

# VERMONT HUMAN SERVICES PLAN FY – 2016



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

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VERMONT HUMAN SERVICES PLAN - FY 2016  
FEDERAL ASSURANCES & DOCUMENTATION

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VERMONT HUMAN SERVICES PLAN - FY 2014  
FEDERAL ASSURANCES & DOCUMENTATION

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PREFACE

This document has been constructed for use with the FY 16 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

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**FY-16 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-16 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

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Signature

Date

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VERMONT HUMAN SERVICES PLAN - FY 2016  
FEDERAL ASSURANCES & DOCUMENTATION

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**FY-16 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-16 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

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Signature

Date

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VERMONT HUMAN SERVICES PLAN - FY 2016

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**FY-16 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

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Signature

Date

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**FY-16 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: \_\_\_\_\_

Dixie Henry, Deputy Secretary  
Name and Title of Authorized Representative

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Signature

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VERMONT HUMAN SERVICES PLAN - FY 2016

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**FY-16 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: \_\_\_\_\_

Dixie Henry, Deputy Secretary  
Name and Title of Authorized Representative

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Signature

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

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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

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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

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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

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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

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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)

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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

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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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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.

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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 \_\_\_\_\_ 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 28, 2015,  
will be provided upon request**



**COMMUNITY MENTAL HEALTH  
SERVICES BLOCK GRANT**

VERMONT HUMAN SERVICES PLAN - FY 2016

FEDERAL ASSURANCES & DOCUMENTATION

Community Mental Health Services Block Grant  
Department of Mental Health

	FFY'14	FFY'15	FFY'16
<u>Use of Funds by Goal or Activity</u>	<u>Actual</u>	<u>Estimated</u>	<u>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	\$4,706,384	\$5,107,813	\$5,122,305
State Funds	2,036,220	2,213,228	2,296,469
Additional state funds matched by others			
Federal	2,638,298	2,873,484	2,810,201
MH Block	31,866	21,101	15,635
<u>Goal #2</u>			
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	\$950,760	\$950,760
State Funds	525,557	545,972	545,972
Federal	0	0	0
MH Block	404,788	404,788	404,788

VERMONT HUMAN SERVICES PLAN - FY 2016

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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'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 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	\$65,834,837	\$71,529,354	\$71,843,986
State Funds	30,703,091	31,952,538	33,493,904
Federal	35,026,374	39,471,444	38,248,354
MH Block	105,372	105,372	101,728

Goal #4

To support the evidence-based practice of Integrated Dual Diagnosis Treatment (IDDT) for individuals with 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' 14 Actual</u>	<u>FFY' 15 Estimated</u>	<u>FFY' 16 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	\$7,566,141	\$9,928,323	\$9,928,323
State Funds	6,652,743	9,004,000	9,027,034
Federal	880,301	891,226	868,192
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 provide social-service intervention(s) citywide in Burlington for calls with social-service components that police receive			
Total	\$25,000	\$25,000	\$25,000
State Funds	0	0	0
Federal	0	0	0
MH Block	\$25,000	25,000	25,000

VERMONT HUMAN SERVICES PLAN - FY 2016

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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' 14 Actual</u>	<u>FFY' 15 Estimated</u>	<u>FFY' 16 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	\$47,660	\$47,660	47,660
State Funds	0	0	0
Federal	0	0	0
MH Block	47,660	47,660	47,660
<u>Goal #9</u>			
Peer-operated initiatives			
Total	\$45,000	\$37,205	\$37,205
State Funds	0	0	0
Federal	0	0	0
MH Block	45,000	37,205	37,205
<u>Goal #10</u>			
Evidence-Based Practices for Adult Mental Health: Early-Episode Psychoses			
Total	\$83,821	\$83,821	\$83,821
State Funds	0	0	0
Federal	0	0	0
MH Block	\$83,821	83,821	83,821

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VERMONT HUMAN SERVICES PLAN - FY 2016

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Community Mental Health Services Block Grant  
Department of Mental Health

<u>TOTALS</u>	\$79,302,188	\$87,772,936	\$88,102,060
State Funds	39,917,611	43,715,738	45,363,379
Federal	38,544,973	43,236,154	41,926,747
MH Block	839,604	821,044	811,934
Additional state funds Matched by others			

Block Grant Awards

FFY14	\$839,604 (actual)
FFY15	\$821,044 (estimated)
FFY16	\$811,934 (projected)

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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 2014 Actual	10,490
FY 2015 Estimated	10,500
FY 2016 Projected	10,000-11,000

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## VERMONT HUMAN SERVICES PLAN - FY 2016

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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 2014 (July 1, 2013-June 30, 2014), Vermont's designated agencies reported 7,232 episodes of respite services delivered to 443 Children's Services clients experiencing a severe emotional disturbance. Those numbers show an increase from 5,627 episodes of services delivered to 371 clients in Fiscal Year 2013. Demand for respite 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 2,726 in Fiscal Year 2014. The numbers for Fiscal Years 2015 and 2016 are expected to remain in the range of 2,500-3,000 clients.

