers, or their households; and

(C) all information gathered in the course of receiving reports and making referrals shall remain confidential except--

(i) if all parties to such complaint consent in writing to the release of such information;

(ii) if the release of such information is to a law enforcement agency, public protective service agency, licensing or certification agency, ombudsman program, or protection or advocacy system; or

(iii) upon court order

REQUIRED ACTIVITIES

Sec. 307(a) STATE PLANS

(1) (A) The State Agency requires each area agency on aging designated under section 305(a) (2) (A) to develop and submit to the State agency for approval, in accordance with a uniform format developed by the State agency, an area plan meeting the requirements of section 306; and

(B) The State plan is based on such area plans.

Note: THIS SUBSECTION OF STATUTE DOES NOT REQUIRE THAT AREA PLANS BE DEVELOPED PRIOR TO STATE PLANS AND/OR THAT STATE PLANS DEVELOP AS A COMPILATION OF AREA PLANS.

(2) The State agency:

(A) evaluates, using uniform procedures described in section 202(a) (26), the need for supportive services (including legal assistance pursuant to 307(a) (11), information and assistance, and transportation services), nutrition services, and multipurpose senior centers within the State;

(B) has developed a standardized process to determine the extent to which public or private programs and resources (including Department of Labor Senior Community Service Employment Program participants, and programs and services of voluntary organizations) have the capacity and actually meet such need;

(4) The plan shall provide that the State agency will conduct periodic evaluations of, and public hearings on, activities and projects carried out in the State under this title and title VII, including evaluations of the effectiveness of services provided to individuals with greatest economic need, greatest social need, or disabilities (with particular attention to low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas). *Note: "Periodic" (defined in 45CFR Part 1321.3) means, at a minimum, once each fiscal year.*

State Plan on Aging Under Title III

(5) The State agency:

(A) affords an opportunity for a public hearing upon request, in accordance with published procedures, to any area agency on aging submitting a plan under this title, to any provider of (or applicant to provide) services;

(B) issues guidelines applicable to grievance procedures required by section 306(a)(10); and

(C) affords an opportunity for a public hearing, upon request, by an area agency on aging, by a provider of (or applicant to provide) services, or by any recipient of services under this title regarding any waiver request, including those under Section 316.

(6) The State agency will make such reports, in such form, and containing such information, as the Assistant Secretary may require, and comply with such requirements as the Assistant Secretary may impose to insure the correctness of such reports.

(8) (A) No supportive services, nutrition services, or in-home services are directly provided by the State agency or an area agency on aging in the State, unless, in the judgment of the State agency--

(i) provision of such services by the State agency or the area agency on aging is necessary to assure an adequate supply of such services;

(ii) such services are directly related to such State agency's or area agency on aging's administrative functions; or

(iii) such services can be provided more economically, and with comparable quality, by such State agency or area agency on aging.

INFORMATION REQUIREMENTS

Section 102(19) (G) - (required only if the State funds in-home services not already defined in Sec. 102(19))

The term "in-home services" includes other in-home services as defined by the State agency in the State plan submitted in accordance with Sec. 307.

Section 305(a) (2) (E)

provide assurance that preference will be given to providing services to older individuals with greatest economic need and older individuals with greatest social need, (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas) and include proposed methods of carrying out the

State Plan on Aging Under Title III

preference in the State plan;

Section 306(a) (17)

Each Area Plan will include information detailing how the Area Agency will coordinate activities and develop long-range emergency preparedness plans with local and State emergency response agencies, relief organizations, local and State governments and other institutions that have responsibility for disaster relief service delivery.

Section 307(a)

(2) The plan shall provide that the State agency will:

(C) Specify a minimum proportion of the funds received by each area agency on aging in the State to carry out part B that will be expended (in the absence of a waiver under sections 306 (c) or 316) by such area agency on aging to provide each of the categories of services specified in section 306(a) (2) (*Note: those categories are access, in-home, and legal assistance*).

Section (307(a) (3)

The plan shall:

(A) include (and may not be approved unless the Assistant Secretary approves) the statement and demonstration required by paragraphs (2) and (4) of section 305(d) (concerning distribution of funds); (*Note: the "statement and demonstration" are the numerical statement of the intrastate funding formula, and a demonstration of the allocation of funds to each planning and service area*)

(B) with respect to services for older individuals residing in rural areas:

(i) provide assurances the State agency will spend for each fiscal year of the plan, not less than the amount expended for such services for fiscal year 2000.

(ii) identify, for each fiscal year to which the plan applies, the projected costs of providing such services (including the cost of providing access to such services).

(iii) describe the methods used to meet the needs for such services in the fiscal year preceding the first year to which such plan applies.

Section 307(a) (8)) (Include in plan if applicable)

(B) Regarding case management services, if the State agency or area agency on aging is already providing case management services (as of the date of submission of the plan) under a

State Plan on Aging Under Title III

State program, the plan may specify that such agency is allowed to continue to provide case management services.

(C) The plan may specify that an area agency on aging is allowed to directly provide information and assistance services and outreach.

Section 307(a)(10)

The plan shall provide assurance that the special needs of older individuals residing in rural areas are taken into consideration and shall describe how those needs have been met and describe how funds have been allocated to meet those needs.

Section 307(a)(21)

The plan shall:

(B) provide an assurance that the State agency will pursue activities to increase access by older individuals who are Native Americans to all aging programs and benefits provided by the agency, including programs and benefits provided under this title (*title III*), if applicable, and specify the ways in which the State agency intends to implement the activities .

Section 307(a)(28)

(A) The plan shall include, at the election of the State, an assessment of how prepared the State is, under the State's statewide service delivery model, for any anticipated change in the number of older individuals during the 10-year period following the fiscal year for which the plan is submitted.

(B) Such assessment may include—

(i) the projected change in the number of older individuals in the State;

(ii) an analysis of how such change may affect such individuals, including individuals with low incomes, individuals with greatest economic need, minority older individuals, older individuals residing in rural areas, and older individuals with limited English proficiency;

(iii) an analysis of how the programs, policies, and services provided by the State can be improved, including coordinating with area agencies on aging, and how resource levels can be adjusted to meet the needs of the changing population of older individuals in the State; and

(iv) an analysis of how the change in the number of individuals age 85 and older in the State is expected to affect the need for supportive services.

Section 307(a)(29)

State Plan on Aging Under Title III

The plan shall include information detailing how the State will coordinate activities, and develop long-range emergency preparedness plans, with area agencies on aging, local emergency response agencies, relief organizations, local governments, State agencies responsible for emergency preparedness, and any other institutions that have responsibility for disaster relief service delivery.

Section 307(a) (30)

The plan shall include information describing the involvement of the head of the State agency in the development, revision, and implementation of emergency preparedness plans, including the State Public Health Emergency Preparedness and Response Plan.

Section 705(a) (7)

In order to be eligible to receive an allotment under this subtitle, a State shall include in the State plan submitted under section 307:

(7) a description of the manner in which the State agency will carry out this title in accordance with the assurances described in paragraphs (1) through (6). *(Note: Paragraphs (1) of through (6) of this section are listed below)*

In order to be eligible to receive an allotment under this subtitle, a State shall include in the State plan submitted under section 307:

(1) an assurance that the State, in carrying out any chapter of this subtitle for which the State receives funding under this subtitle, will establish programs in accordance with the requirements of the chapter and this chapter;

(2) an assurance that the State will hold public hearings, and use other means, to obtain the views of older individuals, area agencies on aging, recipients of grants under title VI, and other interested persons and entities regarding programs carried out under this subtitle;

(3) an assurance that the State, in consultation with area agencies on aging, will identify and prioritize statewide activities aimed at ensuring that older individuals have access to, and assistance in securing and maintaining, benefits and rights;

(4) an assurance that the State will use funds made available under this subtitle for a chapter in addition to, and will not supplant, any funds that are expended under any Federal or State law in existence on the day before the date of the enactment of this subtitle, to carry out each of the vulnerable elder rights protection activities described in the chapter;

State Plan on Aging Under Title III

(5) an assurance that the State will place no restrictions, other than the requirements referred to in clauses (i) through (iv) of section 712(a) (5) (C), on the eligibility of entities for designation as local Ombudsman entities under section 712(a) (5); (6) an assurance that, with respect to programs for the prevention of elder abuse, neglect, and exploitation under chapter 3--

(A) in carrying out such programs the State agency will conduct a program of services consistent with relevant State law and coordinated with existing State adult protective service activities for:

- (i) public education to identify and prevent elder abuse;
- (ii) receipt of reports of elder abuse;
- (iii) active participation of older individuals participating in programs under this Act through outreach, conferences, and referral of such individuals to other social service agencies or sources of assistance if appropriate and if the individuals to be referred consent; and
- (iv) referral of complaints to law enforcement or public protective service agencies if appropriate;

(B) the State will not permit involuntary or coerced participation in the program of services described in subparagraph (A) by alleged victims, abusers, or their households; and

(C) all information gathered in the course of receiving reports and making referrals shall remain confidential except--

- (i) if all parties to such complaint consent in writing to the release of such information;
- (ii) if the release of such information is to a law enforcement agency, public protective service agency, licensing or certification agency, ombudsman program, or protection or advocacy system; or
- (iii) upon court order.

VERIFICATION OF INTENT

The State Plan on Aging Assurances is hereby submitted for the State of Vermont for the period October 1, 2012 through September 30, 2013.

This plan includes assurances and plans to be conducted by the Vermont Department of Disabilities, Aging and Independent Living under provisions of the Older Americans Act, as amended, during the period identified. The State Agency named above has been given the authority to develop and administer the State Plan on Aging in accordance with all of the State activities related to the purposes of the Act, i.e., the development of comprehensive and coordinated systems for the delivery of supportive services, including multipurpose senior

State Plan on Aging Under Title III

centers and nutrition services, and to serve as the effective and visible advocate for the elderly in the State.

This Plan is hereby approved by the Governor and constitutes authorization to proceed with activities under the Plan upon approval by the Commissioner on Aging.

The State Plan on Aging hereby submitted has been developed in accordance with all Federal statutory and regulatory requirements.

8/21/13
(Date)

Camille Jean for Susan Welch
Commissioner, Department of Disabilities,
Aging and Independent Living

8/21/13
(Date)

Doreen Henry
Deputy Secretary, Agency of Human Services
State of Vermont

State Plan on Aging Under Title III

**INTRASTATE FUNDING FORMULA FOR DISTRIBUTION
OF TITLE III FUNDS FOR FISCAL YEAR 2012**

Purpose: The Older Americans Act requires that the Department of Disabilities, Aging and Independent Living have in place an intrastate funding formula, which reflects the general distribution within the State of older persons in greatest economic and social need. In addition, the Department of Disabilities, Aging and Independent Living feels that the formula should provide an area agency on aging with sufficient funds to support its essential functions as advocate, planner, coordinator and monitor of a service system within its area.

The Base: A set amount of \$85,044 is distributed by the Department of Disabilities, Aging and Independent Living to each area agency on aging.

Formula:

Method of Distribution of Title III and State Funds:

There are four steps in the distribution process of Older Americans Act and state funding to the area agencies on aging. These include:

1. Base distribution divided equally among the AAAs.
2. Calculation of remaining funds includes weighting of factors related to social needs (Old, Alone and Poor – OAP), numbers of aged 60 and over and economic need.
 - One third of the funds are distributed according to age;
 - 80% of the remaining two-thirds is distributed using the OAP formula; and
 - 20% of the remaining two-thirds are distributed according to the number of individuals below 125% of poverty.
3. Social need calculation based on population cohort age 75+ living alone and below the poverty line (OAP) in each AAA region.
4. Economic need based on population cohort 60+ below 125% of poverty and not OAP (Poverty 125%) in each AAA region.

VERMONT HUMAN SERVICES PLAN - FY 2014

FEDERAL ASSURANCES & DOCUMENTATION

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State Plan on Aging Under Title III

Grant Awards: Using this formula, Title III funds are distributed to AAAs as indicated below:

<u>Area Agency on Aging</u>	<u>FFY'12 Actual</u>	<u>FFY'13 Estimated</u>	<u>FFY'14 Proposed</u>
Central Vermont Council on Aging	1,081,914	955,836	978,546
Champlain Valley Agency on Aging	1,539,412	1,441,028	1,427,052
Northeastern Kingdom Council on Aging	849,172	870,293	797,845
Council on Aging for Southeastern Vermont	964,787	853,703	880,512
Southwestern Vermont Area Council on Aging	1,047,624	876,773	913,680

FFY 2013 – 2014

Vermont's

Child Care and Development Fund (CCDF)

Plan

**Child Care and Development Fund (CCDF) Plan
For**

Vermont
FFY 2014-2015

PART 1 ADMINISTRATION

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto.(658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

Effective Date: 01-OCT-13

Name of Lead Agency: Vermont Department for Children and Families (DCF)

Address of Lead Agency: 103 South Main Street, Waterbury, Vermont 05671-5920

Name and Title of the Lead Agency's Chief Executive Officer: Dave Yacovone, DCF Commissioner

Phone Number: 802-871-3395

Fax Number: 802-769-2064

E-Mail Address: dave.yacovone@state.vt.us

Web Address for Lead Agency (if any): <http://dcf.vermont.gov/>

1.1.2 Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c)(1))

a) Contact Information for CCDF Administrator:

Effective Date: 01-OCT-13

Name of CCDF Administrator: Barbara Thompson-Snow, MPH

Title of CCDF Administrator: Director of Child Care Licensing and Financial Assistance

Address of CCDF Administrator: 103 South Main Street, Waterbury, Vermont 05671-5500

Phone Number: 802-769-6496

Fax Number: 802-769-2064

E-Mail Address: barb.thompson-snow@state.vt.us

Phone Number for CCDF program information

(for the public) (if any): 800-649-2642

Web Address for CCDF program

(for the public) (if any): http://dcf.vermont.gov/cdd/child_care_financial_assistance

Web Address for CCDF program policy manual

(if any): http://dcf.vermont.gov/cdd/contact_us/cccsa/information_for/ccfap_policies

Web Address for CCDF program administrative rules

(if any):

http://dcf.vermont.gov/sites/dcf/files/pdf/cdd/care/2008_DCF_CDD_Child_Care_Subsidy_Regulations.pdf

f

b) Contact Information for CCDF Co-Administrator (if applicable):

Name of CCDF Co-Administrator: Reeva Sullivan Murphy, M.Ed.

Title of CCDF Co-Administrator: Deputy Commissioner, Child Development Division, DCF

Address of CCDF Co-Administrator: 103 South Main Street, Waterbury, Vermont 05671-5500

Phone Number: 802-769-6420

Fax Number: 802-769-2064

E-Mail Address: reeva.murphy@state.vt.us

Description of the role of the Co-Administrator:

Transitioning oversight of CCDF to new Administrator

1.2 Estimated Funding

1.2.1 What is your expected level of funding for the first year of the FY 2014 - FY 2015 plan period?

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2013 through September 30, 2014. (§98.13(a)).

Effective Date: 01-OCT-13

FY 2014 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$ 10,004,460

Federal TANF Transfer to CCDF: \$ 9,224,074

Direct Federal TANF Spending on Child Care: \$ 2,647,852

State CCDF Maintenance-of-Effort Funds: \$ 4,706,583

State Matching Funds: \$ 2,103,977

Reminder - Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply.

Territories not required to meet CCDF Matching and MOE requirements should mark

Effective Date: 01-OCT-13

N/A here

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

If checked, identify source of funds:

State General Funds

If known, identify the estimated amount of public funds the Lead Agency will receive: \$ 6,810,560

Private Donated Funds to meet the CCDF Matching Fund requirement. Only private received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

If checked, are those funds:

donated directly to the State?

donated to a separate entity(ies) designated to receive private donated funds?

If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact and type:

If known, identify the estimated amount of private donated funds the Lead Agency will receive:

State expenditures for Pre-K programs to meet the CCDF Matching Funds requirement.

If checked, provide the estimated percentage of Matching Fund requirement that will be

met with pre-k expenditures (not to exceed 30%):

If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services:

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement:

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

State expenditures for Pre-K programs to meet the CCDF Maintenance of Effort (MOE) requirements.

If checked,

The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1).

Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%):

If percentage is more than 10% of the MOE fund requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care:

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for MOE Fund requirement:

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014 - 2015. Note: Funding estimate is limited to FY 2014 In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

Effective Date: 01-OCT-13

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
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Infant/Toddler
Targeted Fund
\$ 155,000

1. \$ 55,000 part of a \$343,367 grant to **Community College of Vermont** for the "**Northern Lights Career Development Center**" (NLDC) to define and promote professional development standards, career pathways, related certificates and other aspects of the professional development system including:
support/coordination of entry level courses; the instructor registry; and the developing MATCH registry for mentors, advisors and coaches.

2. \$ 50,000 part of a \$242,434 grant to the **Vermont Child Care Industry and Careers Council, Inc. (VCCIC)** to: Support and promote the **Registered Child Care Apprenticeship Program**

Assist in purchasing college courses for apprentices and others
Promote and assist in alignment of workforce needs with secondary education
Provide information on and promote the statewide system of professional development including evaluation systems.
Participate in and promote the statewide mentoring (MATCH) system.

3. \$50,000 as part of \$93,689 awarded to the Permanent Fund for the Wellbeing of Young Children; **Vermont Birth to Three Initiative (VB3 - a public-private partnership)**. This grant supports **Starting Points Provider Networks**. These are networks of providers that come together both as small networks and as regional groups of networks to plan activities and learning

1. (NLDC): Professional development opportunities and pathways that are specific to infant and toddler practitioners are available as part of the overall professional development system.

2. (VCCIC, Apprenticeship Program): Improve quality of infant/toddler care care through targeted training and onsite support specific to infant and toddler practitioners through registered apprenticeship.

3. (VB3 Initiative): Increase quality of infant and toddler care through networks of mostly Family Child Care (FCC) providers who determine regional and individual network priorities regarding use of these funds.

1. (NLDC): More Vermont professionals working with infants and toddlers have increased and documented knowledge and skills. High Quality mentoring specific to infant and toddler care will become a strong component of Vermont's professional development system assuring that knowledge and practice are aligned.
2. (VCCIC, Apprenticeship Program): Registered Apprenticeship will continue to be available as a career development and learning pathway for practitioners working with infants and toddlers. The quality of infant and toddler care in Vermont will continue to improve in quality.

3. (VB3 Initiative): Increase continuous quality improvement in FCC providers serving infants and toddlers through mentoring and increased participation in VT STARS

	<p>opportunities that are provider driven and in coordination with other regional resources and state guidelines (such as documentation for professional development credit)</p> <p>A collaborative of philanthropic organizations sponsor the VB3 Initiative which provides mentoring services to Family Child Care (FCC) Programs, tests innovative practices that increase support for FCC providers serving infants and toddlers, incentivizes FCC participation in VT STARS, and add resources to enhance the capacity of Starting Points Networks.</p>		
<p>School-Age/Child Care Resource and Referral Targeted Funds \$ 285,897</p>	<p>1. \$285,897 Grant to Vermont Afterschool, Inc.. (Vermont Center for Afterschool Excellence)</p> <p>Develop and deliver professional development to the afterschool workforce that is aligned with approved afterschool competencies and in coordination with the NLCDC.</p> <p>Work with the CDD and the afterschool workforce in developing, promoting and informing the public regarding afterschool regulations</p>	<p>1. (VT Afterschool, Inc): Improve quality of Afterschool programs through appropriate professional pathways and related coursework, mentoring and program improvement grants</p>	<p>1. (VT Afterschool, Inc): Increased number of afterschool professionals are engaged in intentional effective and documented professional development. Afterschool regulations reflect the input of afterschool stakeholders. Approximately, 10 afterschool programs will receive grants to improve or expand their programs</p>

Quality Expansion
Targeted Funds
\$ 288,367

1. \$ 288,367 part of a \$343,367 grant to **Community College of Vermont** for the "**Northern Lights Career Development Center**" (NLDC) to define and promote professional development standards, career pathways, related certificates and other aspects of the professional development system including: support/coordination of Entry level courses; the instructor registry; and the developing MATCH registry for mentors, advisors and coaches.

1. (NLDC) Improve quality of care through: Level I and II learning opportunities are available and of high quality. Vermont's professional development system is clear and known, continually improving and supports professional growth. Professional development data is entered accurately into CDD Bright Futures Information System (BFIS) Statewide Course Calendar Instructor Registry System of recognizing mentoring and advising (MATCH) exists Providers are training on the BFIS PD Data is verified and accurately entered into BFIS

1. (NLDC): More Vermont professionals have increased and documented knowledge and skills. Providers will progress in their professional development and it will be accurately documented in the CDD Bright Futures Information System. High Quality mentoring will become a strong component of Vermont's professional development system assuring that knowledge and practice are aligned.

Quality Funds (not including Targeted Funds)

\$2,406,461

1. \$ 192,434 part of a \$242,434 grant to the **Vermont Child Care Industry and Careers Council, Inc. (VCCIC)** to: Support and promote the **Registered Child Care Apprenticeship Program**
 Assist in purchasing college courses for apprentices and others
 Promote and assist in alignment of workforce needs with secondary education
 Provide information on and promote the statewide system of professional development including evaluation systems.
 Participate in and promote the statewide mentoring (MATCH) system.

2

22. \$43,689 as part of \$93,689 awarded to the Permanent Fund for the Wellbeing of Young Children; **Vermont Birth to Three Initiative (VB3) - a public-private partnership**). This grant supports **Starting Points Provider Networks**. These are networks of providers that come together both as small networks and as regional groups of networks to plan activities and learning opportunities that are provider driven and in coordination with other regional resources and state guidelines (such as documentation for professional development credit)
 A collaborative of philanthropic organizations sponsor the VB3 Initiative which provides mentoring services to Family Child Care (FCC) Programs, tests innovative practices that increase support for FCC providers serving infants and toddlers, incentivizes FCC participation in VT STARS, and add

1. (VCCIC):
 Improve quality of care through targeted training and on-site support through registered apprenticeship.
 Increase access for the workforce to higher education opportunities.
 Increase number of industry recognized credentials supported at secondary education level.
 Increase awareness of and participation in Vermont's professional development system.
 A more robust and clear system of mentoring and advising to support professionalism and best practice.

2. (VB3 Initiative):
 Increase quality of care through networks of mostly Family Child Care (FCC) providers who determine regional and individual network priorities regarding use of these funds.

3. (CCCSAs)
 Provides accessible training and related supports customized to local/regional needs to early care and education and afterschool professionals in order to increase the quality of care for children and families.

1. (VCCIC)
 Registered apprenticeship will continue to be available as a career development and learning pathway.
 Approximately 100 individuals each year will successfully compete higher education courses sponsored by VCCIC and students will be clear about how to progress in their careers.
 More graduates of human services/technical schools will have industry-recognized credentials.
 Workforce is supported and best practice is implemented

2.(VB3 Initiative)
 Approximately 40 networks have contributed to developing strong leadership in the field and active engagement of many providers in self determination of training and other needs of the field.
 Peer mentoring has helped increase participation in professional development and VT STARS.

3. (CCCSAs)
 Early childhood and afterschool professionals meet or exceed the required training hours to be licensed or registered, attain career level certificates and increase or maintain points in QRIS (STARS).
 Parents are well informed about child care options in their community and understand the importance of choosing high quality child care.

resources to enhance the capacity of Starting Points Networks.

3. \$1,416,251 **Community Child Care Support Agencies (CCCSAs)**. 12 grants to **regional child care resource and referral agencies** for child care referral services and local professional development outreach and coordination that is aligned with state standards for professional development and program improvement.

4. \$150,032 Grant to administer **Vermont's QRIS, the Vermont Step Ahead Recognition and Improvement System (VT STARS)**

Administrative agency: receives and reviews STARS applications and reapplications; provides technical assistance on STARS requirements and processes to individuals and groups; seeks and implements strategies to promote and improve STARS; monitors on-going compliance with standards and develops the system of program assessment with approved assessment tools and assessors; and maintains data to be shared with the CDD and the VT STARS Oversight Committee.

5. \$200,000

----- **Program Quality Bonuses and Funding for Accreditation fees.** CDD pays a bonus to regulated early care and education programs for achieving accreditation and VT STARS (QRIS) levels . National accreditation

Provides child care referral assistance and consumer information about choosing developmentally supportive child care to over 5500 families annually statewide.
4. (QRIS: VT STARS): To ensure there is a well run QRIS that expands the number of high quality early care and education and afterschool programs available to Vermont children and families. Improve program quality and bring Vermont and national quality research initiatives and resources into a comprehensive QRIS system

5. (Program Bonuses and fees) Improve quality of care through providing incentives and rewards for programs to meet standards that are above licensing regulations

6. (Individual PD Bonuses et al) Improve quality of care/education through workforce development that is aligned with pathways and that are clear and include recognition bonuses and support for fees/tuition.

4. (QRIS: VT STARS) Program quality improves as indicated by increases in star levels and STARS participation. Parents will be aware of STARS as an indicator of quality and will discuss with their provider.

5. (Program bonuses and fees) Increased numbers of programs with formal documentation of program quality and clear pathways to achieve indicators of quality including national accreditation.

Increased access to high quality programs through enhanced subsidy rates paid to QRIS participating programs on behalf of eligible children/families. (tired reimbursement) (t(tired 99999((tiered reimbursement)
6. (Individual PD Bonuses et al) Increased numbers of early childhood and after school professionals with recognized credentials, coursework and degrees. Anticipated increase will be from 170 individuals earning achievement bonuses in SFY 2013 to 235+ in SFY 2014.

7. (PCAV) Children will be safer and supported appropriately in order to prevent or respond to suspected abuse or neglect. Hundreds of child care providers participate in PCAV trainings and evaluation from events indicates information has been learned. Follow up

application fees are paid. These are paid directly to providers through BFIS payment system.
Bonuses:
1 STAR: \$250
2 STARS:\$500
3 STARS:\$1000
4 STARS:\$1150
5 STARS:\$1550
National accreditation: \$1000

6. \$100,000
Individual Professional Development Achievement Bonuses, college tuition assistance and CDA fees. CDD pays bonuses (\$100 - \$1,200) for progress on Vermont's career ladder and/or for achievements on identified career pathways for early childhood and afterschool professionals. The Career ladder includes CDA and college coursework and degrees. Certificates are awarded for these and other documented achievements, a professional development plan and experience.

Bonuses:
\$100: NLCDC Level I Certificate or On-the-Job Training Certificate from VT Department of Labor
\$500: NLCDC Level II Certificate which may include CDA credential OR Agency of Education Teacher licensure, the Vermont Program Director Credential and the Early Childhood Family Mental Health Credential
\$150: First renewal of CDA
\$750: NLCDC Level III A which includes Registered Apprenticeship Certificate or Community College of VT CC Certificate & 2 years experience
\$1000: NLCDC Level III B which includes an

7. (PCAV)
Delivery of critical specialized training upon request throughout Vermont.
Assists providers in meeting the requirements of ACT I (Designed to inform the public about the issues pertinent to preventing child sexual abuse)

8. (Early/School Age Literacy)
VCB: Mother Goose Cares course, Birth to Three Numeracy standards, Ready for

calls and consultation is always available.
8. (Early and Schoolage Literacy)
VCB: Work with and inform revision of VT Early Learning Standards (VELS) and inform best practice
VSA providers will be more comfortable and skilled in caring for children with differing needs and increasing literacy for all children through the arts.
Increased number of specialized child care providers
Stern: Project will inform a community in best practices to support literacy. Will provide a model for future local work
9. (VCLF)
Approximately 10 programs will attain grants to improve or expand their program facility. Infant toddler care is prioritized in determining awards as is service to low income families.

10. (VAEYC)
Many hours of documented high quality training are added to individuals practitioner BFIS PD registry accounts.
Participants benefit from networking and may be inspired to further their education because of increased awareness of opportunities.
Programs

Programs are encouraged/supported in continuous quality improvement through participation in VT STARS and pursuit of national accreditation.

Associates Degree in a related field & 2 years experience
\$1200: NLDC IV, V, VI - this can include Bachelor's Masters', Doctorate , or PhD in a related field & 2 years experience.

7. \$117,055 Grant to **Prevent Child Abuse Vermont (PCAV) Training** on early childhood curricula that informs child care professionals regarding identifying, preventing and reporting suspected child abuse and training in support of the VT ACT I requirement that Licensed programs orient their staff to key issues related to the prevention of child sexual abuse

8. \$80,000 Grants to support **Early/School Age Literacy programs**
\$50,000: Vermont Center for the Book (VCB);
\$15,000 Very Special Arts Vermont (VSA);
\$ 15,000 Bennington County Early Literacy project (with the Stern Center)

9. \$75,000 Grant to **Vermont Community Loan Fund (VCLF) for facilities improvement and business training & technical assistance.** The VCLF provides up front technical assistance on financing , budget and facilities planning issues and manages a grant and loan process for regulated CC providers related to improving or expanding facilities.

10. \$17,000 P Grant to the **Vermont Association for the Education of Young Children (VAEYC).**

School training developed and aligned with core standards
VSA VT: on site 18 hour mentoring to support inclusion and engaging activities,
Stern: contribute to Bennington Project (with AOE) demonstration of literacy learning
alignment of practices from birth through 2nd grade

9. (VCLF)
Improve the condition and availability of child care facilities that have environments that are of high quality.

10. (VAEYC)
Increase quality of care by contributing to accreditation facilitation and the largest early childhood conference in Vermont which is well aligned with the statewide systems of professional development. Promote awareness of higher education opportunities.

11. (VCCPA)
the VCCPA mentoring/accreditation project to support providers attaining CDA's , NAFCC accreditation and STARS participatill engage with related organizations and initiatives.zzzntinuation of the VCCPA mentoring/accreditation

11. (VCCPA)
Increased opportunities for mentoring and advising and a potentially strengthened association made up of primarily family child care providers.

	<p>Contribute to an NAECP Accreditation Facilitation project and contribute to the VAEYC annual conference</p> <p>11. <u>\$15,000</u> Grant to Vermont Child Care Providers Association (VCCPA). Peer mentoring, advising and coordination with other groups such as the Professional Preparation and Development Committee and systems such as MATCH as it develops</p>	<p>project to support providers attaining CDA's , NAFCC accreditation and STARS particiCCPA will engage with related organizations aContinuation of the VCCPA mentoring/accreditation project to support providers attaining CDAs and NAFCC accreditation and increase STARS participation Encourage VCCPA to engage with related organizations and initiatives.</p>	
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1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

Note: This question is to obtain information on whether the Lead Agency retains decision making responsibilities regarding the quality dollars at the State/Territory level or if funds are distributed to local entities

Does the State maintain decisions at the State level, or are funds distributed to locals that have some decisions on how funds are spent.

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- No, the Lead Agency will not distribute any quality funds directly to local entities
- Yes, all quality funds will be distributed to local entities
- Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities

Other.
Describe:

1.3 CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the

expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

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Describe:

The Child Development Division (CDD) of DCF utilizes the following strategies to ensure effective controls are in place:

- Safeguards built into the data management system that identify and prevent double data entry and over-payments;
- Electronic collection of attendance linked to automation of accurate payments;
- Regulations to allow for suspension of providers from participation in the child care financial assistance program and possible legal action against providers who are substantiated for purposeful, fraudulent practices;
- Procedures for recovering overpayment including progressive repayment plans that are mutually agreed to by the provider and CDD;
- Processes to receive and regularly review complaints and reports related to identified “red flag” indicators of potential program violations;
- Sharing/comparing information with other benefit programs;
- Assignment of a Program Integrity Investigator assigned to CC Financial Assistance Program to pursue suspected intentional program violations;
- Review and approval of all financial assistance payments for each bi-weekly payroll period for purpose of identification and resolution of irregularities that indicate potential errors;
- Regular review and monitoring of fiscal reports for the CC Financial Assistance Program overall and of system generated reports related to “red flag” indicators of potential program violations;
- Review of program rules and processes to evaluate clarity and rigor in regard to program integrity;
- Regular participation in state-wide third party program audits – annually over past two state fiscal years; and

Monitoring Community Child Care Support Agencies (CCCSA) processes to determine eligibility for the Child Care Financial Assistance Program (CC FAP) including:

- Performance based agreements with CCCSAs specifying the quality and accuracy of eligibility determination activities that is required by the CDD;
- Shared use of a web-based, centralized integrated data system that includes a rules engine for the determination of eligibility for CC FAP;
- Detailed policy and procedures handbook related to CC FAP eligibility determination and utilized by all CCCSAs;
- Regular on-site monitoring to ensure compliance with regulations and quality assurance including individual case reviews by CDD CC FAP Grant Monitors;

- Regular on-site technical assistance from CDD CC FAP Grant Monitors;
- Required training for all new CCCSA eligibility determination specialists provided by CDD CCFAP Grant Monitors; and
- Conduct CCFAP Annual Statewide Meeting, Semi-Annual Regional Trainings and bi-monthly (every other month) conference calls to review policy and procedures and provide guidance to CCCSA eligibility determination specialists

1.3.2. Describe the processes the Lead Agency will use to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. (98.11 (a) (3))

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient and vendor** (http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

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Describe:

CDD administers the program

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

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Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>
Run system reports that flag errors (include types)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct supervisory staff reviews	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct data mining to identify trends	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe:

- Bright Futures Information System (BFIS) interfaces with other agencies and/or divisions information systems that provide information relevant to or necessary for eligibility determination such as TANF participation and child support. Also, comparisons with CACFP claims is used to identify discrepancies in enrollment/attendance information
- BFIS generates regular reports related to enrollment of subsidized children at or above licensed capacity, children with multiple providers, and providers with consistently high subsidy payments
- Child Care Financial Assistance Program (CC FAP) staff review bi-weekly automated attendance reporting before approving provider payments
- One FTE Program Integrity Investigator dedicated to the CC FAP who audits CC provider attendance reporting and investigates irregularities that indicate potential program violations or administrative errors
- CDD participates in state-wide third party program audits
- Grant monitors conduct on-site visits to Community Child Care Support Agencies monthly, to review case files for quality assurance, and review supervisory staff oversight activities
- Child care licensing staff reviews CC FAP enrollment lists when conducting licensing visits and report apparent discrepancies in enrollment or attendance to CC FAP staff. CC FAP Program Integrity Investigator conducts on-site visits and interviews parents to audit attendance and enrollment documentation
- Eligibility, enrollment, attendance and payment data is aggregated into program reports and regularly reviewed to detect any trends warranting further inquiry or investigation
- CDD has a multi-faceted approach to training CCCSA eligibility determination specialists which is described in 1.3.6 below

If the Lead Agency checked none, please describe what measures the Lead Agency has or plans to put in place to address program integrity:

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error? Check and describe in the chart below which strategies, if any, the Lead Agency will use for each of the following areas: Unintentional program violations (UPV), intentional program violations (IPV) and/or fraud, and administrative error as defined in your State/Territory. **The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud (98.60(i)).**

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Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: Bright Futures Information System (BFIS) interfaces with other agencies and/or divisions information systems that provide information relevant to or necessary for eligibility determination such as TANF participation and child support. Also, comparisons with CACFP claims is used to identify discrepancies in enrollment/attendance information	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit:			
One program integrity investigator, assigned to the CCFAP Unit, is specifically educated to CC FAP improper payments. The CC FAP manager assigns cases, where IPV is suspected, to this individual and works closely with them on ensuing investigation and recovery and consequences to provider status.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe:

When improper payments are identified in the CC FAP, the CCFAP Manager conducts a preliminary review to determine whether the incorrect payment is a result of administrative error on the part of the division or its agents or the CC provider or if there is reason to suspect intentional program violation. In cases of administrative error or unintentional program violation, the provider is contacted and overpayments are recovered through a repayment plan that usually includes reducing payments for subsidized care provided during subsequent pay periods. Targeted training and/or technical assistance at the source (either division staff, Community CC Support Agency staff or the CC Provider) usually ensues.

In cases of suspected intentional program violation, the case is referred to the Program Integrity Investigator in the CC FAP Unit. If fraud is substantiated, the CC provider is excluded from further participation in the CC FAP and a payment plan is established to recover overpayments. This may include tax or other income intercepts. The Attorney General's office makes decisions on whether or not to accept these cases for prosecution.

1.3.5. What type of sanction, if any, will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

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- None
- Disqualify client.

If checked, please describe, including a description of the appeal process for clients who are disqualified

- Disqualify provider.

If checked, please describe, including a description of the appeal process for providers who are disqualified

CC providers may appeal to the DCF Commissioner and the Vermont Human Services Board if they feel they have been unfairly excluded from participation in the CC FAP. This process includes a review and decision by a designee of the Commissioner in which the provider has an opportunity to present their perspective on the grounds for exclusion. If the provider is not satisfied with the Commissioner's Review decision they can continue their appeal to an impartial Human Services Board.

- Prosecute criminally
- Other.
Describe.

1.3.6 Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark

- N/A here

Effective Date: 01-OCT-13

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
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<p>1. Increase Quality Assurance in eligibility determination for CC assistance which is contracted to 12 Community Child Care Support Agencies (CCCSAs) in Vermont</p>	<p>1. Missing/insufficient documentation (22.8% of errors found in 2010 Improper Payments Review)</p>	<p>1. CDD program staff negotiated deliverables in performance based agreements with CCCSAs setting measurable targets for customer service and program integrity in relation to accuracy of eligibility determination in accord with the rules established in CC FAP</p>	<p>January 2012</p>
<p>2. Increase Training and Technical Assistance to eligibility specialists and supervisory staff in CCCSAs</p>	<p>2. Misapplication of policy (most common cause of error in 2010 Improper Payments Review)</p>	<p>CDD has hired an additional grant monitor to oversee CCCSAs</p> <p>Increase uniformity, consistency and frequency of on-site case review, technical support and corrective action. CDD has developed and implemented consistent protocols for site visits, case review and feedback.</p> <p>The 2010 review identifies errors by agency and eligibility specialist. Grant Monitors developed and implemented specific customized technical assistance plans based on 2010 results and monitoring data for each agency.</p> <p>Conference calls/Regional trainings conducted by CC FAP staff for CCCSA eligibility specialists</p>	<p>January 2012</p> <p>Winter 2011 developed TA plans</p> <p>February 2012 - Increase in frequency of on-site reviews due to hiring of additional grant monitor</p> <p>Oct 2011 & July 2012 full day training for all CCCSA eligibility specialists and supervisors. Annual Statewide Meetings are on-going</p> <p>January 2012, data collection sheets developed to record monitoring visits and file errors</p> <p>Conference Calls resumed April 2012</p>
<p>3. Review and update CC Financial Assistance Program (CCFAP) policies and procedures.</p>	<p>3. Computation error</p>	<p>3. A review of errors identified in 2010 Improper Payments Review and a close out interview with third party accounting agency, who conducted review activities, will inform a full review of policies and procedures by CC FAP program staff. Policies, procedures and reference manuals used by CCCSA eligibility specialists will be updated or revised as warranted.</p>	<p>Spring 2012 implementation of TA plans coordinated with on-going specialist training</p> <p>Review and revisions in FFY 2012</p> <p>Implementation in FFY 2013</p>

4. Systems Improvements and Enhancements to Bright Futures Information System	4. Lessons learned (402 Q12B) and insights gained from use of third party reviewer in 2010 review. The need to provide greater clarity regarding documentation and verification and also to better align with TANF and Child Welfare policies and processes. System error	4. Upgrade Bright Futures Information System (BFIS) to respond to end user input and prevent the types of system error discovered in the review	RFP released in summer 2011. Planning and development - fall 2011-winter 2012. Programming and testing spring 2013. Implementation and training for users summer 2013.
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1.4 Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Definition: *Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments. (§§98.12(b), 98.14(a)(1))

1.4.1 Identify and describe in the table below who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
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Representatives of general purpose local government (required)

This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.

Vermont does not have a formal system of County Government. Building Bright Futures links community-based planning and program development with a state-level Council charged with creating an integrated system of services. The Building Bright Futures Council was established in Vermont statute in 2010 through Act 104. Locally, there are 12 regional councils. Their charge is to coordinate regional programs, collect outcome data, communicate local gaps in services to the State Council and develop regional plans for service. Members include State of Vermont Agency and Departmental leaders, as well as child care providers, Vermont Business Roundtable, school district superintendent and school board members, and additional early childhood education stakeholders.

In collaboration with the Vermont Agency of Education (AOE), the CDD continues to meet with representatives of local education agencies to discuss coordination of pre-k and child care in communities.

Representatives of local education agencies participate with representatives from the CDD/DCF on the Center for Afterschool Excellence Advisory Board, the Interagency Coordinating Council and the Building Bright Futures Statewide Early Childhood Advisory Council.

People in this category are on our email contact list so they were notified about all opportunities to provide comments and to respond to the draft plan at the same level as everyone else.

For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.