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## VERMONT HUMAN SERVICES PLAN - FY 2016

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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 2014, 2015, and 2016.

##### 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 9,939 people in mental-health crises received emergency services from designated agencies in the community in Vermont Fiscal Year 2014; 85,842 units of services were delivered. In FY 2015, approximately 9,200 people in mental-health crises received emergency services from designated agencies and 81,114 units of services were delivered. The numbers for FY 2016 are projected to be, respectively, 9,700 and 78,000.

##### Goal #6

##### Goal Description

The \$13,000 from block grant funding for housing infrastructure buys such items as software licenses and technical capacity for maintaining data on homelessness, a requirement for federal funding. In addition, reports from data collected are used to determine outcomes and performance for DMH housing-subsidy programs operated by designated agencies both HUD-funded and the SAMHSA PATH Program-funded projects for the Department of Mental Health.

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## VERMONT HUMAN SERVICES PLAN - FY 2016

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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 for a number of years. The data quality monitoring on the DMH housing subsidy and care and other homeless projects in Vermont has been producing valuable reports for the Vermont legislature and SAMHSA. This improvement has assisted DMH in decision-making regarding statewide needs and funding.

#### Goal #7

#### Goal Description

A project that began several years ago as Howard Center's (HC) Street Outreach Team in downtown Burlington has become a citywide presence as a result of Police Chief Schirling's intention to provide social-service intervention for calls with a social-service component attached to them coming to the Police Department. (HC is the designated agency for mental-health services in Burlington and the rest of Chittenden County.) HC joins with others in Vermont's only Statistical Metropolitan Area in efforts to provide support and intervention from mental-health clinicians to anyone who needs them. "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 citywide through:

- Developing positive, trusting relationships with individuals, 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 for the business community and the Burlington Police Department

#### Goal Accomplishment

The team mission is:

- Interaction with individuals with severe mental illness and/or mental health needs
- Consultation with community partners including the Burlington Police Department
- Responding with (or in lieu of) police to calls for service when the underlying issues are social-service needs

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,

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#### Community Mental Health Services Block Grant Department of Mental Health

- 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.

The Street Outreach Team provides coverage seven days and evenings a week.

#### Goal #8

##### 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. In addition VPS publishes *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; and provides patient advocacy and representation at Vermont's inpatient psychiatric units.

##### Goal Accomplishment

VPS continued with these activities and similar ones in Fiscal Years 2014 and 2015 and is under contract to do the same throughout Fiscal Year 2016.

#### Goal #9

##### Goal Description

Funding for this goal in FYs 2014, 2015, and 2016 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

Examples of consumer projects funded in Fiscal Years 2015 and 2016 include:

- ◆ Supporting local peer-support networks either one-on-one or by telephone
- ◆ Providing peer support in hospital Emergency Rooms for individuals awaiting admission to an inpatient unit
- ◆ An art and recovery group

Additional projects are awarded grants, based upon proposals from peers and reviewed by peers

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#### Community Mental Health Services Block Grant Department of Mental Health

and DMH, as funding becomes available through the Community Mental Health Services Block Grant.

#### Goal #10

#### Goal Description

The project to support evidence-based practices for Adult Mental Health involves allocating additional Mental Health Block Grant funds made available late in Fiscal Year 2014 to launch a multi-year initiative to adopt evidence-based interventions for young adults with first-break psychosis. The initial stage of implementation will complete a review of current evidence-based and promising practices for the target population, including practices that have already been piloted in Vermont, and will identify those practices that should continue as pilots and those that should be implemented statewide.

#### Goal Accomplishment

A multi-stakeholder advisory group has been formed and has met several times to review current literature on evidence-based and promising practices for early-episode psychosis and to interview experts in the field. A request for proposals to conduct research to find out what is currently happening in Vermont in regard to individuals experiencing early-episode psychoses and their families, the size of the target population, their access to services (either traditional or alternative), and their needs and preferences netted six responses, and the Department of Mental Health expects to be able to conclude a contract soon to complete this work in a timely fashion over the next several months. Funding for further activities depends on continued funding from the Center for Mental Health Services 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 2016 Only**

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Community Services Block Grant

**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 sub-grantees 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. The plan follows the prescribed format from the HHS Office of Community Services.

Community Services Block Grant

**SECTION 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact and Official State Designation Letter**

- 1.1.** Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act.

**Vermont Agency of Human Services**

Authorized official: Dixie Henry, Deputy Secretary, Office of the Secretary

280 State Drive, Waterbury, Vermont 05671

(802) 871-3008

Dixie.henry@vermont.gov

<http://humanservices.vermont.gov/>

- 1.2.** Provide the following information in relation to the designated State CSBG point of contact.