<input checked="" type="checkbox"/> State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	<p>DCF and AOE co-administer state funded Pre-K under Vermont Act 62. Staff from these agencies meet regularly to collaborate on a variety of early childhood education issues relevant to activities described in this plan.</p> <p>In collaboration with the AOE, the CDD has met with representatives of local education agencies and community child care programs and providers to discuss coordination of pre-k and child care in communities.</p> <p>In collaboration with AOE, the CDD funds and participates on the Board of Vermont Afterschool, Inc (VT Center for Afterschool Excellence) which focuses on all afterschool programs in Vermont including 21st Century Community Learning Centers.</p>
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	<p>CDD administers IDEA Part C Early Intervention as a part of Children's Integrated Services. The Interagency Coordinating Council advises the CDD on all aspects of Children's Integrated Services including issues related to children with special needs in child care.</p> <p>CDD staff also participate on IDEA Section 619 Advisory group at VT. Agency of Education (AOE)</p>
<input type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	<p>CDD is responsible for Child Care Licensing</p>
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<p>CDD administers the Head Start Collaboration Grant. The Head Start Collaboration Office Director is a member of the CDD staff and its senior leadership team. CDD staff meet regularly with Vermont Head Start grantees and with the State Head Start Association.</p>

<input checked="" type="checkbox"/> <p>Statewide Advisory Council authorized by the Head Start Act</p>	<p>The Building Bright Futures (BBF) Council has been designated by the Governor of Vermont as the Statewide Advisory Council authorized by the Head Start Act.</p> <p>The Secretary of the Vermont Agency of Human Services and the Commissioner of DCF are members of the BBF Council, as is the Head Start Collaboration Office Director who is on the CDD staff.</p> <p>The CDD Deputy Commissioner consults regularly with BBF Council staff and Council members as well as with members of BBF Regional Councils on matters related to child care and child care subsidies.</p> <p>The CDD Deputy Commissioner and the Director of CC Licensing and Financial Assistance participate as members of the statewide BBF Early Care and Education Committee. CDD staff participate actively on all subcommittees of the BBF Council and communicate and collaborate regularly with 12 BBF Regional Councils.</p>
<input checked="" type="checkbox"/> <p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services</p>	<p>CDD administers state funded base grants to 15 Parent Child Centers in Vermont communities. CDD staff meet regularly with the Vermont Parent Child Center Network to discuss issues relevant to child development services including child care delivered by those agencies and partners in their communities.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>In Vermont, the Agency of Education is responsible for the CACFP.</p> <p>CDD/DCF staff, 3 Squares VT (SNAP) staff and AOE CACFP staff consult with Hunger Free Vermont and food security advocates to promote meals and nutrition services for children as part of early childhood and school age programs and to increase food security and healthy nutrition for young children and their families.</p> <p>In addition, the 12 Child Care Community Support Agencies with which CDD contracts, also assist child care providers and parents with enrolment in CACFP.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>CDD administers MECHV as part of Children's Integrated Services and collaborates closely with Vermont Department of Health/ Maternal and Child Health (VDH/MCH) staff to coordinate child health activities, home visiting, and child care.</p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)</p>	<p>Vermont Dept. of Health (VDH) is a sister agency to DCF in the Vermont Agency of Human Services. Staff from the two departments collaborate on child health issues and providing health consultation to child care programs.</p> <p>VDH/MCH staff are responsible for immunization and child health promotion. In 2011, CDD staff coordinated closely with VDH/MCH staff to implement new immunization surveillance regulations in CC programs. Providers have access to the on line Vermont Immunization Registry. Child Care Licensing requires that regulated care providers maintain VDH compliant, updated immunization information for children in care.</p> <p>CDD administers Early Childhood and Family Mental Health services as part of Children's Integrated Services and works closely with Vermont Department of Mental Health (DMH) to coordinate efforts to support children's social and emotional wellness through early care and education programs.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for child welfare</p>	<p>The Family Services Division (FSD) and the CDD are both part of the DCF. Deputy Commissioners meet regularly as part of the DCF Leadership Team and, with their staffs, plan together around early care and education services delivered to children with open protective services cases.</p>
<input checked="" type="checkbox"/> <p>State/Territory liaison for military child care programs or other military child care representatives</p>	<p>Vermont is one of 13 states participating in the Department of Defense funded Military Child Care Liaison Project. The Liaison's office is co-located with CDD. The Liaison has provided extensive support to CDD's year long rules revision process and it is anticipated the Liaison will be assisting with outreach as the new rules move through promulgation and into implementation.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services/workforce development</p>	<p>CDD works in partnership with the Vermont Department of Labor and the Vermont Child Care Industry and Careers Council (VCCICC) to support the Vermont Child Care Apprenticeship Program and connect to the Vermont Technical Centers working with high school students interested in careers in child care.</p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)</p>	<p>The Economic Series Division with responsibility for TANF and the CDD are both part of the DCF. Deputy Commissioners meet regularly as part of the DCF Leadership Team and, with their staffs, plan together around early care and education services delivered to children in families receiving Reach Up (TANF) benefits.</p>

<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State	<p>There are no federally recognized tribal organizations in Vermont. http://www.ncsl.org/issues-research/tribal/list-of-federal-and-state-recognized-tribes.aspx#TX</p>
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	<p>The work of Afterschool Vermont, Inc. (Vermont Center for Afterschool Excellence) is supported by: Charles Stewart Mott Foundation, Vermont Agency of Education, the CDD of DCF, Jessie B. Cox Trust and United Way of Chittenden County</p> <p>The Center is a public-private statewide partnership initiative dedicated to supporting and sustaining innovative learning opportunities that extend beyond the school day for all Vermont's children and youth. The Center's activities are directed toward building the capacity and commitment of Vermont communities to increase the quality and availability of programs during non-school hours.</p> <p>CDD staff have continued to participate in Strengthening Families TA activities and Vermont CDD and Family Services Division of DCF have adopted the Strengthening Families Framework as a guiding and unifying approach to building protective factors for families facing social and economic challenges.</p>
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	<p>The CDD supports and meets regularly with provider organizations including the Vermont Child Care Providers Association, Early Educators United, the Vermont Association for the Education of Young Children and Vermont Starting Points Networks.</p>
<input checked="" type="checkbox"/>	Parent groups or organizations	<p>The CDD maintains close connections with parent organizations that are included in the Vermont Early Childhood Alliance advocacy coalition and the Vermont Family Network.</p>
<input checked="" type="checkbox"/>	Local community organization, and institutions (child care resource and referral, Red Cross)	<p>The CDD consults regularly with the Community Child Care Support Agencies (CCCSA) that provide resource and referral services. CCCSAs are members of the Vermont Association of Resource and Referral Agencies (VACCRRRA). In 2013 the CDD has organized statewide discussions with the CCCSA directors to develop a weighted funding approach that better reflects the workload of regional outreach and eligibility support services.</p>

<input checked="" type="checkbox"/> Other	<p>The CDD works collaboratively with The Permanent Fund of Vermont, the Turrell Fund, the Henderson Foundation and other philanthropic partners to design, develop and implement shared and complementary strategies to increase the supply and quality of early care and education services for infants and toddlers in Vermont.</p> <p>Vermont Early Childhood Alliance is a collaborative early childhood advocacy effort in Vermont. CDD staff meet regularly with VERMONT EARLY CHILDHOOD ALLIANCE members and leaders to discuss and collaborate on policy issues relevant to child development and building a strong early care and education system in Vermont.</p>
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1.4.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §§98.14(C)). At a minimum, the description should include:

Effective Date: 01-OCT-13

a) Date(s) of notice of public hearing: 05/22/2013

Reminder - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing? Emailed to list-serve, posted to CDD website, newspaper advertisement(s) Date(s) of public hearing(s): 06/11/2013

Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2013).

d) **Hearing site(s)** Vermont Interactive Television: Bennington: Senior Service Center, 124 Pleasant Street; Brattleboro: Brattleboro Union High School 131 Fairground Rd Room 125; Lyndonville: Lyndon State College, 1001 College Road; Middlebury: Hannaford Career Center, 51 Charles Ave, 2nd Floor; Montpelier (broadcast site): Vermont Department of Labor, 5 Green Mountain Drive; Newport: North Country Union High School, 209 Veterans Avenue; Randolph Center: Vermont Technical College Morrill Hall; Rutland: Stafford Technical Center, 8 Stratton Road, Room 108; St. Albans: Bellows Free Academy-St. Albans 4 Hospital Drive; Springfield: Howard Dean Education Center, 307 South Street, 2nd Floor; White River Junction: Community College of Vermont 145 Billings Farm Road; Williston: Blair Park, 451 Lawrence Place

e) **How was the content of the Plan made available to the public in advance of the public hearing(s)?** Posted on the CDD website and emailed to list-serve

f) **How will the information provided by the public be taken into consideration in the provision of child care services under this Plan?** Consideration of public comments will be integrated into regular program review activities and amendments to the plan and child care services supported by CCDF will be made as feasible and warranted.

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.

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Strategies included use of Vermont Interactive Television to provide local access to the hearing, presentation of a PowerPoint highlighting the contents of the plan, holding the hearing during evening hours, availability of a video recording of the hearing for those who were not able to attend, use of an electronic survey available on the CDD website (before and after the public hearing) to collect and organize written comments.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services

Definition - *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007).
(658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

Note: Descriptions of how governments are organized for each State are provided at: http://www2.census.gov/govs/cog/all_ind_st_descr.pdf.

1.5.1. Identify and describe in the table below with whom the Lead Agency coordinates in the delivery of child care and early childhood and school-age services (§98.14(a)(1)).

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Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/> <p>Representatives of general purpose local government</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local education representatives, or local public health agencies.</p>	<p>In collaboration with VT AOE, CDD will meet with local education representatives to continue the implementation of publically funded pre-k programs in order to share information, clarify policies and processes and identify local successes and challenges in implementing pre-k programs and partnerships.</p> <p>A bill mandating universal access to Pre-K for 3 and 4 year olds was supported by the administration in the 2013 legislative session. The bill passed the House and AOE and DCF and the Administration will continue to support the bill in the 2014 legislative session.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>Strengthen and expand existing pre-k partnerships between local school districts and community early childhood programs and increase the number of communities offering publically funded pre-k services to 3 and 4 year olds.</p> <p>Simplify and streamline administration of publically funded pre-k in order to expand and increase publically funded pre-k services in Vermont communities.</p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>CDD/DCF will continue to work closely with AOE in effectively co-administering publically funded pre-k programming in Vermont. The two agencies will collaborate as leaders on improving early education for young children in Vermont as part of the BBF Council.</p> <p>CDD will work with AOE representatives and the Vermont Center for Afterschool Excellence to explore strategies to sustain 21st Century Community Learning Centers.</p> <p>CDD will work with representatives from AOE and the Northern Lights Career Development Center and other key stakeholders including public and private institutions of higher education to improve access to higher education for early care and education practitioners and articulation across higher education institutions in Vermont.</p>	<p>Increase coordination of professional development activities and certification for early childhood educators in public and private settings.</p> <p>Continually improve and expand effective, developmentally appropriate child assessment in pre-k programs.</p> <p>Maintain high standards that support developmentally beneficial practices in pre-k programs in Vermont.</p> <p>Create an aligned continuum of early learning guidelines for children from birth– 8 years of age.</p> <p>Afterschool opportunities in Vermont communities will be expanded and improved.</p> <p>Increased support for early care and education and afterschool practitioners participating in higher education.</p> <p>Improved coordination among institutions of higher education and between these and the Northern Lights Career Development Center.</p> <p>Increased numbers of early care and education and afterschool practitioners participating in credit bearing professional development experiences leading to relevant terminal degrees.</p>
<input checked="" type="checkbox"/> <p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services (required)</p>	<p>CDD will continue to collaborate with the Vermont Parent Child Center Network and the 15 Parent Child Centers to provide child development and family support services in Vermont communities.</p> <p>CDD will collaborate with sister agencies in the AHS to continue to build an integrated family approach aimed at promoting “upstream” services and early, effective interventions to achieve positive outcomes for children, youth and families experiencing social, economic and health challenges in their lives.</p>	<p>Parents of young children are well informed and actively engaged in their children’s learning.</p> <p>Parents are socially connected and have support systems in place.</p> <p>Parents have access to resources to meet their family’s basic needs.</p> <p>Pregnant and parenting teens have access to high quality services that help them achieve educational goals, develop supportive relationships with their children and improve economic stability and independence.</p> <p>An integrated continuum of human services for families to choose from will continue to be developed and delivered based on the diagnostic and functional needs of the child, youth and family.</p> <p>Services will be guided by best practices in clinical service, early intervention and family support.</p> <p>AHS funding will be integrated across programs to effectively advance AHS outcomes for children, youth and families.</p>

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>CDD and the VDH will continue to partner in the implementation of the Healthy Child Care Vermont project. CDD will continue to collaborate with the Department of Mental Health (DMH) to administer Early Childhood and Family Mental Health (ECFMH) as part of Children's Integrated Services. ECFMH provides expert education and consultation to early childhood programs around early childhood and family mental health at several levels of intensity.</p>	<p>Technical assistance from qualified child care health consultants is now available and will be expanded, serving regulated home based and center based child care programs, assisting them in meeting health and safety standards that assure children's health, safety and well-being. Early care and education and afterschool staff are well-trained to address the health and safety needs of children in care. Consultation from qualified early childhood mental health consultants will be available to high quality early care and education programs to assist them in supporting the social, emotional and mental health needs of young children and their families. Early care and education and afterschool staff are well-trained to address the social, emotional and mental health needs of young children and their families. Supportive and therapeutic early care and education programs are available to effectively serve children with extremely challenging behaviors or emotional difficulties. The need for special education services later in children's educational progression are reduced and children experiencing significant stress or disruption in their lives have greater stability in early care and educational placements.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for employment services / workforce development (required)</p>	<p>CDD will continue to work in partnership with the Vermont Department of Labor and the Vermont Child Care Industry and Careers Council (VCCICC) to support the Vermont Child Care Apprenticeship Program and connect to the Vermont Technical Centers working with high school students interested in careers in child care.</p>	<p>The child care workforce is appropriately prepared for careers in child care. Careers in early care and education and afterschool services are a viable and supported employment option. CC Apprenticeship opportunities are expanded throughout Vermont.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) including local human service agencies (required)</p>	<p>CDD will continue to collaborate with ESD to align policies and coordinate processes related to child care assistance for families participating in Reach Up (TANF) CDD and ESD will work with community partners to improve access to high quality child development and family support services for children and families participating in Reach Up (TANF).</p>	<p>Reach Up families will have affordable access to high quality child care services that meet their needs and preferences. Children in families participating in Reach UP will experience improved continuity of care and regular attendance in developmentally beneficial child care programs.</p>

<input type="checkbox"/> Indian Tribes/Tribal Organizations (required) <input checked="" type="checkbox"/> N/A: No such entities exist within the boundaries of the State		
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For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery

<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<p>CDD administers the Head Start Collaboration grant. CDD staff meet regularly with Vermont Head Start grantees and support strategic planning and implementation of Head Start initiatives and partnerships. The DCF has a formalized Memorandum of Understanding (MOU) with the Head Start Association to promote coordination between Head Start agencies and DCF divisions serving children receiving CC subsidies and TANF and children in protective services. The MOU expresses a shared commitment to the Strengthening Families framework related to building protective factors in families for vulnerable populations. The Head Start Collaboration Office works with the Head Start Association to present a expand Head Start partnerships in Vermont and will continue to explore opportunities to advance those priorities</p>	<p>Children and families in Vermont, especially those impacted by social and economic challenges, have access to high quality comprehensive early childhood services in their communities. Head Start partnerships strengthen the system of early childhood services in Vermont communities. Vulnerable populations of children in Vermont will experience improved continuity of care and regular attendance in comprehensive and developmentally beneficial child care programs. Vermont families will have access to early childhood services that build protective factors, expand parenting skills and increase their ability to advocate for and support their children's development and learning.</p>
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<input checked="" type="checkbox"/> State/Territory agency responsible for Race to the Top - Early Learning Challenge (RTT-ELC) <input type="checkbox"/> N/A: State/Territory does not participate in RTT-ELC	<p>DCF is identified by the Governor's Office as a co-lead with AOE in an application to compete for RTT-ELC funds in the recently released competition.</p>	
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<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p>CDD staff will work with staff from AOE and 3 Squares VT (SNAP) in consultation with Hunger Free Vermont and food security advocates to promote meals and nutrition services for children as part of early childhood and school age programs and to increase food security and healthy nutrition for young children and their families.</p>	<p>The number of early care and education and afterschool programs serving nutritious meals and snacks to children will increase.</p> <p>Parents will access support for good nutrition and healthy eating through early care and education and afterschool programs.</p> <p>The incidence of food insecurity and hunger for Vermont's children will decrease.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>CDD and AOE will work together to update the Interagency Agreement defining responsibilities for administering IDEA Part C, Early Intervention.</p> <p>CDD and AOE will coordinate development and promulgation of regulations for IDEA Part C and Section 619 preschool.</p> <p>CDD and AOE will continue to collaborate on professional development opportunities for practitioners working with children with special needs.</p>	<p>Vermont children experiencing adversity from developmental delays; impairments in speech, vision or hearing; or special needs and children experiencing family challenges that might cause stress that disrupts healthy brain development have full, equal and continuous access to early childhood prevention, intervention, child and family mental health and family support services at a sufficient level of service for a duration of time sufficient to produce improved outcomes for each child.</p>

<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p>VDH/MCH staff responsible for the MECHV grant administration will continue to co-locate at CDD to collaborate closely on Nursing and Family Support (Home Visiting) services provided through Children's Integrated Services.</p> <p>With the support of the PEW foundation, the Vermont Business Round Table convened a Home Visiting Alliance in Vermont that included VDH/MCH and CDD staff as well as other interested stakeholders. Legislation supporting high quality coordinated home visiting services was passed in 2013. The two state agencies are now collaborating with the Alliance to write regulations and implement the new legislation.</p>	<p>Pregnant women and very young children in Vermont have access to home visiting services delivered by well qualified professionals employing evidence driven best practice that improves nurturing parent-child relationships, informed parenting, and early child development.</p> <p>Investments in home visiting services in Vermont are coordinated as part of an integrated approach to family services that supports a continuum of holistic services delivered under a single case plan by a multi-disciplinary team</p> <p>Incidence of child abuse and neglect for children under three will decrease in Vermont, particularly in communities where targeted home visiting strategies are employed.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for child welfare</p>	<p>CDD will continue to collaborate with the Family Services Division of DCF (FSD) to align policies and coordinate processes related to child care assistance for children with open protective services cases.</p> <p>CDD and FSD will work with community partners to improve access to high quality child development and family support services for children with open protective services cases.</p> <p>CDD and FSD will collaborate on applying the Strengthening Families framework as a guide for department staff and community partners and a primary prevention strategy to reduce the incidence of child abuse and neglect.</p>	<p>Children in state custody and children living with biological parents with an open protective services case will have affordable access to high quality child development services that mitigate the effects of toxic stress on early brain development.</p> <p>Children in state custody and children living with biological parents with an open protective services case will experience improved continuity of care and regular attendance in developmentally beneficial child care programs that adopt the Strengthening Families framework and implement strategies to build protective factors in families.</p>
<input checked="" type="checkbox"/>	<p>State/Territory liaison for military child care programs or other military child care representatives</p>	<p>Our military liaison has been instrumental in helping with regulation revision and with work on quality issues and has contributed additional training resources linked to the DOD/Child Care aware</p> <p>The military liaison will participate in promulgation and training/implementation of the revised Vermont child care regulations.</p> <p>The State Family Program Director (SFPD) will serve as a resource for information about the needs of military families in the state and will utilize the resources of the joint Family Support Assistance (JFSAP) Office.</p>	<p>Plans, goals and priorities of mutual interest will be aligned.</p> <p>Active military families will have affordable access to high quality child care and child development services that meet their needs and preferences.</p> <p>Children in active military families, particularly children with deployed parents or those recently returned from deployment, will experience improved continuity of care and regular attendance in developmentally beneficial child development programs.</p>

<input checked="" type="checkbox"/>	<p>Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21</p>	<p>Participation in BUILD conferences regarding QRIS as well as webinars. Currently working with both the Center for the Study of Social Policy and FRIENDS regarding implementing Strengthening Families protective factors in child care and using the parent survey to contribute to understanding impact of these practices, the Vermont Center for Afterschool Excellence (now Vermont Afterschool) is our primary liaison to the Mott Statewide After-school Networks through their membership .</p>	<p>More information and support for the QRIS is greatly appreciated as we move forward with ongoing improvements and evaluation.</p> <p>We have relied heavily on CSSP and FRIENDS to help align many types of child care programs and other related services/programs under the protective factors framework.</p>
<input checked="" type="checkbox"/>	<p>Local community organizations (child care resource and referral, Red Cross)</p>	<p>CCR&Rs are a primary resource in communities to implement and deliver services to child care providers and families. CDD and CCR&Rs have worked together to create a CCR&R grant structure that focuses on outcomes within an agreed upon framework.</p>	<p>Increased effectiveness in support of child care provider quality and family's access to quality.</p>
<input checked="" type="checkbox"/>	<p>Provider groups, associations or labor organizations</p>	<p>The Vermont Child Care Providers Association, Starting Points Networks, VAEYC and Vermont Child Care Industry and Careers Council will all be invited to participate and provide feedback.</p>	<p>Increased support for the implementation of the plan and constructive input.</p>
<input checked="" type="checkbox"/>	<p>Parent groups or organizations</p>	<p>CDD will sustain connections to parent organizations that are included in the Vermont Early Childhood Alliance advocacy coalition and the Vermont Family Network.</p> <p>CDD/DCF leadership will look for opportunities in Vermont communities to meet parents and hear about their experiences in finding and using early care and education and afterschool services and other child development services in Vermont.</p>	<p>Parents' needs, preferences and perspectives will inform program decisions that affect access, affordability and quality of early care and education, afterschool and other child development services available to them across Vermont.</p>

<input checked="" type="checkbox"/>	Other	<p>CDD will continue to work collaboratively with the Early Head Start and Family Child Care Partnerships initiative to ensure that statewide systems support partnerships between Early Head Start and child care stakeholders.</p> <p>CDD/DCF will continue to work collaboratively with The Permanent Fund of Vermont, the Turrell Fund, the Henderson Foundation and other philanthropic partners to design, develop and implement shared and complementary strategies to support home-based providers delivering services</p> <p>Vermont's Governor is convening a broad summit inclusive of early care and education in October of 2013 to discuss and plan implementation of a framework aimed at "realizing the promise of every Vermont child." A diverse coalition of partners including the Governor's Office, multiple state agencies, private funders, the business community, advocates and other stakeholders are meeting to develop the framework, plan 8 pre-summit sessions to discuss key issues, and plan and prepare for the summit and post-summit activities.</p>	Enhanced dialogue and development of action steps among Vermont's early childhood stakeholders.
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1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan? Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other purposes, including fulfilling requirements of other programs.