**Office of Economic Opportunity, Department for Children & Families, Agency of Human Services**

Sarah Phillips, Interim Chief Administrator, Office of Economic Opportunity

280 State Drive, Waterbury, Vermont, 05671-1801

(802) 769-6409

Sarah.phillips@vermont.gov

<http://dcf.vermont.gov/oeo/>

- 1.3. Designation Letter:** State's official CSBG designation letter is attached.

**SECTION 2: State Legislation and Regulation**

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG? Yes

- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG? No

- 2.3.** Attach a copy of legislation and/or regulations or provide a hyperlink(s), as appropriate.

VSA Title 3, Chapter 59, Community Service Agencies

<http://legislature.vermont.gov/statutes/fullchapter/03/059>

Community Services Block Grant

**2.4. State Authority:**

- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? No
- 2.4b.** Did the State establish or amend regulations for CSBG last year? No
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes

**SECTION 3: State Plan Development and Statewide Goals**

**3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency.

The mission of the Agency of Human Services is to improve the health and well-being of Vermonters and to protect those among us who are unable to protect themselves. The Agency of Human Services was created by the Vermont Legislature to serve as the umbrella organization for all human service activities within state government. 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.

**3.2. State Plan 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;
  - 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;

Community Services Block Grant

- 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.

**State's CSBG-specific goals for State administration:**

For the period covered by this State CSBG Plan, the Office of Economic Opportunity has set the following goals for State administration:

1. Support eligible entities to integrate financial capability services within their agency as appropriate;
2. Support eligible entities in meeting all organizational standards.

**3.3. State Plan Development:** Indicate the information and input the State accessed to develop this State Plan.

Community Services Block Grant

**3.3a.** Analysis of:

- X State Performance Indicators and/or National Performance Indicators (NPIs)
- X State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- X Eligible entity community needs assessments
- X Eligible entity plans

**3.3b.** Consultation with

- X Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- X State community action association and regional CSBG T & TA providers

**3.4. Eligible Entity Involvement**

**3.4a.** Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

The State Office of Economic Opportunity has discussed the State Plan process and new model format with the Vermont Community Action Partnership (State association), which includes the Executive Directors from each of Vermont's five Community Action Agencies. Each eligible entity also received a copy of the draft State Plan to provide feedback and was invited to the public hearing.

**SECTION 4: CSBG Hearing Requirements**

**SECTION 4 of the plan will completed after the public hearing is held.**

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.
- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

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Community Services Block Grant

**4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Date	Location	Type of Hearing
		Combined

**4.4.** Supporting documentation for the public and legislative hearings is attached.

**SECTION 5: CSBG Eligible Entities**

**5.1. CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Public or Nonprofit	Type of Entity	Geographical Area Served by county (Provide all counties)
<b>BROC – Community Action in Southwestern Vermont</b>	<b>Nonprofit</b>	Community Action Agency	Rutland, Bennington Counties (except Pittsfield Town)
<b>Capstone Community Action</b>	<b>Nonprofit</b>	Community Action Agency	Lamoille, Orange, Washington Counties, and Pittsfield, Granville, Hancock, Rochester, Bethel, Stockbridge, Royalton, Sharon and Barnard Towns
<b>Champlain Valley Office of Economic Opportunity</b>	<b>Nonprofit</b>	Community Action Agency	Chittenden, Franklin, Grand Isle Counties, and in Addison County (except Hancock and Granville Towns)
<b>Northeast Kingdom Community Action</b>	<b>Nonprofit</b>	Community Action Agency	Caledonia, Essex, Orleans Counties
<b>Southeastern Vermont Community Action</b>	<b>Nonprofit</b>	Community Action Agency	Windham and Windsor Counties (except Rochester, Bethel, Stockbridge, Royalton, Sharon and Barnard Towns)

**5.2.** Total number of CSBG eligible entities:   5

Community Services Block Grant

**5.3. Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission?

No.

**SECTION 6: Organizational Standards for Eligible Entities**

**6.1.** Choice of Standards:

X The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138).

**6.2.** If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138?

No changes are proposed.

**6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act?

X Contracts with eligible entities

**6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138?

X Self-assessment (with validation by the State or State-authorized third party)

X Regular, on-site CSBG monitoring

**6.4a.** Describe the assessment process.

The State Office of Economic Opportunity will annually distribute Vermont's Assessment Tool for CSBG Organizational Standards. Agencies will self-assess and submit the completed tool along with documentation. The State Office of Economic Opportunity will review and validate the assessment. This process will be completed prior to or as part of the annual Work Plan submission process. During regular onsite monitoring, the assessment tool will be completed by staff of the State Office of Economic Opportunity and documentation reviewed onsite.

Community Services Block Grant

**6.5.** Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

Not at this time.

### **SECTION 7: State Use of Funds**

**Eligible Entity Allocation (90 Percent Funds)** [Section 675C(a) of the CSBG Act]

**7.1 Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

X Other:

#### ***Historic Base + Formula with Variables***

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; five percent 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.

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Community Services Block Grant

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.

**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).

**7.1a.** Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities?

No.

**7.2. Planned Allocation:** Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages.

<b>Planned CSBG 90 Percent Funds</b>	
<b>CSBG Eligible Entity</b>	<b>Funding Amount \$</b>

Community Services Block Grant

<b>Planned CSBG 90 Percent Funds</b>	
<b>BROC – Community Action in Southwestern Vermont</b>	\$569,386
<b>Capstone Community Action</b>	\$608,436
<b>Champlain Valley Office of Economic Opportunity</b>	\$936,151
<b>Northeast Kingdom Community Action</b>	\$586,155
<b>Southeastern Vermont Community Action</b>	\$496,596
<b>Total</b>	<b>\$3,196,724</b>

- 7.3. Distribution Process:** Describe the specific steps in the State’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

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. 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. Work Plans must include a line item budget and a monthly expenditure plan. All Work Plans are reviewed by the State Office of Economic Opportunity within 30 days of receipt. 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.

Funds given to grantees pursuant to this plan must be used in furtherance of the goals and objectives set forth 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. Applications 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.

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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. Payments are NET 30 days. 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.

- 7.4. Distribution Timeframe:** Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? Yes.

**Administrative Funds** [Section 675C(b)(2) of the CSBG Act]

- 7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage.

In accordance with Section 675C(b)(2) of the CSBG Act, the State plans to reserve \$55,000 or 5% of its grant (whichever is greater) for administrative activities.

- 7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan?

Three positions are funded in part with CSBG funds under this State Plan.

- 7.8.** How many State Full Time Equivalent (FTEs) will be funded with CSBG funds under this State Plan?

Approximately 2 FTEs will be funded with CSBG funds under this State Plan.

**Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]

- 7.9.** Does the State have remainder/discretionary funds? Yes

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

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<b>Use of Remainder/Discretionary Funds</b>		
<b>Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)</b>	<b>Planned %</b>	<b>Brief description of services/activities</b>
a. Training/technical assistance to eligible entities	<b>25%</b>	These planned services/activities are described in State Plan item 8.1
b. Coordination of State-operated programs and/or local programs	<b>25%</b>	Coordination with homeless continua of care and homeless assistance programs.
c. Statewide coordination and communication among eligible entities	<b>0%</b>	n/a
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	<b>0%</b>	n/a
e. Asset-building programs	<b>25%</b>	Demonstration projects and training and technical assistance for innovative asset-building or financial capability programs, including at Community Action Agencies.
f. Innovative programs/activities by eligible entities or other neighborhood groups	<b>25%</b>	Other innovative activities at eligible entities or other community-based nonprofits, such as those serving low income women or girls, addressing food security/systems, or promising practices to address homelessness.
g. State charity tax credits	<b>0%</b>	n/a
h. Other activities, specify	<b>25%</b>	Unforeseen or urgent requests for eligible entities or other eligible community-based nonprofits; including technical assistance to other community-based nonprofits.
<b>Totals</b>	<b>100%</b>	

**7.10.** What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.

- X CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds): Five eligible entities
- X Other community-based organizations
- X State Community Action association, by way of fiscal agent
- X Individual consultant(s)
- X Other: The State may carry out some activities directly.

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**SECTION 8: State Training and Technical Assistance**

**8.1.** Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.

<b>Training and Technical Assistance</b>			
<b>Fiscal Year (Y) Quarter (Q) / Timeframe</b>	<b>Training, Technical Assistance, or Both</b>	<b>Topic</b>	<b>Brief Description of “Other”</b>
<ul style="list-style-type: none"> <li>• All quarters</li> </ul>	<ul style="list-style-type: none"> <li>• Technical Assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Reporting</li> <li>• ROMA</li> </ul>	
<ul style="list-style-type: none"> <li>• FY1 – Q4</li> </ul>	<ul style="list-style-type: none"> <li>• Training</li> </ul>	<ul style="list-style-type: none"> <li>• Reporting</li> <li>• ROMA</li> </ul>	
<ul style="list-style-type: none"> <li>• Ongoing / Multiple Quarters</li> </ul>	<ul style="list-style-type: none"> <li>• Both</li> </ul>	<ul style="list-style-type: none"> <li>• Organizational Standards – General</li> <li>• Organizational Standards – for eligible entities with unmet standards on Technical Assistance or Quality Improvement Plans</li> </ul>	
<ul style="list-style-type: none"> <li>• Ongoing / Multiple Quarters</li> </ul>	<ul style="list-style-type: none"> <li>• Both</li> </ul>	<ul style="list-style-type: none"> <li>• Other</li> </ul>	Other: integrating financial capability services
<ul style="list-style-type: none"> <li>• Ongoing / Multiple Quarters</li> <li>• FY1 – Q3</li> </ul>	<ul style="list-style-type: none"> <li>• Training</li> </ul>	<ul style="list-style-type: none"> <li>• Other</li> </ul>	Other: promising and evidence-based practices in ending poverty  Other: cross sector skills or general nonprofit management skills; e.g., leadership development, cultural competency, strategic communication, collective impact, leading change, board development, compassion

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<b>Training and Technical Assistance</b>			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
			fatigue, working with different populations, etc.