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Yes. If yes,

a)
 Provide the name of the entity responsible for the coordination plan(s):
 Currently the Building Bright Futures statewide Early Childhood Council is identified as an entity responsible for coordination of early childhood in Vermont. The Vermont Center for After School Excellence (now Vermont Afterschool) fulfills this role for school aged services. The Governor will be convening a summit in October 2013 which will more clearly articulate a coordination plan and eventually a clear governing structure.

b)
 Describe the age groups addressed by the plan(s):

0-8 (EC), 6-12 (SA)

0-80

c)

Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):

Yes

No

d)

Provide a web address for the plan(s), if available:

No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs? (658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

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State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

If yes, describe entity, age groups and the role of the Lead Agency

State Advisory Council (as described under the Head Start Act of 2007).

If yes, describe entity, age groups and the role of the Lead Agency

Building Bright Futures (BBF) serves a dual role as both the Vermont Early Childhood Advisory Council and 501 (c) 3 statewide governance body for the early childhood system, aligning the work at the State level with the work of 12 regional Councils across Vermont to make improvements in access, quality, and affordability of early care, health, and education for families and young children 0-6. BBF is the umbrella organization to these 12 regional councils who work "on the ground" within their respective communities; planning, reaching, engaging young children and their families, and providing important linkages for those families in need to 'proven effective' community supports, both formal and informal.

Local Coordination/Council

If yes, describe entity, age groups and the role of the Lead Agency

Other

Describe

None

1.5.4 Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

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Yes .

If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership:

Active engagement with the philanthropic community has contributed greatly to the work of promoting quality of child care especially infant toddler care in family child care. We have seen increases in family child care providers participating in the QRIS and in the Professional Development System. The Vermont Business Roundtable has been instrumental and supportive of work with higher education and helping to improve articulation and awareness of the needs of the child care workforce.

No

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-01) located on the Office of Child Care website at: <http://www.acf.hhs.gov/programs/occ/resource/im-2011-01>

1.6.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

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Planning. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

Developed. A plan has been developed as of **[insert date]**: and put into operation as of **[insert date]**: , if available. Provide a web address for this plan, if available:

Other.
Describe:

The Department for Children and Families has developed a Continuity of Operations Plan ("COOP") that addresses continuation of services to CCDF funded families and coordination with other state agencies and key partners. This is published on an internal state website. Pending revised state regulations describe new emergency preparedness requirements for child care providers, and training is currently offered to providers regarding emergency preparedness and sheltering in place. The CDD plans to review the intersection of these activities to create a more cohesive and comprehensive plan for emergency preparedness and response.

1.6.2. Indicate which of the core elements identified in the Information Memorandum are or will be covered in the Lead Agency child care emergency preparedness and response plan. Check which elements, if any, the Lead Agency includes in the plan.

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- Planning for continuation of services to CCDF families
- Coordination with other State/Territory agencies and key partners
- Emergency preparedness regulatory requirements for child care providers
- Provision of temporary child care services after a disaster
- Restoring or rebuilding child care facilities and infrastructure after a disaster
- None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

2.1 Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

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Eligibility rules and policies (e.g., income limits) are set by the:

State/Territory

Local entity.

If checked, identify the type of policies the local entity(ies) can set

Other.

Describe:

Sliding fee scale is set by the:

State/Territory

Local entity.

If checked, identify the type of policies the local entity(ies) can set

Other.

Describe:

Payment rates are set by the:

State/Territory

Local entity.

If checked, identify the type of policies the local entity(ies) can set

Other.

Describe:

2.1.2. How is the CCDF program operated in your State/Territory? In the table below, identify which agency(ies) performs these CCDF services and activities.

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Implementation of CCDF Services/Activities

Agency (Check all that apply)

Who assists parents in locating child care (consumer education)?

Implementation of CCDF Services/Activities

Who determines eligibility?

Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe:

Reach Up (TANF) workers in DCF Economic Services Division (ESD) establish a need for service and approve eligibility for child care services for children and families participating in Reach Up. An automated electronic process transmits eligibility authorizations for these populations to the Community Child Care Support Agency specialists who create a certificate by connecting authorized Reach Up families to child care providers.

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

For children in Protective Service, the caseworker in the Family Services Division (FSD) approves child care as part of a safety plan for children with an open protective services case. An automated electronic process transmits eligibility authorizations for these populations to the Specialized Child Care Coordinators in community-based local Children's Integrated Services Teams who create a certificate by connecting authorized Protective Services children to approved Specialized CC Services.

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

For children who are not participating in TANF or under protective services, eligibility staff in community based child care resource and referral agencies determine eligibility based on Child Care Financial Assistance Program rules.

Who assists parents in locating child care (consumer education)?

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

The CDD Bright Futures Information System (BFIS) provides a web-based searchable database with CC provider information that assists families in locating child care. The CDD website also contains information for parents on the benefits of choosing high quality child care. This information is also published in a booklet available in community agencies.

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

Community Child Care Support Agencies are funded to provide referral services and information about the benefits of selecting high quality child care to all Vermont families

Who issues payments?

Agency (Check all that apply)

- CCDF Lead Agency
- TANF agency
- Other State/Territory agency.

Describe:

Attendance information is transmitted through a web-based system (BFIS). More than 80% of providers receive payments through electronic fund transfer. Providers may opt to receive paper checks instead.

- Local government agencies such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe:

Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc)

Payments are issued directly to child care providers who have submitted attendance on behalf of participating families.

Other. List and describe:

2.2. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e). **Note** - For any information in questions 2.2.1 through 2.2.10 that differs or will differ for families receiving TANF, please describe in 2.2.11.

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

- CCDF Lead Agency
- TANF offices
- Other government offices
- Child care resource and referral agencies
- Contractors
- Community-based organizations
- Public schools
- Internet

(provide website): <http://dcf.vermont.gov/cdd>

- Promotional materials
- Community outreach meetings, workshops or other in-person meetings
- Radio and/or television
- Print media
- Other.

Describe:

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

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- In person interview or orientation
- By mail
- By Phone/Fax
- Through the Internet

(provide website): <http://www.brightfutures.dcf.state.vt.us>

- By Email
- Through a State/Territory Agency
- Through an organization contracted by the State/Territory
- Other.

Describe:

2.2.3. Describe how the Lead Agency provides consumer education to parents applying for CCDF assistance to promote informed choices about the quality of

care provided by various providers in their communities.

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Lead Agencies must certify that the State/Territory will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices (658E (c)(2)(G), §98.33).

For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or informational brochures that address importance of quality and different care options available.

The Child Development Division:

- enters into and monitors performance based agreements with Community Child Care Support Agencies to provide personalized consumer education services to all families with particular focus on families applying for CCDF assistance;
- provides and maintains an on-line searchable data base of all regulated child care providers that includes regulatory history and participation and rating in Vermont Step Ahead Recognitions System (STARS) and/or national accreditation;
- provides informational printed materials that address child care quality and options available to Vermont families

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory.

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For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.

Child Development Division:

- supports technical assistance in improving quality and navigating the Vermont STARS through agreements with Community Child Care Support Agencies in every region of the state;
- supports training about VT STARS and help with applying for and moving up in VT STARS through an agreement with a community agency responsible for statewide STARS administration;
- provides one time modest bonuses to providers for advancing up each level of STARS;
- uses tiered reimbursement rates in the CC Financial Assistance Program with significantly higher rates for subsidized families using programs with VT STARS ratings especially for those programs with ratings at 3 or more STARS (of five);
- structures tiered reimbursement in such a way as to support lower co-payments for subsidized families using higher quality care as documented by VT STARS;
- will work to increase public awareness of VT STARS and use of VT STARS ratings as a factor in choosing child care for Vermont families; and
- is working with a coalition of private funders to develop and implement a plan to increase registered

Family Child Care Home providers' participation and ratings in VT STARS with particular attention to increasing the supply and quality of early care and education for infants and toddlers.

2.2.5. Describe how the Lead Agency promotes access to the CCDF subsidy program? Check the strategies that will be implemented by your State/Territory.

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- Provide access to program office/workers such as by:
- Providing extended office hours
- Accepting applications at multiple office locations
- Providing a toll-free number for clients
- Email/online communication
- Other.

Describe:

Provide access to Child Care Financial Assistance Program (CCFAP) applications and assistance in completing an application and navigating the application process and CCFAP program in Community Child Care Support Agencies located in communities throughout the state.

- Using a simplified eligibility determination process such as:
- Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
- Developing a single application for multiple programs
- Developing web-based and/or phone-based application procedures
- Coordinating eligibility policies across programs.

List the program names: Reach Up (TANF), Family Services (protective services/child welfare) and Medical Assistance

- Streamlining verification procedures, such as linking to other program data systems
- Providing information multi-lingually
- Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment).

Length of time: 1 month with the ability to request two additional 1 month extensions within a calendar year.

(Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).

- Other.

Describe:

Other.
Describe:

None

2.2.6. Describe the Lead Agencies policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

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Provide CCDF assistance during periods of job search.

Length of time: 1 month with the ability to request two additional 1 month extensions within a calendar year.

Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

Synchronize review date across programs

List programs:

Longer eligibility re-determination periods (e.g., 1 year).

Describe:

Eligibility is approved for a period of 12 months.

Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs.

Describe:

Extend periods of eligibility for school-age children under age 13 to cover the school year.

Describe:

- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
- Individualized case management to help families find and keep stable child care arrangements.

Describe:

The Community Child Care Support Agencies work directly with the family to identify alternative service need or other community supports when the family's service need or income changes. Child Care Referral and Resource agencies provide a child care referral specialist who is specially trained to help families search for child care when the family's child care is no longer available.

- Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year

- Other.

Describe:

The CDD administers Strengthening Families grants to center based providers serving subsidized families to promote continuity of care in high quality settings. Strengthening Families centers may not require co-payments over and above subsidy for families eligible for full subsidy. They must have achieved and maintain a level of 3 STARS or higher. They must provide family support activities that promote child attendance and increase continuity of care. They receive specialized training in the Strengthening Families Framework (SFF) and must evaluate their programs annually using the SFF program evaluation tool and commit to continuously improve aspects of the program that promote continuity of care and protective factors in families.

- None

2.2.7. How will the Lead Agency provide outreach and services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

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- Application in other languages (application document, brochures, provider notices)
- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available
- Outreach Worker
- Other.

Describe:

None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered :

Spanish, French, Arabic, Vietnamese, Russian, Bosnian, Burmese, Somali, Swahili, and Nepalese.

2.2.8. How will the Lead Agency overcome language barriers with providers? Check the strategies, if any, that your State/Territory has chosen to implement.

Effective Date: 01-OCT-13

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages
- Website in non-English languages
- Bilingual caseworkers or translators available
- Collect information to evaluate on-going need, recruit, or train a culturally or linguistically diverse workforce
- Other.

None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the languages offered:

Spanish, French, Arabic, Vietnamese, Russian, Bosnian, Burmese, Somali, Swahili, and Nepalese.

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a))

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Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available: http://dcf.vermont.gov/cdd/child_care_financial_assistance

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
---	---

<input checked="" type="checkbox"/> Applicant identity	Application self-declaration Verify SSN through direct interface with ESD benefit programs
<input checked="" type="checkbox"/> Household composition	Application self-declaration – Cross reference with Economic Services Division (ESD) data
<input checked="" type="checkbox"/> Applicant's relationship to the child	Application self-declaration – Cross reference with Economic Services Division (ESD) data
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	Application self-declaration Verify SSN through direct interface with ESD benefit programs
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Request employment verification form, pay stubs, tax returns, school registration, grades.
<input checked="" type="checkbox"/> Income	Request employment verification and or pay stub contracts, tax returns, child support disbursement history statement, court orders, letters from SSA as necessary depending on individual's service need. Check the interface with ESD
<input checked="" type="checkbox"/> Other. Describe: Communication with other Departments, Division and Programs staff regarding adoption agreements, Reach Up participation, foster care, etc.	Communication with other Departments, Division and Programs staff regarding adoption agreements, Reach Up participation, foster care, etc.

2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

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Time limit for making eligibility determinations.

Describe length of time 7 business days to initiate determination process, 30 days to finish completed applications.

Track and monitor the eligibility determination process

Other.

Describe

None

2.2.11. Are the policies, strategies or processes provided in questions 2.2.1 through 2.2.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

Yes.

If yes, describe:

No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement.

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act. In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

Effective Date: 01-OCT-13

a) Identify the TANF agency that established these criteria or definitions:

State/Territory TANF Agency Department for Children and Families, Economic Services Division

b) Provide the following definitions established by the TANF agency.

- "appropriate child care": An available child care slot with a licensed or registered provider within five miles of the parent or caretaker's residence or normal route to a program activity or employment that corresponds to the days and hours care is needed and the age of the child needing care; or the participant or caretaker chooses a legally exempt child care (LECC) provider who is in compliance with the law over a regulated child care provider.
- "reasonable distance": Located within five miles of the parent or caretaker's residence or on route to a program activity or employment that corresponds to the days and hours care is needed and the age of the child needing care.
- "unsuitability of informal child care": Child care that the Child Development Division (CDD) classifies as legally exempt child care (LECC), and that a participant or caretaker determines to be unacceptable; and child care that CDD classifies as either a registered family child care home or a licensed child care center, and that a participant or caretaker determines to be unacceptable, when such determination is confirmed by the CDD. If the only available child care is with a LECC provider, the participant or caretaker is not required to use it.
- "affordable child care arrangements": Child care services by a provider that accepts the state

subsidy as full payment for services or charges a co-pay above the subsidized rate that the family can pay without hardship.

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

In writing

Verbally

Other.

Describe:

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

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residing with -

living in the same household

in loco parentis -

an individual other than a parent, age 18 or older, fulfilling a parental role in caring for a dependent child by providing physical care, guidance and decision-making related to the child's health, school, medical care and discipline.

2.3.2. Eligibility Criteria Based Upon Age

Effective Date: 01-OCT-13

a) The Lead Agency serves children from 6 weeks to 12 years (may not equal or exceed age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

Yes, and the upper age is 18 (may not equal or exceed age 19).
Provide the Lead Agency definition of *physical or mental incapacity* -

A physical or mental condition as documented by a physician/psychologist which prohibits the child from being able to safely care for him/herself

No.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

Yes, and the upper age is (may not equal or exceed age 19).

No.

2.3.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

Effective Date: 01-OCT-13

a) How does the Lead Agency define "working" for the purposes of eligibility? Provide a narrative description below, including allowable activities and if a minimum number of hours is required.

Reminder - Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search and travel time. (§§98.16(f)(3), 98.20(b))
working-

Employment: involvement in an activity, either in or out of the home, through which hourly compensation of at least minimum wage is received. (no minimum hours) This includes activity related to employment, including hours of rest or sleep, as needed for 2nd or 3rd shift employment or training and may include not more than two hours a day travel time.

Self Employment: business activity, either in or out of the home, through an average monthly net income equivalent to the number of hours worked times the Vermont minimum wage is earned. May include not more than two hours a day travel time between the child care facility and the place of employment including the home if the business is run from the family's primary residence.

Start Up Self Employment. An activity determined as likely to lead to self-employment within one year. Earning minimum wage is not required during this period. May include not more than two hours a day travel time between the child care facility and place of employment including the home if the business is run from the family's primary residence.

Seeking Employment: Involvement in activities generally recognized as necessary to obtain employment or training leading to employment. Families seeking employment may receive child care financial assistance for a period of one month unless the period is extended by the Commissioner or designee. Applicants are able to request two additional 1 month extensions in a 12 month period.

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

Yes.

If yes, how does the Lead Agency define "attending job training or educational program" for the purposes of eligibility? Provide a narrative description below.

Reminder - Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

attending job training or educational program -

Demonstrated participation in a program which is likely to lead to employment within one year after completion of the program. This need can also be established if the training or education program is required to maintain employment. Approved training programs include, without limitation, the following:

- Work programs, training programs, and other activities approved by DCF's Economic Services Division as part of the caretaker's family development plan;
- Work or training programs approved by the Department of Labor;
- Work study programs or training programs related to employment;
- High school, public or private, and high school equivalency programs such as Adult Basic Education (ABE) or General Equivalency Diploma (GED);
- Post-secondary courses at an accredited or recognized institution of higher education offering certification or associate and bachelor degree course work;
- Non-traditional and/or on line training approved on an individual basis; and
- Community service time/training.

Authorization of child care financial assistance is limited to the number of days and hours related to training or education and may include travel time up to two hours per day. Volunteer work and post-bachelor education are not eligible activities.

No.

2.3.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

Effective Date: 01-OCT-13

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

Yes.

If yes, how does the Lead Agency define "protective services" for the purposes of eligibility? Provide a narrative description below.

Reminder - Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. Lead Agencies may elect to include homeless children and other vulnerable populations in the definition of protective services.

Note - If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities for CCDF purposes these children are considered to be in protective services and should be included in this definition.

protective services

A set of personalized and planned child development services designed to intervene positively in a child's life.

Subsidized early care and education may be used as an intervention and safety strategy that promotes child development in the implementation of the Department for Children and Families, Family Services Division (DCF FSD) case plan for children in state custody in foster care or in the custody of biological parents or kith and kin caregivers.

Early care and education may also be authorized as a prevention and early intervention service designed to reduce stress for families and their children and promote positive child development while avoiding the intervention of the DCF FSD. This may be authorized after a confidential application and risk assessment has been completed by the local Children's Integrated Services Team.

No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

Yes.

No.

2.3.5. Income Eligibility Criteria

Effective Date: 01-OCT-13

a) How does the Lead Agency define "income" for the purposes of eligibility? Provide the Lead Agency's definition of "income" for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

income -

The total (gross) monthly income received by a child and her/his primary caregivers which is derived from any source except for the following noted in below in section "b".

b) Which of the following sources of income, if any, will the Lead Agency exclude or deduct from calculations of total family income for the purposes of eligibility determination? Check any income the Lead Agency chooses to exclude or deduct, if any.

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses
- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above:

withdrawal from bank deposits, money borrowed, self employment expenses, military pay for primary caregivers deployed on active duty

None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

- Children under age 18
- Children age 18 and over - still attending school
- Teen parents
- Unrelated members of household
- All members of household except for parents/legal guardians
- Other.

Describe:

None

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2013 poverty guidelines are available at <http://aspe.hhs.gov/poverty/13poverty.shtml>.

Family Size	(a) 100% of State Median Income (SMI)(\$/month)	(b) 85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	n/a	NaN		
2	n/a	NaN		
3	5698.56	4844	3255	57
4	6784	5766	3925	58
5	7869.05	6689	4595	58

e) Will the Lead Agency have "tiered eligibility" (i.e., a separate income limit at re-determination to remain eligible for the CCDF program)?

Yes.

If yes, provide the requested information from the table in 2.3.5d and **describe below**:

Note: This information can be included in the table below.

No.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month)[Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI[Divide (c) by (a), multiply by 100]
1				

2				
3				
4				
5				

f) SMI Year Estimate and SMI Source ACF Federal Register Vol 78, No 94, 5/15/2013
 d
 FFY2014
 LIHEAP

g) These eligibility limits in column (c) became or will become effective on:
 July 1, 2013

2.3.6. Eligibility Re-determination

Effective Date: 01-OCT-13

Does the State/Territory follow OCC's 12 month re-determination recommendation? (See Program Instruction on Continuity of Care <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>)

- Yes
- No. If no, what is the re-determination period in place for most families?

- 6 months
- 24 months
- Other.

Describe:

- Length of eligibility varies by county or other jurisdiction.

Describe:

b) Does the Lead Agency coordinate or align re-determination periods with other programs?