**8.1a.** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): 25%

**8.2.** Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate?

**n/a – first year**

**8.3.** Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.)

- CSBG eligible entities: (if checked, provide the expected number of CSBG eligible entities to receive funds) one
- State Community Action association
- National technical assistance provider(s)
- Individual consultant(s)
- Other: The State will provide some Training and Technical Assistance directly.

### SECTION 9: State Linkages and Communication

**Note:** This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

**9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed.

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- X State Low Income Home Energy Assistance Program (LIHEAP) office
- X State Weatherization office
- X State Temporary Assistance for Needy Families (TANF) office
- X State Head Start office
- X State public health office
- X State education department
- X State Workforce Innovation and Opportunity Act (WIOA) agency
- X State budget office
- X Supplemental Nutrition Assistance Program (SNAP)
- X State child welfare office
- X State housing office
- X Other

The State Office of Economic Opportunity coordinates with other State Offices to create or maintain access for low income Vermonters and communities to a variety of services and to avoid duplication of services. The State Office of Economic Opportunity is also the State Weatherization Office and administers federal homeless assistance funds. In addition, the State Office is a division within the Department for Children and Families which includes the State Offices for LIHEAP, TANF, Head Start, Child Welfare, and SNAP. The State Office Administering LIHEAP provides funds to the State CSBG Office, 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. In a similar way, the State Office administering SNAP Employment and Training provides funds to the State CSBG Office, which in turn awards funds to Community Action Agencies providing self-employment training to SNAP recipients.

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, housing and asset development. The State Office also participates in a number of inter and intra-Agency groups and initiatives which include various offices such as a housing program for families served by the child welfare office, coordination with the State Agency of Education homeless liaison office, participation in the State Consolidated Plan for Housing, trauma-informed care, financial capability integration within the State TANF program, and more.

**9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as

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required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

The State Office of Economic Opportunity actively participates in both Vermont's Homeless Continuum of Care to assure the effective delivery of CSBG services to low-income people and communities and to avoid duplication of services. As administrator of federal and state funds for homeless assistance, the State Office also works in direct partnership with local homeless service agencies. The State of Vermont does not have county government; the Agency of Human Services (AHS) employs Field Service Directors in each of the 12 AHS districts. The Field Service Division explicitly seeks to maximize the effectiveness of the human services system in each district of the state and support human services integration within State government and with community partners. The State CSBG Office works in partnership with the Field Services Division and eligible entities to support local linkages and coordination, especially antipoverty programs.

### **9.3. Eligible Entity Linkages and Coordination**

**9.3a State Assurance of Eligible Entity Linkages and Coordination:** Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed.

The Office of Economic Opportunity has developed a 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. The Request for Work Plan is submitted annually before the beginning of the grant year. It is approved by the eligible entity's governing board and signed by the chief governing official of the board. The FY 2016 Request for Work Plan package is attached.

The Request for Work Plan requires eligible entities to describe how they will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services as required by Section 676(b)(5) of the CSBG Act.

**9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations,

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according to the assurance under Section 676(b)(3)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

The Request for Work Plan package requires eligible entities to describe how they will develop linkages to fill identified gaps in services and fully meet Section 676(b)(3)(B) of the CSBG Act.

- 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:** Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

Yes.

**9.4a** If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

The State has not yet completed its WIOA Combined Planning process but intends to include CSBG employment and training activities as part of the plan. The CSBG Request for Work Plan requires that eligible entities describe local coordination with WIOA workforce development systems, as well as other employment and training activities, in order to fully meet Section 676(b)(5) of the CSBG Act.

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

The State Office Administering LIHEAP provides funds to the State CSBG Office, 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 and meeting the requirements of Section 676(b)(6) of the CSBG Act.

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**9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:**

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act.

The Request for Work Plan package requires eligible entities to describe how they will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations in order to fully meet Section 676(b)(9) of the CSBG Act.

**9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

The Request for Work Plan package requires eligible entities to describe how they will coordinate with other public and private resources in order to fully meet Section 676(b)(3)(C) of the CSBG Act.

**9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The State Office of Economic Opportunity regularly attends the Vermont Community Action Partnership meetings (State Community Action Association), currently convened monthly by the Partnership. The Vermont Community Action Partnership includes representatives from all five Vermont eligible entities. The State Office also coordinates with the Partnership on training and technical assistance efforts to support eligible entities, including work through the Regional Performance and Innovative Consortia and related to organizational standards.

**9.9 Communication with Eligible Entities and the State Community Action Association:** In the table below, describe the State’s plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan.

<b>Communication Plan</b>		
<b>Topic</b>	<b>Expected Frequency</b>	<b>Format</b>
Vermont Community Action Partnership Meetings: All topics related to implementing the requirements of the CSBG Act, training and technical assistance planning, linkages and	Monthly	Meetings/ Presentation

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<b>Communication Plan</b>		
<b>Topic</b>	<b>Expected Frequency</b>	<b>Format</b>
coordination at the state and local level, community needs, etc.		
Updates on state or local linkages or coordination, other requirements related to CSBG implementation	As needed, weekly or more	Email; ad hoc web-based meetings or conference calls
Hearings related to the State Plan	Annually	Email
Performance Management Workgroup	Quarterly	Web-based meetings

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Within 60 calendar days of receiving feedback from OCS regarding State performance on State Accountability Measures, the State will share this feedback with the Vermont Community Action Partnership (State Association) and its members, which include all eligible entities, at its monthly meeting or by email.

### SECTION 10: Monitoring, Corrective Action, and Fiscal Controls

**Monitoring of Eligible Entities** (Section 678B(a) of the CSBG Act)

**10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

<b>CSBG Eligible Entity</b>	<b>Review Type</b>	<b>Target Date</b>	<b>Date of Last Full Onsite Review (if applicable)</b>
BROC – Community Action in Southwestern Vermont	Full onsite	FY1 Q4	June 27 <sup>th</sup> and July 26 <sup>th</sup> , 2013

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CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)
Capstone Community Action	Full onsite	FY1 Q4	July 18 <sup>th</sup> and August 7 <sup>th</sup> , 2013
Champlain Valley Office of Economic Opportunity	Full onsite	FY1 Q4	June 20 <sup>th</sup> and July 9 <sup>th</sup> , 2013
Northeast Kingdom Community Action	Full onsite	FY1 Q4	June 25 <sup>th</sup> and August 3rd, 2013
Southeastern Vermont Community Action	Full onsit	FY1 Q4	July 29 <sup>th</sup> , 2013

**10.2. Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

Please see attached Vermont CSBG Plan Addendum.

**10.3. Initial Monitoring Reports:** According to the State’s procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

45 days.

**Corrective Action, Termination and Reduction of Funding and Assurance Requirements** (Section 678C of the Act)

**10.4. Closing Findings:** Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above? Yes

**10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans?

None.

**10.6. Reporting of QIPs:** Describe the State’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP?

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When an eligible entity is on a Quality Improvement Plan as approved by the State Office of Economic Opportunity, the State Office will file a written report with the Office of Community Services within 30 calendar days.

**10.7. Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated 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).”

Yes.

**Policies on Eligible Entity Designation, De-designation, and Re-designation**

**10.8.** Does the State CSBG statute and/or regulations provide for the designation of new eligible entities?

Yes.

**10.8a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

VSA Title 3, Chapter 59, Community Service Agencies

<http://legislature.vermont.gov/statutes/fullchapter/03/059>

**10.9.** Does the State CSBG statute and/or regulations provide for de-designation of eligible entities?

No.

**10.9a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities.

Please see attached Vermont CSBG Plan Addendum.

**10.10.** Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?

No.

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**10.10a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Please see attached Vermont CSBG Plan Addendum.

**Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:** Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

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.

Estimated draws occur biweekly for administrative and program expenditures. At the beginning of the quarter, AHS calculates an estimate based on the prior quarter's actual expenditures. This amount is divided over the number of draws that will be made during the quarter. Reconciling draws are performed once the reports are completed and included on a quarterly SF-425 report, which the State uses to compare awards, expenditures and draws. When the State determines that they have overdrawn or under drawn federal funds, they perform a reconciling draw to draw in or return the funds.

**10.12. Single Audit Management Decisions:** Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

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, Guidelines for Financial and Compliance Audits of Federally Assisted programs, and OMB Circulars. All single audits are reviewed by the State Office and the Internal Audit Group at the Agency of Human Services.

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For additional information on eligible entity audits, please see attached Vermont CSBG Plan Addendum.

**10.13. Assurance on Federal Investigations:** Will the State “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act?

Yes.

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**SECTION 11: Eligible Entity Tripartite Board**

**11.1.** Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act?

X Review copies of Board meeting minutes

X Track Board vacancies/composition

X Other: In order to ensure that the board of directors of the Community Action Agencies are constituted in accordance with Section 676B, 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.

**11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards?

X Annually

X Other: Contracts with eligible entities 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.