- Yes. If yes, check programs that the Lead Agency aligns eligibility periods with and describe the redetermination period for each.

- Head Start and/or Early Head Start Programs.

Re-determination period:

- Pre-kindergarten programs.

Re-determination period:

TANF.

Re-determination period:

SNAP.

Re-determination period:

Medicaid.

Re-determination period:

SCHIP.

SCHIP.

Re-determination period:

Other.

Describe:

No.

c) Describe under what circumstances, if any, a family's eligibility would be reviewed prior to redetermination. For example, regularly scheduled interim assessments, or a requirement for families to report changes.

It is the family's responsibility to report any changes that may affect their eligibility (e.g., change in family composition, income, etc.).

d) Describe any action(s) the State/Territory would take in response to any change in a family's eligibility circumstances prior to re-determination

If the change decreases the financial assistance, the change becomes effective 1 month from the date of notice to give the family time to prepare for the reduction in their benefit. If the change benefits the family, eligibility is updated immediately.

e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. (See Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>).

CC FAP promotes continuity of care for children through the following:

- Extending the duration of eligibility to 12 months
- Allowing the family to self-report any changes that may affect their eligibility
- Providing payment for up to two (2) pay periods when a parent has a temporary lapse of eligibility such as job loss or a break in school schedule, provided the required documentation established by the CDD has been submitted by the parent/primary caretaker

f) Does the Lead Agency use a simplified process at re-determination?

Yes.

If yes, describe:

No.

2.3.7. Waiting Lists

Describe the Lead Agency's waiting list status. Select **ONE** of these options.

Effective Date: 01-OCT-13

Lead Agency currently does not have a waiting list and:

All eligible families *who apply* will be served under State/Territory eligibility rules

Not all eligible families *who apply* will be served under State/Territory eligibility rules

Lead Agency has an active waiting list for:

Any eligible family who applies when they cannot be served at the time of application

Only certain eligible families.

Describe those families:

Waiting lists are a county/local decision.

Describe:

Other.

Describe:

2.3.8. Appeal Process for Eligibility Determinations

Effective Date: 01-OCT-13

Describe the process for families to appeal eligibility determinations:

If an application for the CC Financial Assistance Program (CC FAP) is denied or the applicant is dissatisfied with the level of eligibility determination, the eligibility decision may be appealed. Eligible families have the right to appeal the amount of financial assistance authorized, a change in the amount of assistance authorized or the determination of service need. Appeals must be submitted in writing to the Child Development Division (CDD) within 30 days of a decision. The CDD will conduct a Commissioner's Review and determine if CC FAP rules were correctly applied. If the appellant is dissatisfied with the outcome of the Commissioner's Review, they may pursue a request for a Fair Hearing with the Human Services Board within 30 days of the CDD determination as provided for in state statute. A Hearing Officer will then review the decision and render a written recommendation to the Human Services Board. The Human Services Board shall conduct a Fair Hearing according to its Rules and shall issue the final decision.

Unless initial eligibility is denied, subsidy to a family will continue during period(s) of appeal.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. Will the attached sliding fee scale be used in all parts of the State/Territory?

Effective Date: 01-OCT-13

Yes.

Effective Date: July 1, 2013

No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.1a, 2.4.1b, etc.**

2.4.2. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option..

State Median Income,

Year:

Federal Poverty Level,

Year: 2013

Income source and year varies by geographic region.

Describe income source and year:

Other.

Describe income source and year:

2.4.3. How will the family's contribution be calculated and to whom will it be applied? Check all that the Lead Agency has chosen to use. (§98.42(b))

Effective Date: 01-OCT-13

Fee as dollar amount and

Fee is per child with the same fee for each child

Fee is per child and discounted fee for two or more children

Fee is per child up to a maximum per family

No additional fee charged after certain number of children

Fee is per family

Fee as percent of income and

Fee is per child with the same percentage applied for each child

Fee is per child and discounted percentage applied for two or more children

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

Fee as percent of benefit (rate paid by state for age of child/type of provider/quality rating of provider/amount of time authorized). Fee is per child with the same percent of benefit applied for each child.

If the Lead Agency checked more than one of the options above, describe:

2.4.4. Will the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

Effective Date: 01-OCT-13

Yes,
and describe those additional factors:

No.

2.4.5. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select ONE of these options.

Reminder - Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 2.3.4.a).

Effective Date: 01-OCT-13

ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee.

The poverty level used by the Lead Agency for a family of 3 is: 1628

SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.

The Lead Agency waives the fee for the following families:

2.5. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance to children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

Effective Date: 01-OCT-13

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
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<p>Children with special needs</p> <p>Provide the Lead Agency definition of <i>Children with Special Needs</i>:</p> <p>Child has a significant health or specialized developmental need as documented by a licensed physician and/or licensed psychologist or by the assessment determining eligibility for Special Education or Early Intervention Services that includes child care</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe: _____</p> <p><input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care</p> <p><input checked="" type="checkbox"/> Prioritizes quality funds for providers serving these children</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p> <div style="border: 1px solid black; height: 150px; width: 100%;"></div>
<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of <i>Children in Families with Very Low Incomes</i>:</p> <p>Children eligible for 100% benefit on the CC FAP Sliding Fee Scale (at or below 100% 2013 FPL). Priority rules in this category also apply to eligible children in families receiving TANF benefits.</p>	<p><input type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input checked="" type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p>	<p><input type="checkbox"/> Yes.</p> <p>The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input type="checkbox"/> Different eligibility thresholds.</p> <p>Describe: _____</p> <p><input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input type="checkbox"/> Other.</p> <p>Describe:</p> <div style="border: 1px solid black; height: 150px; width: 100%;"></div>

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of

becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4)) **Reminder** - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

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- Use priority rules to meet the needs of TANF families (describe in 2.5.1 or 2.5.3.)
- Waive fees (co-payments) for some or all TANF families who are below poverty level
- Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
- Other.

Describe:

Require Strengthening Families center based grantees to waive any cost sharing requirements for families at or below 100% of poverty, receiving TANF benefits, or in protective services.

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** - Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Effective Date: 01-OCT-13

Term(s) - Definition(s)

Describe:

N/A

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a))

2.6.1. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- Before parent has selected a provider
- After parent has selected a provider
- Other.

Describe:

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- Certificate form provides information about choice of providers
- Certificate is not linked to a specific provider so parents can choose provider of choice
- Consumer education materials (flyers, forms, brochures)
- Referral to child care resource and referral agencies
- Verbal communication at the time of application
- Public Services Announcement
- Agency

Website: <http://dcf.vermont.gov/cdd>

- Community outreach meetings, workshops, other in person activities
- Multiple points of communication throughout the eligibility and renew process
- Other.

Describe:

c) What information is included on the child care certificate? **Attach a copy of the child care certificate as Attachment 2.6.1.** (658E(c)(2)(A)(iii))

- Authorized provider(s)
- Authorized payment rate(s)
- Authorized hours
- Co-payment amount
- Authorization period
- Other.

Describe:

Amount of care authorized (part time or full time)

d) What is the estimated proportion of services that will be available for child care services through certificates?

100%

2.6.2. Child Care Services Available through Grants or Contracts

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a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note:** Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

Yes.

If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts:

No. If no, skip to 2.6.3

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following? Check the strategies, if any, that your State/Territory chooses to implement.

- Increase the supply of specific types of care
- Programs to serve children with special needs
- Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
- Programs to serve infant/toddler
- School-age programs
- Center-based providers
- Family child care providers
- Group-home providers
- Programs that serve specific geographic areas
- Urban
- Rural
- Other.

Describe:

- Support programs in providing higher quality services
- Support programs in providing comprehensive services
- Serve underserved families.

Specify:

Other.

Describe:

c) Are child care services provided through grants or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

Yes.

No,

and **identify** the localities (political subdivisions) and services that are not offered:

d) How are payment rates for child care services provided through grants/contracts determined?

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts?

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)) Check the strategies that will be implemented by your State/Territory.

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- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other.

Describe:

Parent materials, CCR&R guidance and training and information on agency website

2.6.4. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

Effective Date: 01-OCT-13

- No
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care?
Check all limits the Lead Agency will establish.
- Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
- Restricted based on provider meeting a minimum age requirement
- Restricted based on hours of care (certain number of hours, non-traditional work hours)
- Restricted to care by relatives
- Restricted to care for children with special needs or medical condition
- Restricted to in-home providers that meet some basic health and safety requirements
- Other.

Describe:

2.6.5. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32)

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DCF, as the lead agency for the CCDF, staffs the Consumer Education Line. This line is staffed from 8:00 a.m. to 4:30 p.m., Monday through Friday, and voice mail assures 24 hour a day, 7 day a week phone access, for anyone wishing to leave information related to a complaint or wanting information on the regulatory status of a child care provider.

The staff for the Consumer Education Line register all complaints. If the complaint is of a nature that would indicate a potential regulatory violation, the complaint is referred to a licenser for follow-up. If the complaint is substantiated, the substantiation is part of the permanent public record, which is available for review upon request. Information on substantiated regulatory violations is given over the phone by the Consumer Education Specialist. All substantiated regulatory history information is also available on line through the BFIS system for the public to access.

Regulatory and complaint information is maintained on all providers who are subject to regulation under Vermont law.

The Consumer Education Line also serves as a statewide vehicle for education about what is quality care and how to locate it. The Consumer Education Line is a 1-800 number, which is published in a variety of brochures and information packets and distributed by state agency staff, CCCSAs and other community partners.

2.7. Payment Rates for Child Care Services

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish adequate payment rates for child care services that ensure eligible children equal access to comparable care.

2.7.1. Attach a copy of your payment rates as Attachment 2.7.1. Will the attached payment rates be used in all parts of the State/Territory?

Effective Date: 01-OCT-13

Yes. Effective Date: November 3, 2013 (On October 1, 2013 current payment rates will be in effect, see attachment with effective date January 1, 2010. The legislature has appropriated funds to increase base rates by 3% effective November 3, 2013, see attachment with effective date January 1, 2013). Ensuing responses in this section will refer to rates in effect as of November 3, 2013)

No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.1a, 2.7.1b, etc.**, etc.

2.7.2. Which strategies, if any, will the Lead Agency use to ensure the timeliness of payments?

Effective Date: 01-OCT-13

Policy on length of time for making payments.

Describe length of time: Providers are paid every two weeks for care provided and reported for a two week period three weeks prior to payment. Payments are run every week in order to pick up payments

Track and monitor the payment process

Other.

Describe:

Use of an automated attendance reporting and payment system that simplifies attendance reporting and significantly reduces time between provider reporting and payment

None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2009). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 <http://www.acf.hhs.gov/programs/occ/resource/pi-2009-02> for more information on the MRS deadline).

Effective Date: 01-OCT-13

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): 10/2012

b) Provide a summary of the results of the survey.

The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

Child Care Market Rate Survey was completed in October 2012 based on the market rates of programs collected through the state's child care database, Bright Futures Information System (BFIS). All regulated programs are encouraged to submit their rates to BFIS and the participation rate was 68% of licensed centers and 90% of registered home based programs. BFIS collects rates based on set schedules of part time day, full time day, part time week, full time week and extended care rates. Programs submit their rates to the state to be entered into BFIS and provide their rate for the set schedule. The 2012 Child Care Market Rate Survey found that overall The survey indicated an overall increase of rates charged to families across provider types. Licensed program rates increased an average of 5% from 2010, while registered home programs increased an average of 7%. It also found that the 2012 Child Care Financial Assistance Program (CCFAP) base rate for licensed programs was at the 12th percentile of the market rate for preschool age children, while the 2012 state 4 STAR rate for licensed programs was at the 45th percentile. The 2012 Child Care Financial Assistance Program (CCFAP) base rate for registered home programs was at the 1st percentile of the market rate for preschool age children, while the 2012 state 4 STAR rate for registered home programs was at the 47th percentile.

2.7.4. Describe the payment rate ceilings in relation to the current MRS using the tables below.

2.7.4a - Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$974.25	\$611.61	20.45%
Full-Time Licensed Center Preschool (59 months)	\$866.00	\$578.01	14.68%
Full-Time Licensed Center School-Age (84 months)	\$838.94	\$560.65	16.26%

2.7.4b - Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$692.80	\$509.73	5.09%
Full-Time Licensed Center Preschool (59 months)	\$649.50	\$440.92	1.96%
Full-Time Licensed Center School-Age (84 months)	\$649.50	\$424.30	8.49%

2.7.4c - Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$974.25	\$611.61	20.45%
Full-Time Licensed FCC Preschool (59 months)	\$866.00	\$578.01	14.68%
Full-Time Licensed FCC School-Age (84 months)	\$838.94	\$560.65	16.26%

2.7.4d - Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$692.80	\$509.73	5.09%
Full-Time Licensed FCC Preschool (59 months)	\$649.50	\$440.92	1.96%
Full-Time Licensed FCC School-Age (84 months)	\$649.50	\$424.30	8.49%

2.7.5. How are payment rate ceilings for license-exempt providers set?

Effective Date: 01-OCT-13

a) Describe how license-exempt center payment rates are set:

Anyone providing care for children from more than two families in the state of Vermont is required to be regulated, without exception. All center based programs are regulated. The CDD has established a daily rate of reimbursement for all legally exempt providers (ie: non regulated family, friend or neighbor caring for children from no more than two families) identified by families and approved by the Division.

b) Describe how license-exempt family child care home payment rates are set:

Anyone providing care for children from more than two families in the state of Vermont is required to be regulated, without exception. All center based programs are regulated. The CDD has established a daily rate of reimbursement for all legally exempt providers (ie: non regulated family, friend or neighbor caring for children from no more than two families) identified by families and approved by the Division.

c) Describe how license-exempt group family child care home payment rates are set:

Anyone providing care for children from more than two families in the state of Vermont is required to be regulated, without exception. All center based programs are regulated. The CDD has established a daily rate of reimbursement for all legally exempt providers (ie: non regulated family, friend or neighbor caring for children from no more than two families) identified by families and approved by the Division.

d) Describe how in-home care payment rates are set:

Anyone providing care for children from more than two families in the state of Vermont is required to be regulated, without exception. All center based programs are regulated. The CDD has established a daily rate of reimbursement for all legally exempt providers (ie: non regulated family, friend or neighbor caring for children from no more than two families) identified by families and approved by the Division.

<i>Age Category</i>	<i>Part Time</i>	<i>Full Time</i>	<i>Extended Time</i>
<i>Infant</i>	9.16	16.03	22.40
<i>Toddler</i>	9.16	16.03	22.40
<i>Preschool</i>	7.84	13.39	18.44
<i>School Age</i>	7.84	13.39	18.44

2.7.6. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.

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Differential rate for nontraditional hours.

Describe:

Differential rate for children with special needs as defined by the State/Territory.

Describe:

Approved Specialized CC Services CC providers serving children with identified special needs as described in 2.5.1 receive a 7% differential in payment rates (this includes children in protective services)

Differential rate for infants and toddlers.

Describe:

Differential rate for school-age programs.

Describe:

Differential rate for higher quality as defined by the State/Territory.

Describe:

see tiered reimbursement based on documentation of quality through participation in the Vermont Step Ahead Recognition System (STARS):

- 1 star: 5% above base
- 2 stars: 10% above base
- 3 stars: 20% above base
- 4 stars: 30% above base
- 5 stars: 40% above base

Other differential rate.
Describe:

None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see Information Memorandum on Continuity of Care for examples <http://www.acf.hhs.gov/programs/occ/resource/im2011-06>), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

2.7.7. What policies does the Lead Agency have regarding any additional fees that providers may charge CCDF parents? The Lead Agency...

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Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate

Pays for provider fees (e.g., registration, meals, supplies).

Describe:

Policies vary across region, counties and or geographic areas.

Describe:

Other.
Describe:

2.7.8 What specific policies and practices does the Lead Agency have regarding the following:

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a) Number of absent days allowed. Describe

Child Sick Days - Unlimited; Child Vacation Days - 10 days per fiscal year (July-June); Provider Closed Days - 15 days per fiscal year (July-June)

b) Paying based on enrollment. Describe

Providers must develop a record keeping system for each child's attendance and record dates and actual hours for each eligible subsidy child. The subsidy payment is based on the child's authorized hours and the attendance submitted.

c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe

Providers submit attendance for two-week intervals called service periods. Service periods are fixed and cover the fiscal year (July-June).

d) Using electronic tools(automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe

Providers may sign up to become an e-provider and complete their attendance reports on-line. Providers also have the option to have their payment direct deposited.

2.7.9. Describe how payment rates are adequate to ensure equal access to the full range of providers based on the Market Rate Survey.

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)):

All families are allowed to select any regulated provider of any type in good standing or a family member, friend, or neighbor who meets the minimum health and safety qualifications required to serve as their legally exempt provider in the CC FAP to care for their children. Our tiered reimbursement rates are structured so that higher quality care, as indicated by STARS ratings of 3 or higher, is as affordable as unrated or legally exempt care for low income families. We have established payment policies that reflect industry standards and payment practices that reimburse providers for services proximal to the time of delivery thus increasing the number of providers who are willing to serve families receiving child care assistance.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)):

Vermont last rate increase was in January of 2010. For State Fiscal Year 2013 the Governor's budget proposed increasing CCFAP rates to align with the results of the 2010 MRS. Sufficient funds were not appropriated by the legislature to reach that goal. Funds were appropriated to increase the base rate by 3% starting in November 2013. Funds were also appropriated to adjust the sliding fee scale to current Federal Poverty levels (2013).

CCFAP data shows that more providers serving subsidized children are entering and improving ratings in STARS thus capturing higher rates of reimbursement and that the number of subsidized children in higher quality care as indicated by a rating of 3 STARS or higher, is also increasing. We are continuing to encourage and support that trend. The average cost per case in the CC Financial Assistance Program has risen steadily and DCF annually requests and receives CCFAP budget increases to support the tiered reimbursement system.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)):

Very low income families receiving 90 – 100% of the Vermont CC Financial Assistance Program benefit typically pay significantly less than 10% of family income for child care services.

Vermont structures the financial assistance sliding fee scale to address a cliff effect for families transitioning off of financial assistance for child care.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates

2.8 Goals for the next Biennium - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices).

Note -When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

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Goal #1:

Propose and support an increase in CCFAP rates in State Fiscal Year 2015 beginning July 2014.

Goal #2:

Explore the efficacy and value added of using contracts to support child care subsidies in high quality Strengthening Families programs.

Goal #3:

Review and revise policies and processes related to legally exempt child care providers receiving CCFAP subsidies with the intent of aligning with newly proposed federal policies and improving the quality of care for children.

PART 3

Health and Safety and Quality Improvement Activities

**3.1. Activities to Ensure the Health and Safety of Children in Child Care
(Component #1)**

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements. The CCDBG statute and the CCDF regulations address health and safety primarily in two ways.

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i)). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4.

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i)). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing as defined by the State/Territory. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is

provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) (658E(c)(2)(F), §98.41).

Effective Date: 01-OCT-13

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

Yes.

No.

Please identify the State or local (if applicable) entity/agency responsible for licensing:

b) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory.

Licensing requirements serve as CCDF health and safety requirements for all regulated providers participating in the Vermont Child Care Financial Assistance Program (CC FAP). Any person or program providing child care or child development services to children from two or more families other than their own is subject to CC regulation.

c) Do the State/Territory's licensing requirements serve as the CCDF health and safety requirements?

	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Family Child Care	In-Home Care <input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.
Yes, for all providers in this category	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p>Yes, for some providers in this category</p>	<p>Describe RECREATION PROGRAMS - Programs exempt from licensure pursuant to 33 V.S.A. §3502(b) that operate for no more than four hours one day a week or not more than two hours two days a week whose primary function is other than the care, supervision and protection of children; or operate 13 consecutive weeks or less which provide a variety of activities including, but not limited to athletics, and arts and crafts to children who have completed kindergarten or who will reach their sixth birthday by September 1st of the enrollment year; or operate part day programs less than four hours per day and thirteen weeks or less per year providing a variety of activities including but not limited to athletics, arts or crafts and socialization to children age three, four and five; or programs which provide for the development of a single skill based on activity such as skiing, pottery making, computer</p>	<p>Describe NA</p>	<p>Describe Family child care providers caring for children from no more than two families other than their own are exempt from licensing requirements.</p>	<p>Describe NA</p>
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	operation, tennis or musicianship for children ages four years and older. 21st Century Learning Centers in schools are not required to apply for an afterschool license but may not participate in the CCDF subsidy unless they voluntarily become licensed			
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	Describe NA	Describe NA	Describe NA	Describe NA

d) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. For each CCDF category of care, please identify which types of providers are subject to licensing and which providers are exempt from licensing in your State/Territory in the chart below. **Note: OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care but consistent with your reported 801 data.**

CCDF Category of Care	CCDF Definition (§98.2)	Which providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?

<p>Center-Based Child Care</p>	<p>Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of center-based settings are subject to licensing in your State/Territory</p> <p>All, with the exception of 21st Century Learning Centers in schools as noted in section "c".</p>	<p>Describe which types of center-based settings are exempt from licensing in your State/Territory.</p> <p>21st Century Learning Centers in schools are not required to apply for an afterschool license but may not participate in the CCDF subsidy unless they voluntarily become licensed</p> <p>RECREATION PROGRAMS - Programs exempt from licensure pursuant to 33 V.S.A. §3502(b) that operate for no more than four hours one day a week or not more than two hours two days a week whose primary function is other than the care, supervision and protection of children; or operate 13 consecutive weeks or less which provide a variety of activities including, but not limited to athletics, and arts and crafts to children who have completed kindergarten or who will reach their sixth birthday by September 1st of the enrollment year; or operate part day programs less than four hours per day and thirteen weeks or less per year providing a variety of activities including but not limited to athletics, arts or crafts and socialization to children age three, four and five; or programs which provide for the development of a single skill based on activity</p>
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			such as skiing, pottery making, computer operation, tennis or musicianship for children ages four years and older.
<p>Group Home Child Care</p> <p>N/A. Check if your State/Territory does not have group home child care.</p> <p><input type="checkbox"/></p>	<p>Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of group homes settings are subject to licensing</p> <p>All</p>	<p>Describe which types of group homes are exempt from licensing:</p> <p>None</p>
<p>Family Child Care</p>	<p>Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.</p> <p>Reminder - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are subject to licensing</p> <p>All who care for the children of more than two families other than their own children.</p>	<p>Describe which types of family child care home providers are exempt from licensing:</p> <p>Family child care providers caring for children of no more than two families other than their own children.</p>

In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	<input checked="" type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory. Describe which in-home providers are subject to licensing	Describe which types of in-home child care providers are exempt from licensing
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Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/CFOC3> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's:**

e) **Indicate** whether your State/Territory licensing requirements include any of the following four indicators for each category of care*.

*American Academy of Pediatrics, American Public Health Association, National Resource Center for Health and Safety in Child Care and Early Education. (2011) *Caring for Our Children: National Health and Safety Performance Standards; Guidelines for Early Care and Education Programs. 3rd Edition.* Elk Grove Village, IL: American Academy of Pediatrics; Washington, DC: American Public Health Association. Available online: <http://nrckids.org/CFOC3>

For each indicator, check all requirements for licensing that apply, if any.				
Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
		<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)

Do the licensing requirements include **child:staff ratios and group sizes?**

If yes, provide the ratio for age specified.

<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child:staff ratio requirement:	<input checked="" type="checkbox"/> Yes, Child: staff ratio requirement.	<input type="checkbox"/> Yes, Child: staff ratio requirement.
Infant ratio (11 months): 4:1 (6wk-23m)	Infant ratio (11 months): NOTE: A second staff person is present and on duty when the number of children exceeds 6 and there are no more than 2 children under 24 months of age per staff person; or when children under age 3 are enrolled: there is at least 1 staff person present and on duty when 3 or fewer children are in care and there are at least 2 staff persons present and on duty when 4-7 children are in care and there are at least 3 staff persons present and on duty when 8 or more children are in care.	List ratio requirement by age group: During school year: 6 children any age including up to 2 children under the age of 2 per caregiver; 4 school age children not to exceed 4 hours per child. SUMMER VACATION-up to 12 children in care provided that at least 6 have been to kindergarten or graded school and a second caregiver is present and on duty when the number exceeds 6.	List ratio requirement by age group:
Toddler ratio (35 months): 5:1 (24-35m)			<input type="checkbox"/> No ratio requirements.
Preschool ratio (59 months): 10:1 (3yr.-Kindergarten)			<input type="checkbox"/> Yes, Group size requirement.
<input type="checkbox"/> No ratio requirements.			<input type="checkbox"/> List ratio requirement by age group:
<input checked="" type="checkbox"/> Yes,			<input type="checkbox"/> No group size requirements.
Group size requirement Infant group size (11 months): maximum 8			
Toddler group size (35 months): maximum 10			
Preschool group size (59 months): maximum 20			
<input type="checkbox"/> No group size requirements.	Toddler ratio (35 months): As noted above	<input type="checkbox"/> No ratio requirements.	
	Preschool ratio (59 months): As noted above	<input checked="" type="checkbox"/> Yes, Group size requirement.	
	<input type="checkbox"/> No ratio requirements.	<input type="checkbox"/> List ratio requirement by age group: See note above	

		<input checked="" type="checkbox"/> Yes, Group size requirement Infant group size (11 months): As noted above Toddler group size (35 months): As noted above Preschool group size (59 months): As noted above	<input type="checkbox"/> No group size requirements.	
		<input type="checkbox"/> No group size requirements.		

Do the licensing requirements identify specific experience and educational credentials for child care directors?

<input checked="" type="checkbox"/>	High school/GED	<input checked="" type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input checked="" type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input checked="" type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input checked="" type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input checked="" type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	For programs with less than 60 children a CDA credential or AA is accepted. Experience is also required.		Plus 2 years' experience		

Do the licensing requirements identify specific educational credentials for child care teachers?

<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input checked="" type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input checked="" type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input type="checkbox"/>	Other:
	Plus experience		Director and Teacher are the same		Director and Teacher are the same		

Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year?

<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year	<input type="checkbox"/>	At least 30 training hours required in first year
<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year	<input type="checkbox"/>	At least 24 training hours per year after first year
<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement	<input type="checkbox"/>	No training requirement
<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:	<input checked="" type="checkbox"/>	Other:
	12 hours annually (CPR and First Aid certifications in addition)		12 hours annually, plus within six months of hire, all paid staff counted in the staff/child ratios shall have training in basic first aid for children, injury prevention and emergency readiness. At least one staff person shall be present who is certified in Infant/Child CPR		6 hours annually, plus CPR achieved and renewed after first year

f) Do you expect the licensing requirements for child care providers to change in FY2014-2015?

Yes.
Describe:

The Child Development Division has completed a year long, stakeholder intensive review and rewriting of all childcare regulations. Promulgation of the rules is anticipated to begin during the summer of 2013, with implementation to follow

No.

3.1.2 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.2a through 3.1.2e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

a) Does your State/Territory include **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the licensing requirements?

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Yes. If "Yes" please refer to the chart below and check all that apply.

No.

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
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<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Technical Assistance visits and some complaint visits may be announced.	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:
<input checked="" type="checkbox"/> Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Technical Assistance visits and some complaint visits may be announced.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Field Licensing Staff to program ratios allow for annual visits to Center-Based programs. Home based programs may only be visited every 1-3 years unless complaints are submitted or technical assistance is needed.

<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Technical Assistance visits and some complaint visits may be announced.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe: Field Licensing Staff to program ratios allow for annual visits to Center-Based programs. Home based programs may only be visited every 1-3 years unless complaints are submitted or technical assistance is needed. Legally exempt programs are only visited if complaints are submitted.
<input type="checkbox"/> In-Home Child Care <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe: Legally exempt programs are only visited if complaints are submitted.

b) Does your State/Territory have any of the following procedures in place for effective enforcement of the licensing requirements? If procedures differ based on the category of care, please indicate how in the "Describe" box.

- Yes. If "Yes" please refer to the chart below and check all that apply.
- No.

Licensing Procedures

Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.

The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.

Yes.

Describe:

No.

Other.

Describe:

Licensed Centers must demonstrate that directors of the program meet qualifications prior to issuing a license. Licensed Family Homes ("Group Home Child Care") require the provider to live in the home and meet director qualifications for that classification. Registered Family Home ("Family Child Care") providers must attend an orientation regarding child care and resources in the community just prior to or within 90 days of receiving the Registration.

The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.

An on-site inspection is conducted.

Programs self-certify.

Describe:

No procedures in place.

Other.

Describe:

Licensed Centers and Licensed Family homes – licensers visit at least once prior to issuing a license, often two or more times with the last visit scheduled when the program is fully set up and ready to open. Registered Homes do not routinely receive a pre-visit from licensing, but Community Agency partners conduct a visit to the home prior to registration.

Licensing staff has procedures in place to address violations found in an inspection.



Providers are required to submit plans to correct violations cited during inspections.



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



Licensing staff provide technical assistance regarding how to comply with a regulation.



No procedures in place.



Other.

Describe:

Correction plans are not universally required, depending on the severity of the violation. There is some flexibility if immediate correction can be accomplished at the time of the site visit.

Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.



Provisional or probationary license



License revocation or non-renewal



Injunctions through court



Emergency or immediate closure not through court action



Fines for regulatory violations



No procedures in place.



Other.

Describe:

The State/Territory has procedures in place to respond to illegally operating child care facilities.

<input checked="" type="checkbox"/>	Cease and desist action
<input checked="" type="checkbox"/>	Injunction
<input type="checkbox"/>	Emergency or immediate closure not through court action
<input type="checkbox"/>	Fines
<input type="checkbox"/>	No procedures in place.
<input type="checkbox"/>	Other.
	Describe:

The State/Territory has procedures in place for providers to appeal licensing enforcement actions.

<input checked="" type="checkbox"/>	Yes.
	Describe: An internal "Commissioner's Review" process examines the appeal and provides a formal determination to uphold or reverse the enforcement action. A second appeal to the Human Services Board of the Agency of Human Services is available.
<input type="checkbox"/>	No.
<input type="checkbox"/>	Other.
	Describe:

c) Does your State/Territory use **background checks as a way to effectively enforce the licensing requirements?**

- Yes.If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency
- No.

CCDF Categories of Care	Types of Background Check	Frequency	Who is Subject to Background Checks?
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<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Teaching staff
		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Non-teaching staff
		Describe: NA	<input checked="" type="checkbox"/> Volunteers
			<input type="checkbox"/> Other.
			NA
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director
	<input type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Teaching staff
		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Non-teaching staff
		Describe: NA	<input checked="" type="checkbox"/> Volunteers
			<input type="checkbox"/> Other.
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Director
	<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Teaching staff	
	<input type="checkbox"/> Other.	<input type="checkbox"/> Non-teaching staff	
	Describe: NA	<input type="checkbox"/> Volunteers	
		<input type="checkbox"/> Other.	
		NA	
<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Director	
	<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Teaching staff	
		<input checked="" type="checkbox"/> Non-teaching staff	

		<input type="checkbox"/> Other.	<input checked="" type="checkbox"/> Volunteers
		Describe: NA	<input type="checkbox"/> Other.
			NA

<input checked="" type="checkbox"/> Group Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
<input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	Required of all residents of the home aged 16 and older.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	Describe: NA	
	<input type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
	<input type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Other.	Required of all residents of the home aged 16 and older.
	<input checked="" type="checkbox"/> Sex Offender Registry	Describe: NA	
		<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Provider
		<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	NA
		Describe: NA	
		<input checked="" type="checkbox"/> Initial Entrance into the System	<input checked="" type="checkbox"/> Provider
		<input checked="" type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Non-provider residents of the home.
		<input type="checkbox"/> Other.	Required of all residents of the home aged 16 and older.
		Describe: NA	

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Family Child Care Homes

Child Abuse Registry

State/Territory Criminal Background

Check if the State/Territory background check includes fingerprints

FBI Criminal Background (e.g., fingerprint)

Sex Offender Registry

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:
Legally Exempt Child Care providers are checked each time a new family/child is associated with that LECC provider, but not on a routine annual basis.

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:
Legally Exempt Child Care providers are checked each time a new family/child is associated with that LECC provider, but not on a routine annual basis.

Initial Entrance into the System

Checks Conducted Annually

Other.

Provider

Non-provider residents of the home.

Legally Exempt Child Care providers are checked each time a new family/child is associated with that LECC provider, but not on a routine annual basis.

Required of all residents of the home aged 16 and older.

Provider

Non-provider residents of the home.

Legally Exempt Child Care providers are checked each time a new family/child is associated with that LECC provider, but not on a routine annual basis.

Provider

		Describe: NA	<input type="checkbox"/> Non-provider residents of the home.
		<input checked="" type="checkbox"/> Initial Entrance into the System	NA
		<input checked="" type="checkbox"/> Checks Conducted Annually	
		<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Provider
		Describe: Legally Exempt Child Care providers are checked each time a new family/child is associated with that LECC provider, but not on a routine annual basis.	<input checked="" type="checkbox"/> Non-provider residents of the home. Legally Exempt Child Care providers are checked each time a new family/child is associated with that LECC provider, but not on a routine annual basis.

<input checked="" type="checkbox"/> In-Home Child Care Providers <input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e)	<input checked="" type="checkbox"/> Child Abuse Registry <input checked="" type="checkbox"/> State/Territory Criminal Background <input type="checkbox"/> Check if the State/Territory background check includes fingerprints <input type="checkbox"/> FBI Criminal Background (e.g., fingerprint) <input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: When providing LECC care to new children/families <input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe: When providing LECC care to new children/families <input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe: NA <input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. When providing LECC care to new children/families <input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. When providing LECC care to new children/families <input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home. NA <input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home. When providing LECC care to new children/families
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		<input checked="" type="checkbox"/> Other. Describe: When providing LECC care to new children/families	
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d) Please **provide a brief overview** of the State/Territory's process for conducting background checks for child care. In this brief overview, include the following:

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d -1) The cost associated with each type of background check conducted:

Background checks are performed by Division personnel with appropriate authorizations and utilizing applicable databases. Cost includes staff time to complete searches and process files.

d-2) Who pays for background checks:

The Division does not charge providers for background checks.

d-3) What types of violations would make providers ineligible for CCDF? Describe:

Prohibited person based on history of child or adult abuse or sexual abuse, conviction of a felony, fraud and or act of violence.

d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe:

Providers may apply for a variance to Division based Background Check Committee. Occasionally stipulated agreements are arranged to ensure a prohibited household member is not present during child care hours.

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? Describe (658E(c)(2)(E), §98.40(a)(2))

not applicable

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other "search tools," about child care program licensing status and compliance records?

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Yes.

Describe:

BFIS is the on-line tool utilized by the Division for Licensing and CCFAP documentation. A public portal is available through the CDD website with the capacity to search providers and receive basic information regarding a provider's regulatory history and QRIS (STARS) status. If a regulated provider is cited for a serious violation, a "Parental Notification Letter" must be distributed to parents of children in care at that facility. (http://dcf.vermont.gov/child_care).

No

3.1.3. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and which also may be covered by the licensing requirements. (658E(c)(2)(F), §98.41)

Check if the Lead Agency certifies that there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

a) **Describe** the Lead Agency's health and safety requirements for prevention and control of infectious disease in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(i), §98.41(a)(1))

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.

The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input type="checkbox"/> Physical exam or health statement for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical exam or health statement for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for providers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tuberculosis check for children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Hand-washing policy for providers and children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Diapering policy and procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other.				
Describe: Universal precautions for blood borne pathogens, policy to exclude sick children and staff.				

b) **Describe** the Lead Agency's health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.				
The Lead Agency requires:	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Health inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe: Lead paint inspection and annual Essential Maintenance Practices to prevent lead poisoning.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc). 'On-going' would be some type of routine occurrence (e.g., maintain qualifications each year).

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	NA	Within six months of hire all paid staff counted in staff/child ratios shall have obtained training in basic first aid for children, injury prevention and emergency readiness ..
	CPR	NA	All staff shall obtain training in rescue breathing, airway obstruction and infant/child CPR.
	Medication Administration Policies and Practices	NA	Regulated programs must establish written procedures related to medication administration and must document staff orientation to the procedures and ongoing compliance. The CDD has sponsored a multi-module medication administration training program that fulfills training hour requirements.

	Poison Prevention and Safety	NA	Regulations note, "Children in care shall be protected from any and all conditions, which threaten a child's health, safety and well-being. This includes protecting children from ... poisonous plants, asbestos, wells, chips and dust from lead paint, traffic, toxic substances, pressure treated wood containing creosote or pentachlorophenol, and other hazards." Poison Control Center phone number must be posted near the telephone.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	NA	"To reduce the risk of Sudden Infant Death Syndrome, infants shall be placed on their backs to sleep unless there are medical orders requiring alternative positioning."
	Shaken Baby Syndrome and abusive head trauma prevention	Required of all staff	"A signed and dated written statement shall be on file for each staff person, assisting parent or aide indicating that the individual was informed of the program's policies on abuse and neglect and that they are aware that abuse and/or neglect of children is against the law, prohibited by the program and must be reported to the Department."

	Age appropriate nutrition, feeding, including support for breastfeeding	NA	Explicit regulations address age appropriate nutrition, feeding and breast feeding support.
	Physical Activities	NA	Minimum outdoor space requirement of 75 square feet per child.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	NA	Multiple regulations address sanitary food handling and strategies for reduction of the spread of infectious disease.
	Recognition and mandatory reporting of suspected child abuse and neglect	Required of all staff.	"A signed and dated written statement shall be on file for each staff person, assisting parent or aide indicating that the individual was informed of the program's policies on abuse and neglect and that they are aware that abuse and/or neglect of children is against the law, prohibited by the program and must be reported to the Department."
	Emergency preparedness and planning response procedures	NA	Regulations require CC programs to establish written procedures related to emergency preparedness and response and must communicate procedures to staff.

	Management of common childhood illnesses, including food intolerances and allergies	NA	Regulations direct staff to Appendix resource, "Inclusion and Exclusion of Ill Children in Early Childhood Programs – Guidelines for Common Signs and Symptoms, Illnesses and Conditions related to Contagious Diseases".
	Transportation and child passenger safety (if applicable)	NA	Regulations specifically describe parental permission requirements and federal child passenger safety regulations.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	NA	Regulated programs must establish written procedures related to children with special needs. Specialized Child Care status is an additional certification that may be awarded to programs that demonstrate an ability to meet certain benchmark standards in the care of children with special needs.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	Required for all staff working in positions higher than teaching assistant prior to working with children.	Required for all staff working in center based programs.
	Supervision of children	NA	Explicit regulations
	Behavior management	NA	Explicit regulations
	Other	NA	NA
	Describe: NA		

Group Home Child Care	First Aid	NA	Within six months of hire all paid staff counted in staff/child ratios shall have obtained training in basic first aid for children, injury prevention and emergency readiness.
	CPR	NA	All staff shall obtain training in rescue breathing, airway obstruction and infant/child CPR.
	Medication Administration Policies and Practices	NA	Regulated programs must establish written procedures related to medication administration and must document staff orientation to the procedures and ongoing compliance. The CDD has sponsored a multi-module medication administration training program that fulfills training hour requirements.

	<p>Poison Prevention and Safety</p>	<p>NA</p>	<p>Regulations note, "Children in care shall be protected from any and all conditions, which threaten a child's health, safety and well-being. This includes protecting children from ... poisonous plants, asbestos, wells, chips and dust from lead paint; traffic, toxic substances, pressure treated wood containing creosote or pentachlorophenol, and other hazards." Poison Control Center phone number must be posted near the telephone.</p>
	<p>Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention</p>	<p>NA</p>	<p>"To reduce the risk of Sudden Infant Death Syndrome, infants shall be placed on their backs to sleep unless there are medical orders requiring alternative positioning."</p>
	<p>Shaken Baby Syndrome and abusive head trauma prevention</p>	<p>Required of all staff.</p>	<p>"A signed and dated written statement shall be on file for each staff person, assisting parent or aide indicating that the individual was informed of the program's policies on abuse and neglect and that they are aware that abuse and/or neglect of children is against the law, prohibited by the program and must be reported to the Department."</p>

	Age appropriate nutrition, feeding, including support for breastfeeding	NA	Explicit regulations address age appropriate nutrition, feeding and breast feeding support.
	Physical Activities	NA	Minimum outdoor space requirement of 75 square feet per child.
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	NA	Multiple regulations address sanitary food handling and strategies for reduction of the spread of infectious disease.
	Recognition and mandatory reporting of suspected child abuse and neglect	Required of all staff	“A signed and dated written statement shall be on file for each staff person, assisting parent or aide indicating that the individual was informed of the program’s policies on abuse and neglect and that they are aware that abuse and/or neglect of children is against the law, prohibited by the program and must be reported to the Department.”
	Emergency preparedness and planning response procedures	NA	Regulations require CC programs to establish written procedures related to emergency preparedness and response and must communicate procedures to staff.