**11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

The Request for Work Plan package requires eligible entities to describe how eligible entities allow individuals and organizations to petition for adequate representation on an eligible entities' Tripartite Board and fully meet Section 676(b)(10) of the CSBG Act.

**11.4.** Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-

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income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act.

n/a – No public entities

## Section 12: Individual and Community Income Eligibility Requirements

**12.1. Required Income Eligibility:** What is the income eligibility threshold for services in the State?

X 125% of the HHS poverty line

**12.1a.** Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

Vermont’s Community Action Agencies will use 125% of Federal HHS Poverty Guidelines as the standard for determining CSBG income eligibility. This will be calculated based on a household’s gross income in the past 30 days, excluding tax refunds.

**12.2 Income Eligibility for General/Short Term Services:** For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

**Documentation:** Acceptable forms of documentation include: current pay stubs, bank statements or tax documents; or a printout from the State’s Access system showing financial benefits received. If none of the above are available and it is reasonable to assume the household is income eligible, the Community Action Agency may use a written certification, signed by the client and community action staff, showing the household’s income in the past thirty days.

**Tax Refunds Not Counted as Income:** The total amount of a tax refund received – regardless of whether the refund is the result of a refundable credit, over-withholding, or both – is disregarded as income and resources.

**Self-Employment:** Where a member of the household is self-employed, gross revenues clearly tied to a business, and offset by the legitimate operating expenses of that business, shall not be considered household income. However, any personal income earned through self-employment shall be considered part of household income.

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**Programs Funded in Part by CSBG:** Where a program is partially funded by CSBG, a proportional share of clients served by the program must meet CSBG eligibility guidelines.

**Direct Assistance:** A household receiving CSBG direct assistance dollars (such as a rental payment to prevent eviction, or a grant to open a small business) must be income eligible at the time of assistance. Their file must contain appropriate documentation. Failure to document eligibility in connection with financial assistance may result in the eligible entity having to repay funds.

**12.3. Community-targeted Services:** For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

Where a program or initiative is partially funded by CSBG, a proportional share of clients served by the program must meet CSBG eligibility guidelines. In the case of community-targeted services, documentation could include county or town-level data from sources such as the census, HUD or the State showing that a proportional share of residents in the targeted geography meets CSBG eligibility.

### **SECTION 13: Results Oriented Management and Accountability (ROMA) System**

**13.1. ROMA Participation:** In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?

X The Results Oriented Management and Accountability (ROMA) System

**13.1a.** If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

Please see attached Request for Work Plan.

**13.2.** Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act?

X CSBG National Performance Indicators (NPIs)

X NPIs and others

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Please see attached Request for Work Plan.

**13.3.** How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

The State Office convenes a quarterly Community Action performance management workgroup with teams from each eligible entity. This group supports the use of National Performance Indicator reports. This includes technical review for uniformity and consistent which leads to more reliable and meaningful comparisons of results across the state and over time. The group also shares effective practices used at each agency to incorporate the performance reports into planning and implementation (i.e., operationalizing the ROMA cycle). The State Office also provides ROMA orientation and training to Community Action staff and boards as needed.

The State of Vermont has adopted Results Based Accountability (RBA) in statute. RBA and ROMA are similar and complimentary results-driven performance management systems. In recent years, the State Office has offered training and technical assistance to eligible entities to identify how ROMA and the National Performance Indicators can translate into the specific RBA framework.

**13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery?

In addition to the workgroup discussed in 13.3, eligible entities are required to file a quarterly report on the National Performance Indicators to the State Office. The annual Work Plan also requires eligible entities to identify which National Performance Indicators they will track and report, with targets.

**Community Action Plans and Needs Assessments**

**13.5.** Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

The Request for Work Plan (attached) 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 provides estimates of sub-grantee awards, and contains the following major components, outlined below:

Program Design

Community Services Block Grant

Mission

Community Assessment

ROMA Implementation Plan

Indicators

Targets

Programs reporting

Management and Administration

Board structure and composition

Sub-grantee's organizational structure

Job descriptions of employees funded with CSBG

Operating procedure by which the sub-grantee identifies eligible clients

Evaluation and control systems

Budget/Financial Management

Line Item Budget

Financial Management Plan

Assurances

Signed assurances relative to activities undertaken and expenditures incurred with CSBG

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.

Responses to the Request for Work Plan will be utilized in the preparation of the State's contracts with eligible entities for the provisions of services. For this purpose, 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.

Community Services Block Grant

**13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

Each eligible entity 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.

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 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.

Please see attached Request for Work Plan.