	Management of common childhood illnesses, including food intolerances and allergies	NA	Regulations direct staff to Appendix resource, "Inclusion and Exclusion of Ill Children in Early Childhood Programs – Guidelines for Common Signs and Symptoms, Illnesses and Conditions related to Contagious Diseases"
	Transportation and child passenger safety (if applicable)	NA	Regulations specifically describe parental permission requirements and federal child passenger safety regulations.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	NA	Regulated programs must establish written procedures related to children with special needs. Specialized Child Care status is an additional certification that may be awarded to programs that demonstrate an ability to meet certain benchmark standards in the care of children with special needs.
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	NA	Required for all staff working in licensed family child care programs.
	Supervision of children	NA	Explicit regulations
	Behavior management	NA	Explicit regulations
	Other	NA	NA
	Describe: NA		

Family Child Care Providers	First Aid	NA	Included in annual training requirements
	CPR	NA	Required annually
	Medication Administration Policies and Practices	NA	Included in annual training requirements
	Poison Prevention and Safety	NA	Regulations note, "Children in care shall be protected from any and all conditions, which threaten a child's health, safety and well-being. This includes protecting children from ... poisonous plants, asbestos, wells, chips and dust from lead paint, traffic, toxic substances, pressure treated wood containing creosote or pentachlorophenol, and other hazards." Poison Control Center phone number must be posted near the telephone.
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	NA	"To reduce the risk of Sudden Infant Death Syndrome, infants shall be placed on their backs to sleep unless there are medical orders requiring alternative positioning."
	Shaken Baby Syndrome and abusive head trauma prevention	NA	Included in annual training requirements
	Age appropriate nutrition, feeding, including support for breastfeeding	NA	Included in annual training requirements
	Physical Activities	NA	Included in annual training requirements

	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	NA	Included in annual training requirements
	Recognition and mandatory reporting of suspected child abuse and neglect	NA	Included in annual training requirements
	Emergency preparedness and planning response procedures	NA	Regulations require providers to have a plan and practice regular fire drills.
	Management of common childhood illnesses, including food intolerances and allergies	NA	Included in annual training requirements
	Transportation and child passenger safety (if applicable)	NA	Regulations specifically describe parental permission requirements and federal child passenger safety regulations.
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	NA	Included in annual training requirements
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	NA	Included in annual training requirements
	Supervision of children	NA	Explicitly described and regulated
	Behavior management	NA	Included in annual training requirements
	Other: Describe: NA	NA	NA

In - Home Child Care	First Aid	NA	NA
	CPR	NA	NA
	Medication Administration Policies and Practices	NA	NA
	Poison Prevention and Safety	NA	NA
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	NA	NA
	Shaken Baby Syndrome and abusive head trauma prevention	NA	NA
	Age appropriate nutrition, feeding, including support for breastfeeding	NA	NA
	Physical Activities	NA	NA
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	NA	NA
	Recognition and mandatory reporting of suspected child abuse and neglect	NA	NA
	Emergency preparedness and planning response procedures	NA	NA
	Management of common childhood illnesses, including food intolerances and allergies	NA	NA
	Transportation and child passenger safety (if applicable)	NA	NA

	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	NA	NA
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	NA	NA
	Supervision of children	NA	NA
	Behavior management	NA	NA
	Other	NA	NA
	Describe: NA		

d) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii)(A))

- All relative providers are subject to the same health and safety requirements as described in 3.1.2a-c, as appropriate; there are no exceptions for relatives.
 - Relative providers are NOT required to meet any health and safety requirements as described in 3.1.2a-c, as appropriate.
 - Relative providers are subject to certain requirements.
- Describe the different requirements:

e) Provide a web address for the State/Territory's health and safety requirements, if available:

http://dcf.vermont.gov/cdd/child_care_licensing

3.1.4 Effective enforcement of the CCDF health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in 3.1.2 for licensed providers, please describe how the Lead Agency enforces the CCDF health and safety enforcement requirements.

Complaints may be submitted to Licensing via an 800 phone number or BFIS. Licensing will assess the complaint and may conduct a site visit, sometimes in conjunction with Family Services Division if child abuse or neglect is described.

a) Describe whether and how the Lead Agency uses on-site visits (announced and unannounced)

Complaints may be submitted to Licensing via an 800 phone number or BFIS. Licensing will assess the complaint and may conduct a site visit, sometimes in conjunction with Family Services Division if child abuse or neglect is described.

b) Describe whether the Lead Agency uses background checks

Yes, Legally Exempt Child Care providers (and their household members) must pass the same background check process as regulated providers.

c) Does the Lead Agency permit providers to self-certify compliance with applicable health and safety standards?

Yes. If yes, what documentation, if any, is required?

Describe:

Implicit in the Provider Rate Agreement

No

d) Describe whether the Lead Agency uses any other enforcement policies and practices for the health and safety requirements

NA

Check if the Lead Agency certifies that procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

3.1.5 Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs? Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities..

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Yes.
Describe

No

a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

Yes.
Describe

- No
- Other.
Describe

b) If yes, are resources and supports provided to programs to help them understand how families are referred to indicated services and how to work with the health, mental health, and developmental disabilities agencies to support children when follow-up to screening is needed?

- Yes.
Describe

- No
- Other.
Describe

c) Does the State/Territory use developmental screening and referral tools?

- Yes. If Yes, provide the name of the tool(s)

Ages and Stages and ASQ:SE and Devereaux Early Childhood Assessment (DECA)
http://dcf.vermont.gov/sites/dcf/files/pdf/cdd/cis/f_CIS_approved_developmental_screening_tools.pdf

- No
- Other.
Describe

3.1.6 Data & Performance Measures on Licensing and Health and Safety

Compliance - What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or

school-age children).

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a) **Data on licensing and health and safety.** Indicate if the Lead Agency or another agency has access to data on:

Number of licensed programs.

Describe (optional):

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

Number of programs whose licenses were suspended or revoked due to non-compliance.

Describe (optional):

Number of injuries in child care as defined by the State/Territory.

Describe (optional):

Number of fatalities in child care as defined by the State/Territory.

Describe (optional):

Number of monitoring visits received by programs.

Describe (optional):

Caseload of licensing staff.

Describe (optional):

Number of programs revoked from CCDF due to non-compliance with health and safety requirements.

Describe (optional):

Other.

Describe:

None.

b) **Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and

safety requirements?

aggregate violations by type annually

c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. Vermont's QRIS (STARS) system utilizes regulatory history as an element of the point needed to progress in and maintain STARS. BFIS provides information regarding STARS participants. Evaluation of STARS capacity is an indirect measure.

3.1.7 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

Note -When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

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Goal #1:

Create a guidance manual to support the newly promulgated child care regulations to ensure consistency of interpretation and application, and to provide resources to providers to increase the quality of their services.

Goal #2:

Increase the number of regulated providers in order to increase the capacity of safe and healthy services available to benefit Vermont children.

Goal #3:

Work with the Vermont Department of Health, and other partners, to plan and implement universal developmental screening and referral for young children across service sectors, including early care and education programs.

NEW!

CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please follow this link <http://www.acf.hhs.gov/programs/occ/resource/government-performance-and-results-act-gpra-measures> to see the CCDF performance measures. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon



in Section 3.2 through 3.4 order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary because States/Territories are not required to develop such guidelines or implement them in a specified manner.

3.2.1 Has the State/Territory developed voluntary early learning guidelines for children? Check any early learning guidelines the State/Territory has developed.

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- Birth-to-three
- Three-to-five
- Five years and older
- None. **Skip to 3.2.6.**

If yes, insert web addresses, where possible:

http://dcf.vermont.gov/sites/dcf/files/pdf/cdd/care/2006-03-29-VELS_booklet.pdf

Which State/Territory agency is the lead for the early learning guidelines?

Vermont Agency of Education and the Vermont Early Learning Guidelines are also available on the CDD website http://dcf.vermont.gov/sites/dcf/files/pdf/cdd/care/2006-03-29-VELS_booklet.pdf and the parent guide is http://dcf.vermont.gov/sites/dcf/files/pdf/cdd/care/2006-VELS_Parent_Guide.pdf

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

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Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Language development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

List any domains not covered in the above:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner? Check all audiences and methods that your State/Territory has chosen to use in the chart below.

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	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parents using child care more broadly	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in elementary schools	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other. List:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

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- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- To define the content of training required for the career lattice or professional credential
- To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs

To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs

To develop State-/Territory -approved curricula

Other.

List:

None.

3.2.5 Are voluntary early learning guidelines and development standards aligned with into other parts of the child care system? Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

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Cross-walked to align with Head Start Child Development and Early Learning Framework

Cross-walked to align with K-12 content standards

Cross-walked to align with State/Territory pre-k standards

Cross-walked with accreditation standards

Other.

List:

None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In this section, assessment is framed with two distinct purposes/tools - 1) ongoing assessment of children's progress within the classroom to improve and individualize instruction (this corresponds to 3.2.6a) and 2) assessments conducted within pre-kindergarten and/or at kindergarten entry to inform policymakers about the school readiness of children across the State on a broad range of domains, used to guide program initiatives (this corresponds to 3.2.6b).

In the description for each Yes response, please include a) who administers, and b) how often assessments are conducted, and c) what assessment tools are used.

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a) Are programs required to conduct ongoing assessments of children's progress of children using valid, reliable and age-appropriate tools aligned with the early learning

guidelines or other child standards?

Yes.

Describe:

TS Gold is required for programs participating in publicly funded pre-k services and for programs serving preschool children who apply for 4 or 5 points in the Program Practice arena of STARS.

a-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?

Yes.

Describe:

This is required to be documented in STARS and is an expectation of public prek programs.

No

Other.

Describe:

NA

a-2) If yes, is information on child's progress reported to parents?

Yes.

Describe:

No

Other.

Describe:

There may be variations in this practice.

No

Other.

Describe:

b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children within pre-kindergarten and/or as they enter kindergarten?

Yes.

Describe:

b-1) If yes, do the tools cover the developmental domains identified in 3.2.2?

Yes.

Describe:

No

Other.

Describe:

b-2) If yes, are the tools used on all children or samples of children?

All children.

Describe:

Samples of children.

Describe:

Other.

Describe:

b-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

c) Is school readiness information linked to the statewide longitudinal data system (SLDS, program of the Department of Education)?

Yes.

Describe:

Under development but a portion of public prek students are or will be part of the longitudinal data system.

No

Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines (Click for additional instructions)

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a) **Data on voluntary early learning guidelines.** Indicate if the Lead Agency or another agency has access to data on:

Number/percentage of child care providers trained on ELG's for preschool aged children.

Describe (optional):

Number/percentage of child care providers trained on ELG's for infants and toddlers.

Describe (optional):

Number of programs using ELG's in planning for their work.

Describe (optional):

Number of parents trained on or served in family support programs that use ELG's.

Describe (optional):

Other.

Describe:

None.

b) **Performance measurement.** What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines?

New Vermont Early Learning Guidelines are under development. This question will help the lead agency consider performance measures related to dissemination and implementation of early learning guidelines in the future.

c) **Evaluation.** What are the State/Territory's plans, if any, for evaluation related to early learning guidelines? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

New Early Learning Guidelines are under development. This question will assist the development of plans related to early learning guidelines and their implementation in the future.

3.2.8 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for using voluntary early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make related to early learning guidelines?

Effective Date: 01-OCT-13

Goal #1:

The goal is to finalize a revised edition of Vermont Early Learning Standards (VELS). The revised VELS will expand the ages covered to include infancy through second grade. This work is currently in progress.

Goal #2:

Develop and implement training to support use of revised infant - grade 2 ELGs by early care and education practitioners and programs.

3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3) (Click for additional instructions)

Effective Date: 01-OCT-13

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities.

Vermont's QRIS is designed to bring together key entities that relate to quality of child care. The Agency of Education and the Child Development Division are advised by a 15 member statewide QRIS (STARS) advisory committee that includes representatives from Head Start, Parent Child Centers, Family Child Care home providers, Afterschool Providers, Northern Lights Career Development Center, licensing staff among others. The legislatively approved rules for Vermont's QRIS provide the framework for continually

improving and evaluating the system. The Statewide Professional Development committee advises the state specifically on all aspects of the professional development system.

3.3.1 Element 1 - Program Standards

Definition - For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. Minimum licensing standards and health and safety requirements provided in section 3.1 are also program standards but in this section, we focus on those standards that build upon and go beyond those minimum requirements.

Effective Date: 01-OCT-13

a) Does your State/Territory's have quality improvement standards that include indicators covering the following areas beyond what is required for licensing? Check any indicators, if any, that your State/Territory has chosen to establish.

- Ratios and group size
- Health, nutrition and safety
- Learning environment and curriculum
- Staff/Provider qualifications and professional development
- Teacher/providers-child relationships
- Teacher/provider instructional practices
- Family partnerships and family strengthening
- Community relationships
- Administration and management
- Developmental screenings
- Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- Cultural competence
- Other.

Describe:

None. If checked, **skip to 3.3.2.**

b) Does your State/Territory have quality improvement standards with provisions about the care of any of these groups of children? Check any provisions your State/Territory has chosen to establish.

- Children with special needs as defined by your State/Territory
- Infants and toddlers
- School-age children

- Children who are dual language learners
- None

c) How do your State/Territory's quality standards link to State/Territory licensing requirements? Check any links between your State/Territory's quality standards and licensing requirements.

- Licensing is a pre-requisite for participation
- Licensing is the first tier of the quality levels
- State/Territory license is a "rated" license.
- Other.

Describe:

Good regulatory history over time (1-5 years or more) is recognized.

- Not linked.

d) Do your State/Territory's quality improvement standards align with or have reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory's quality standards and other standards.

- Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
- Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
- Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)

Other.
Describe:

- None.

3.3.2 Element 2 - Supports to Programs to Improve Quality

Definition - For purposes of this section, supports to programs to improve quality refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

Effective Date: 01-OCT-13

a) Check which types of and for what purposes the State/Territory uses supports to child care programs, if any, in the following chart. If none, **skip to 3.3.3.**

None. skip to 3.3.3.

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining accreditation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Inclusion	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management practices	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) Methods used to customize quality improvement supports to the needs of individual programs include:

- Program improvement plans
- Technical assistance on the use of program assessment tools
- Other.

Describe:

On site mentoring and consulting

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

Yes.

Describe:

QRIS Administrators (2) statewide network of Resource and Referral Specialists' (15) provide in person, on-line and by phone support for programs that wish to enter or move up in the QRIS

No

Other.

Describe:

3.3.3 Element 3 - Financial Incentives and Supports

Definition - For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

Effective Date: 01-OCT-13

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory chooses to offer. If none, **skip to 3.3.4.**

None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input type="checkbox"/> Grants to programs to meet or maintain licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> On-going, periodic grants or stipends tied to improving / maintaining quality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tax credits tied to meeting program quality standards	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Other. Describe: Paying national accreditation fees	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

3.3.4 - Element 4 - Quality Assurance and Monitoring

Definition - For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

Effective Date: 01-OCT-13

a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

None. skip to 3.3.5.

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
---	--------------------	------------------	--------------------------

<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. Renewal (three year interval) or when moving up in points in the QRIS	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. Programs can use CLASS in the QRIS in lieu of ERS if ERS has been used previously in STARS	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. YPQI This is an option for school age programs in the QRIS to be used upon renewal or application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe: 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) What steps, if any, has the State/Territory taken to align quality assurance and monitoring across funding streams and sectors in order to minimize duplication?

- Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
- Include QRIS or other quality reviews as part of licensing enforcement
- Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- Other.

Describe:

All programs (Including Head Start and Accredited and public preschool programs must be in regulatory compliance and have a good regulatory history)

None.

3.3.5 - Element 5 - Outreach and Consumer Education

Definition - For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

Effective Date: 01-OCT-13

a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may communicated to parents about licensing status and licensing compliance as reported in 3.1.3? (e.g. stars, or gold/silver/bronze levels).

Yes. If yes, how is it used?

Resource and referral/consumer education services use with parents seeking care

Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting

Searchable database on the web

Voluntarily, visibly posted in programs

Mandatory to post visibly in programs

Used in marketing and public awareness campaigns

Other.

Describe:

NA

No. If no, **skip to 3.3.6.**

b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.



Print



Radio



Television



Web



Telephone



Social Marketing



Other.

Describe:

CDD website and State Advisory Council website



None.

c) Describe any targeted outreach for culturally and linguistically diverse families.

Vermont's major concentration of culturally and linguistically diverse families is located in the Chittenden County and our major urban center of Burlington. The CCCSA in that region is actively involved in refugee resettlement, provides translation services and outreach and is a recent recipient of a LAUNCH award. In addition, the agency has been piloting a comprehensive child care provider training project for refugees in that community.

3.3.6. Quality Rating and Improvement System (QRIS)

Effective Date: 01-OCT-13

a) Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5, does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating State/Territory-wide.



Participation is voluntary for:

all types of DCF regulated early childhood and afterschool programs



Participation is mandatory for:

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but not State/Territory-wide.

No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

State/Territory is in the development phase

State/Territory has no plans for development



Other.

Describe:

b) If yes to 3.3.6a, CHECK the types of providers eligible to participate in the QRIS:



Child care centers



Group child care homes



Family child care homes



In-home child care



License exempt providers



Early Head Start programs



Head Start programs



Pre-kindergarten programs



School-age programs



Other.

Describe:

3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above,

Effective Date: 01-OCT-13

please describe:

NA

3.3.8 Data & Performance Measures on Program Quality (Click for additional instructions)

Effective Date: 01-OCT-13

a) Data on program quality. Indicate if the Lead Agency or another agency has access to data on:



Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory.

Describe(optional)

data not yet reliable



Number of programs that move program quality levels annually (up or down).

Describe(optional)

data not yet reliable



Program scores on program assessment instruments.

List instruments:

ERS, YPQI, CLASS

Describe(optional)

NA



Classroom scores on program assessment instruments.

List instruments:

NA

Describe(optional)

NA



Qualifications for teachers or caregivers within each program.

Describe(optional)

NA



Number/Percentage of children receiving CCDF assistance in licensed care.

Describe(optional)

BFIS data



Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory



Number/Percentage of programs receiving financial assistance to meet higher program standards.

Describe(optional)

CCDF assistance children data in BFIS



Other.

Describe:

NA



None.

b) Performance measurement. What, if any, are the Lead Agency's performance measures on program quality?

In development

c) Evaluation. What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

Evaluation and improvement of Vermont's QRIS is ongoing through the work of the STARS Oversight Committee made up of stakeholders and agencies' representatives. The Oversight Committee has benefited from technical assistance on evaluation/validation from Donna Bryant and Kelly Maxwell, from the Frank Porter Graham Center. Each Arena of STARS has been subject to review and improvement and currently plans to improve the reliability of ERS assessments as well as the provider awareness of and use of the ERS is underway. CDD is also working with partners on the next Race to The Top

application and a full evaluation of STARS and validation of its standards will be part of that application.

3.3.9 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?

Effective Date: 01-OCT-13

Goal #1:

Validating the effectiveness of the Program Practices arena of the QRIS is very important. This includes assuring reliable practices in the formal ERS assessments as well as increased education of the workforce about the ERS tool and support for mentoring in its use.

Goal #2:

Improve the effectiveness of the Families and Community Arena through providing technical assistance about the Strengthening Families Protective Factors so that the standards of the QRIS in can be most effectively met.

3.4 Pathways to Excellence for the Workforce - Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. adult educators such as consultants, technical assistance providers, trainers, and higher education faculty). In this section, States and Territories provide a self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to five key elements for workforce systems:

- 1) Core Knowledge and Competencies
- 2) Career Pathways (or Career Lattice)
- 3) Professional Development Capacity
- 4) Access to Professional Development
- 5) Compensation, Benefits and Workforce Conditions

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.

The statewide Professional Preparation and Development (PPD) committee which is a subcommittee of the State Advisory Council is key to providing input and direction to all aspects of the PD system. It is an active diverse committee made up of stakeholders and training organizations such as CCR&Rs, VAEYC, Head Start, Agency of Education, Child Development Division, Department for Children and Families, Center Based providers, Parent Child Centers and others participate. An average of 15-20 participate in 5 meetings annually with notes and information between meetings. The Vermont Center for Afterschool Excellence (now Vermont Afterschool) participates through work on the PPD subcommittee the "Professional Development Think Tank" to help ensure alignment across settings and sectors. The Think Tank meets monthly. The PPD also serves as an advisory committee to the Northern Lights Career Development Center which is charged with developing and promoting the PD system.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition - For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

Effective Date: 01-OCT-13

 a) Has the State/Territory developed core knowledge and competencies (CKCs) for practitioners working with and/or on behalf of children?

Yes

No, the State/Territory has not developed core knowledge and competencies. **Skip to question 3.4.2.**

Other.
Describe:

If yes, insert web addresses, where possible:

b) Check which of the following teaching and learning topics, if any, are covered in the CKCs.

- Child growth, development and learning
- Health, nutrition, and safety
- Learning environment and curriculum
- Interactions with children
- Family and community relationships
- Professionalism and leadership
- Observation and assessment
- Program planning and management
- Diversity
- Other.

Describe:

None.

c) Are the CKCs incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its CKCs into other parts of the child care system.

- To define the content of training required to meet licensing requirements
- To define the content of training required for program quality improvement standards (as reported in section 3.3)
- To define the content of training required for the career lattice or credential
- To correspond to the early learning guidelines
- To define curriculum and degree requirements at institutions of higher education
- Other.

Describe:

Documentation of professional development forms and course/training descriptions in the statewide BFIS course calendar note the areas of knowledge and competencies provided in the training. Providers can search the calendar for training in core areas of knowledge.

None.

d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

- Cross-walked with the Child Development Associate (CDA) competencies
- Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, National Council for Accreditation of Teacher Education/Council for the Accreditation of Educator Preparation, Head Start SOLAR staff skills indicators)
- Cross-walked with apprenticeship competencies
- Other.

Describe:

None.

e) Check for which roles, if any, the State/Territory developed supplemental or specialized competencies.

Staff working directly with children in centers, including aides, assistants, teachers, master teachers.

Describe:

Providers working directly with children in family child care homes, including aides and assistants.

Describe:

Administrators in centers (including educational coordinators, directors).

Describe:

Director Credential includes targeted coursework-such as legal and financial issues and human resource management. Other courses from the apprenticeship program including curriculum development, child development, leadership and supervision and program management are also part of the director credential but they also count for apprenticeship and contribute to toward an associate degree.

Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).

Describe:

Training on mentoring has been delivered by the VCCICC in partnership with the NLCDC and is aligning and supportive of the work on developing standards for mentoring consulting services in Vermont (MATCH).

Education and training staff (such as trainers, CCR&R staff, faculty).

Describe:

Other.

Describe:

None.

f) Check if the State/Territory has developed any supplemental or specialized competencies for practitioners/providers working with the following ages.

- Birth-to-three
- Three-to-five
- Five and older
- Other.

Describe:

None.

3.4.2 Workforce Element 2 - Career Pathways

Definition - For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

Effective Date: 01-OCT-13

 a) Does the State/Territory have a career pathway which defines the sequence of qualifications related to professional development (education, training and technical assistance) and experience required to work with children?

Yes.

Describe:

The Vermont career pathways have Levels I through VI: Level I= Successful Completion of a 45 hour introductory course with an observation or approved equivalent, Level II= CDA , Level III – Completion of Registered Apprenticeship or Community College Certificate or 21 related college credits , Level IIIB Associate Degree in a related field or Assoc, Degree and 21 related credits, Level IV BA in early childhood education or related field or BA and 30 related credits, Level V A &VI A = MA or Doctorate Degree in a related field, Levels IV A , V A and, VI A can changed to a next level of “B” with achieving Agency of Education Licensure and appropriate endorsement. Each level requires a current professional development plan and from 1 to two years experience.

No, the State/Territory has not developed a career pathway. **Skip to question 3.4.3.**

Insert web addresses, where possible: <http://northernlightscdc.org/career-pathways/early-childhood-pathways/>

b) Check for which roles, if any, the career pathway (or lattice) include qualifications, specializations or credentials.

Staff working directly with children in centers, including aides, assistants, teachers, master teachers.
Describe:

Providers working directly with children in family child care homes, including aides and assistants.
Describe:

Administrators in centers (including educational coordinators, directors).
Describe:

Director Credential is available but not yet required

Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).
Describe:

Training for mentoring and supporting the learning of adults is available but not yet required except for instructors in the instructor registry. The new Early Childhood Family Mental Health Credential will be pertinent for many but not all that provide consultation services.

Education and training staff (such as trainers, CCR&R staff, faculty).
Describe:

Other.
Describe:

All positions listed above have access to PD resources in the system and licensing standards describe the qualifications (Levels of achievement) required for the position.

None.

c) Does the career pathway (or lattice) include specializations or credentials, if any, for working with any of the following children?

- Infants and toddlers
- Preschoolers
- School-age children
- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs
- Other.

Describe:

None.

d) In what ways, if any, is the career pathway (or lattice) used?

- Voluntary guide and planning resource
- Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
- Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
- Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
- Required placement for participation in scholarship and/or other incentive and support programs
- Required placement for participation in the QRIS or other quality improvement system
- Other.

Describe:

Currently, the career pathways credentials and certificates are referenced as qualifications but their comparable equivalent is also accepted.

None.

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice)?

Yes.

If yes, describe:

The Northern Lights Career Development Center is charged with verifying documentation pertaining to a career pathway certificate. Criteria for verification is on the NLCDC website. The Bright Futures Information System also has a column on the individual providers credential account for the NLCDC to indicate in the information has been verified.

No.

3.4.3 Workforce Element 3 - Professional Development Capacity

Definition - For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Early childhood includes infants, toddlers and preschoolers.

Effective Date: 01-OCT-13

a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

Yes.

If yes, describe:

The Professional Preparation and Development Committee and the NLCDC has examined the issues identified regional "distance gaps" and other related issues and works to promote and inform providers about the availability of college courses and degree opportunities <http://northernlightscdc.org/?s=college+courses> There has been a concerted effort with support from a variety of sources to promote and share with Vermont practitioners information about higher education opportunities. The first college fair for child care providers occurred in Bennington and more will happen at the VAEYC conference.

No.

b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

Yes.

If yes, describe:

If yes, describe The CDD conducted a survey of the workforce in 2011 and found there was a range of opinions about the availability and accessibility of advanced training.

No.

c) What quality assurance mechanisms, if any, are in place for the degree programs and courses offered by the State/Territory institutions?

Standards set by the institution

Standards set by the State/Territory higher education board

Standards set by program accreditors

Standards set by State/Territory departments of education

Standards set by national teacher preparation accrediting agencies

Other.

Describe:

None.

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

Training approval process.

Describe:

Trainer approval process.

Describe:

There is a searchable instructor registry that identifies qualified instructors.

Training and/or technical assistance evaluations.

Describe:

NLCDC with CDD funding evaluates some core courses including: the 45 hr "Fundamentals" class (required to attain a Level I Certificate) and the "Beyond Fundamentals" modules that are designed to align with CDA content and lead to a Level II certificate.

Other.

Describe:

None.

e) Does the State/Territory have articulation agreements in place across and within institutions of higher education?

Yes.

If yes, describe:

These are currently between colleges and determined by the institutions.

No.

f) Does the State/Territory have articulation agreements that translate training and/or technical assistance into higher education credit?

Yes.

If yes, describe:

Springfield College accepts well documented training and recognizes the documentation of professional forms used by the PD system. They are generally helpful as well when applying for credit for prior learning offered through Community College of Vermont and Johnson State College.

No.

3.4.4 Workforce Element 4 - Access to Professional Development

Definition - For purposes of this section, access to professional development (training, education and technical assistance) refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

Effective Date: 01-OCT-13

 a) Does the State/Territory have professional development opportunities accessible for professionals in various or all sectors of the early childhood and school-age field?

Yes. If yes, for which sectors?

Child care

- Head Start/Early Head Start
- Pre-Kindergarten
- Public schools
- Early intervention/special education
- Other.

Describe:

Providers who are legally exempt from being licensed or registered can participate in training offered through CCR&Rs.

No.

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about professional development opportunities available to all members of the early childhood and school-age workforce? Lead Agencies are not required to have a professional development system, but States/Territories may develop such clearinghouses to promote access to professional development opportunities.

Yes.

If yes, describe:

There is a statewide system of professional development with core competencies, career ladder and many approved sponsors of training and there is system to record provider participation and academic achievement the Bright Futures Information System.

No.

Insert web addresses, where possible: <http://northernlightscdc.org/>

c) What supports, if any, does the State/Territory provide to promote access to training and education activities?

Scholarships.

Describe:

College tuition assistance for child care providers not employed by the public school and on a public school teachers salary.

Free training and education.

Describe:

Many trainings provided though CCR&Rs are free or low cost, trainings at Starting Points Networks are generally free.

Reimbursement for training and education expenses.

Describe:

Providers can be reimbursed for some college tuition expenses and for CDA assessment fees.

Grants.

Describe:

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.

Describe:

Other.

Describe:

Bonuses for achieving Career Ladder Certificates with reflect Credentials, College Coursework and Degrees.

None.

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

Yes.

If yes, describe:

Career Advisement can be attained through discussion with staff and the Northern Lights Career Development Center and several seminars and regional events organized by the NLCDC have been designed to support others such a CCR&R staff and college personnel to be able to advise early childhood /school age practitioners. Staff at the Vermont Center for Afterschool Excellence (Vermont Afterschool) also advise afterschool providers.

No.

e) Does the State/Territory have mentors, coaches, consultants, and/or other specialists available to provide technical assistance to the workforce?

Yes.

If yes, describe:

There is a wide array of advisors and part of the goal of developing a statewide system called MATCH is to acknowledge them and provide some level of support for their work and help connect with the workforce that could benefit from their expertise. Vermont is part of the Learning Table Technical Assistance on Technical Assistance Systems and this is helping us move our MATCH model forward.

No.

3.4.5 Workforce Element 5 - Compensation, Benefits and Workforce

Conditions Definition - For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

Effective Date: 01-OCT-13

 a) Does the State/Territory have a salary or wage scale for various professional roles?

Yes.

If yes, describe:

No.

 b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

Yes.

If yes, describe:

One time bonuses for approximately 9 different Achievements on the Career Ladder. The Career Ladder includes credentials, college courses and degrees.

No.

c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

Yes.

If yes, describe:

No.

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

Yes.

If yes, describe:

No.

3.4.6 Data & Performance Measures on the Child Care Workforce - What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, Lead Agencies may provide an optional description about the data they have access to (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children)).

a) Data on the child care workforce. Indicate if the Lead Agency or another agency has access to data on:

Data on the size of the child care workforce.
Describe (optional):

Data on the demographic characteristics of practitioners or providers working directly with children.
Describe (optional):

Records of individual teachers or caregivers and their qualifications.
Describe (optional):

Retention rates.
Describe (optional):

Records of individual professional development specialists and their qualifications.
Describe (optional):

Qualifications of teachers or caregivers linked to the programs in which they teach.
Describe (optional):

Number of scholarships awarded .
Describe (optional):

Number of individuals receiving bonuses or other financial rewards or incentives.

Describe (optional):

Number of credentials and degrees conferred annually.

Describe (optional):

Data on T/TA completion or attrition rates.

Describe (optional):

Data on degree completion or attrition rates.

Describe (optional):

Other.

Describe:

Vt. Is in the process of deploying a new version of our Child Care System (BFIS), the new version will allow us the ability to extract the data regarding the child care workforce. More information will be available after data is reviewed and updated to reflect the actual workforce indicators.

None.

b) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks workforce demographics, compensation, and qualifications and ongoing professional development for practitioners working with children birth to age 13?

Definition - For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

Yes.

b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

Staff working directly with children in centers, including aides, assistants, teachers, master teachers.

Describe:

All staff working in regulated centers and registered homes are in Vermont's Bright Futures Information System data base.

- Providers working directly with children in family child care homes, including aides and assistants.

Describe:

All staff working in regulated centers and registered homes are in Vermont's Bright Futures Information System data base.

- Administrators in centers (including educational coordinators, directors).

Describe:

All staff working in regulated centers and registered homes are in Vermont's Bright Futures Information System data base.

- Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.).

Describe:

- Education and training staff (such as trainers, CCR&R staff, faculty).

Describe:

- Other.

Describe:

- None..

b-2) Does the workforce data system apply to:

- all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?

all practitioners working in programs that receive public funds to serve children birth to age 13?

No.

c) Performance measurement. What, if any, performance measures does the State/Territory use related to its workforce and professional development systems?

The Statewide Professional Development Committee (which includes the Northern Lights Career Development Center and the CDD) has used the NAEYC Professional Development System Guidelines to inform and evaluate Vermont's PD system and conducted a survey to gather feedback from the workforce that was informed by the NAEYC recommended components of a PD System.

d) Evaluation. What, if any, are the State/Territory's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

Beginning in October 2013 there is a plan to use a common evaluation tool for all trainings sponsored and/or funded by CCDF funds. This tool was developed through the work of the PD Think Tank and the PPD and was piloted for three months. A few core questions on the evaluation will help determine the effectiveness and applicability of the training and requires that there be at least one clear objective of the training.

3.4.7 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section in 3.4. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

Note -When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Effective Date: 01-OCT-13

Goal #1:

Develop data on the workforce through complete information in BFIS .

Goal #2:

Evaluate the quality of the learning opportunities in the PD System.

Goal #3:

Continue to increase the number of providers attaining NLCDC certificates.

Goal #4:

Bring TEACH to VT to assist in addressing gaps in the system.

STATE COUNCIL ON

DEVELOPMENTAL

DISABILITIES

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State Developmental Disability Council

The Vermont Agency of Human Services acts as the designated agency for the Vermont Developmental Disabilities Council [the Council.] The Vermont Developmental Disability Council is a Council established under the Developmental Disabilities Assistance and Bill of Rights Act of 2000, Public Law 106-402, 42 U.S.C. 15001 et seq.:

PURPOSE (Section 121)

...(1) engage in advocacy, capacity building and systems change activities...and

(2) contribute to a coordinated, consumer and family-centered, consumer and family-directed, comprehensive system of community services, individualized supports, and other forms of assistance that enable individuals with developmental disabilities to exercise self-determination, be independent, be productive, and be integrated and included in all facets of community life.

COMPREHENSIVE REVIEW AND ANALYSIS: STATE PROVISION OF INFORMATION ON ICF/MR AND HCBW [Section 124(c) (3) ; C (vii) – (viii)]

The Council's Plan shall describe the results of a comprehensive review and analysis of the extent to which services, supports, and other assistance are available to individuals with developmental disabilities and their families, and the extent of unmet needs for services, supports and other assistance for those individuals and their families in the state. The results of the comprehensive review and analysis shall include-...

(C)(vii) a description of the adequacy of health care and other services, supports and assistance that individuals with developmental disabilities who are in facilities receive based in part on each independent review (pursuant to section 1902(a)(30)(c) of the Social Security Act) of an Intermediate Care Facility (Mental Retardation) within the State, which the State shall provide to the Council not later than 30 days after the availability of the review; and (viii) to the extent that information is available, a description of the adequacy of health care and other services, supports and assistance that individuals with developmental disabilities who are served through Home and Community-Based Waiver [HCBW] receive.

A. IN GENERAL [Section 124(c) (5) (A)]

The Council Plan shall contain or be supported by assurances and information described in subparagraphs (B) through (N) that are satisfactory to the Secretary of Health & Human Services.

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State Developmental Disability Council

B. USE OF FUNDS [Section 124(c) (5) (B) (i)-(vi)]

With respect to the funds paid to the State under section 122, the Agency of Human Services [AHS] assures that-

- (i) not less than 70 percent of such funds will be expended for activities related to the goals described in paragraph (4);
- (ii) such funds will contribute to the achievement of the purpose of this subtitle in various political sub-divisions of the State;
- (iii) such funds will be used to supplement, and not supplant, the non-Federal funds that would other-wise be made available for the purposes for which the funds paid under section 122 are provided;
- (iv) such funds will be used to complement and augment rather than duplicate or replace services for individuals with developmental disabilities and their families who are eligible for Federal assistance under other State programs;
- (v) part of such funds will be made available by the State to public or private entities;
- (vi) at the request of the State, a portion of such funds provided to such State under this subtitle for any fiscal year shall be available to pay up to ½...of the expenditures found to be necessary by the Deputy Secretary for the proper and efficient exercise of the functions of the designated State agency, except that not more than 5 percent of such funds provided to such State for any fiscal year, or \$50,000, whichever is less, shall be made available for total expenditures for such purpose by the designated State agency; and
- (vii) not more than 20 percent of such funds will be allocated to the designated State agency for service demonstrations by such agency that-
 - (I) contribute to the achievement of the purpose of this subtitle; and
 - (II) are explicitly authorized by the Council.

(C) STATE FINANCIAL PARTICIPATION [Section 124(c) (5) (C)]

AHS assures that there will be reasonable State financial participation in the cost of carrying out the plan.

(D) CONFLICT OF INTEREST [Section 124(c) (5) (D)]

AHS assures that no member of such Council will cast a vote on any matter that would provide direct financial benefit to the member or otherwise give the appearance of a conflict of interest.

(E) URBAN AND RURAL POVERTY AREAS [Section 124(c) (5) (E)]

AHS assures that special financial and technical assistance will be given to organizations that provide community service, individualized supports, and other forms of assistance to individuals with developmental disabilities who live in areas designated as urban or rural poverty areas.

State Developmental Disability Council

(F) PROGRAM ACCESSIBILITY STANDARDS [Sections 124(c) (5) (F)]

AHS assures that programs, projects, and activities funded under the plan, and the buildings in which such programs, projects, and activities are operated, will meet standards prescribed by the Deputy Secretary in regulations and all applicable Federal and State accessibility standards, including accessibility requirements of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d), and the Fair Housing Act (42 U.S.C. 3601 et seq.).

(G) INDIVIDUALIZED SERVICES [Section 124(c) (5) (G)]

AHS assures that any direct services provided to individuals with developmental disabilities and funded under the plan will be provided in an individualized manner, consistent with the unique strengths, resources, priorities, concerns, abilities, and capabilities of such individual.

(H) HUMAN RIGHTS [Section 124(c) (5) (H)]

AHS assures that the human rights of the individuals with developmental disabilities (especially individuals without familial protection) who are receiving services under programs assisted under this subtitle will be protected consistent with section 109 (relating to rights of individuals with developmental disabilities).

(I) MINORITY PARTICIPATION [Section 124(c) (5) (I)]

AHS assures that the State has taken affirmative steps to assure that participation in programs funded under this subtitle is geographically representative of the State, and reflects the diversity of the State with respect to race and ethnicity.

(J) EMPLOYEE PROTECTIONS [Section 124(c) (5) (J)]

AHS assures that fair and equitable arrangements (as determined by the Deputy Secretary after consultation with the Secretary of Labor) will be provided to protect the interests of employees affected by actions taken under the plan to provide community living activities, including arrangements designed to preserve employee rights and benefits and provide training and retraining of such employees where necessary, and arrangements under which maximum efforts will be made to guarantee the employment of such employees.

(K) STAFF ASSIGNMENTS [Section 124(c) (5) (K)]

AHS assures that the staff and other personnel of the Council, while working for the Council, will be responsible solely for assisting the Council in carrying out the duties of the Council under this subtitle and will not be assigned duties by the designated State agency, or any other agency, office, or entity of the State.

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State Developmental Disability Council

(L) NONINTERFERENCE [Section 124(c) (5) (L)]

AHS assures that the designated State agency, and any other agency, office, or entity of the State, will not interfere with the advocacy, capacity building, and systemic change activities, budget, personnel, State Plan development, or plan implementation of the Council, except that the designated State agency shall have the authority necessary to carry out the responsibilities described in section 125(d) (3).

(M) STATE QUALITY ASSURANCE [Section 124(c) (5) (M)]

AHS assures that the Council will participated in the planning, design or redesign, and monitoring of the State quality assurance systems that affect individuals with developmental disabilities.

(N) OTHER ASSURANCES [Section 124(c) (5) (N)]

AHS assures that the plan shall contain such additional information and assurances as the Secretary [of Department of Health and Human Services] may find necessary to carry out the provisions (including the purpose) of this subtitle.

**Priority areas &
Projected Funding Plan break-out**

(i) State Name: VERMONT (ii) Federal Fiscal Year: 2014

Basic Priority Categories	Total Projected Funding
Goal Activities (Nine Areas of Emphasis Services Allocation)	\$409,000
General Management (Non-Services Allocation)	\$ 86,000
Anticipated Services Match	\$75,000
Anticipated Non-services Match	\$ 28,667
Subtotal Federal Allocation *	\$495,000
Subtotal Non-Federal	\$103,667
Total Budget FY' 14	\$598,667

* Includes FY2013 Carry-forward of \$ 43,447

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State Developmental Disability Council

<u>NAME</u>	<u>ADDRESS</u>	<u>QUALIFICATION</u>	<u>TERM EXPIRES</u>
Donna Bennett	Brattleboro	Individual w/ disability	3/31/13
Fred Breunig	Brattleboro	Parent of adult	3/31/15
Jim Caffry	Waitsfield	Parent of child	3/31/14
Ron Clark	NA	AHS-SSA Title XIX	unlimited
Craig Davis	Middlebury	Individual w/ disability	3/31/16
Gary DeCarolis	Burlington	Parent of adult	3/31/14
Diane Dexter	NA	AHS~ DCF	unlimited
Dale Hackett	Barre	Individual w/disability	3/31/16
John Hall	Newport	Individual w/disability	3/31/16
Carol Hassler, MD	NA	AHS~ SSA-Title V	unlimited
Catherine Hybels	White River Jct	Parent of child	3/31/15
Wendy Kruger	Morrisville	Parent of adult	3/31/16
Clare McFadden	NA	AHS ~ Older Americans	unlimited
Ed Paquin	NA	Disability Rights VT	3/31/16
Cheryl Phaneuf	Hardwick	Parent of adult	3/31/16
Marcella Ryan	Winooski	Individual w/disability	3/31/14
Susan Ryan	NA	UCEDD	3/31/14
Cynthia Smith	Fair Haven	Parent of adult	3/31/15
Jennifer Stratton	Morrisville	Non-profit	3/31/16