Community Services Block Grant

**SECTION 14: CSBG Programmatic Assurances and Information Narrative  
(Section 676(b) of the CSBG Act)**

**14.1 Use of Funds Supporting Local Activities**

***CSBG Services***

**14.1a. 676(b)(1)(A):** Describe how the State will assure “that funds made available through 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 title IV of the Social Security Act, 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--
  - (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly 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) to secure and retain meaningful employment;
  - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
  - (iv) to make better use of available income;
  - (v) to obtain and maintain adequate housing and a suitable living environment;
  - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
  - (vii) to 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 –
    - (l) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

Community Services Block Grant

- (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

***Needs of Youth***

**14.1b. 676(b)(1)(B)** Describe how the State will assure “that funds made available through grant or allotment will be used –

- (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--
  - (i) 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
  - (ii) after-school child care programs;

***Coordination of Other Programs***

**14.1c. 676(b)(1)(C)** Describe how the State will assure “that funds made available through grant or allotment will be used –

- (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)

The State assures that funds meet the requirements of 676(b)(1)(A), (B), and (C) through the Request for Work Plan process previously described. Please see attached Request for Work Plan.

Community Services Block Grant

**State Use of Discretionary Funds**

- 14.2 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) 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 this subtitle.”

The State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

**Eligible Entity Service Delivery, Coordination, and Innovation**

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

***Eligible Entity Service Delivery System***

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

Vermont CSBG 675C(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. The State describes the eligible entities in Section 5, *CSBG Eligible Entities*. The State further meets the requirements of 676(b)(3)(A) through the Request for Work Plan process previously described. Please see attached Request for Work Plan.

***Eligible Entity Linkages – Approach to Filling Service Gaps***

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations.”

The State describes this assurance in the State Linkages and Communication section, item 9.3b.

***Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources***

Community Services Block Grant

**14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

The State describes this assurance in the State Linkages and Communication section, item 9.7.

***Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility***

**14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] 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 parenting.”

The State assures that funds meet the requirements of 676(b)(3)(D) through the Request for Work Plan process previously described. Please see attached Request for Work Plan.

**Eligible Entity Emergency Food and Nutrition Services**

**14.4. 676(b)(4)** Describe how the State will assure “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.”

The State assures that funds meet the requirements of 676(b)(4) through the Request for Work Plan process previously described. Please see attached Request for Work Plan.

**State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities**

**14.5. 676(b)(5)** Describe how the State will assure “that the State and 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, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Community Services Block Grant

The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

**State Coordination/Linkages and Low-income Home Energy Assistance**

- 14.6. 676(b)(6)** Provide “an assurance that the State will 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 community.”

The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

**Federal Investigations**

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

**Funding Reduction or Termination**

- 14.8. 676(b)(8)** Provide “an assurance 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 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).”

The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

**Coordination with Faith-based Organizations, Charitable Groups, Community Organizations**

- 14.9. 676(b)(9)** Describe how the State will assure “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.”

The State describes this assurance in the State Linkages and Communication section, item 9.6.

Community Services Block Grant

**Eligible Entity Tripartite Board Representation**

**14.10. 676(b)(10)** Describe how “the State will 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.”

The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

**Eligible Entity Community Action Plans and Community Needs Assessments**

**14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, 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.”

The State describes this assurance in the ROMA section, 13.5 and 13.6.

**State and Eligible Entity Performance Measurement: ROMA or Alternate system**

**14.12. 676(b)(12)** Provide “an assurance 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), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Community Services Block Grant

**Validation for CSBG Eligible Entity Programmatic Narrative Sections**

**14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan.

Community Services Block Grant

**ATTACHMENT 1: Request for Work Plan**

COMMUNITY SERVICES BLOCK GRANT

**FY 2016 REQUEST FOR WORK PLAN**

FOR THE PERIOD

OCTOBER 1, 2015 - SEPTEMBER 30, 2016

STATE OFFICE OF ECONOMIC OPPORTUNITY

280 STATE DRIVE

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.

Community Services Block Grant

**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 2016 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 2016 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

Community Services Block Grant

Action Agencies:

- 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. New this year, the Vermont Office of Economic Opportunity will incorporate proposed changes to the National Performance Indicators that are expected to be fully implemented nationally in FY 2016.

**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.

Community Services Block Grant

**4. Budget/Financial Management**

a. Budget: While the level of funding is uncertain at this time, we are operating under the assumption of level funding from FFY 2014 *i.e.* \$3,517,270 for FY 2016 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.

**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.

Community Services Block Grant

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.

**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*)

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Community Services Block Grant

- Allowable Activities (*Document provided*)
- Definitions and Conditions (*Document provided*)
- Board Roster
- Agency By-Laws
- 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 electronically on or before August 28, 2015:**

Sarah Phillips, State Office of Economic Opportunity  
[sarah.phillips@state.vt.us](mailto:sarah.phillips@state.vt.us)

On or before September 7, 2015, the proposal will be reviewed by the Office of Economic Opportunity and on or before September 14, 2015 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, 2015. The award of funds is contingent upon a Congressional appropriation to operate the program.

Community Services Block Grant

**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 2016 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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Community Services Block Grant

- 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

Take special attention to describe how you will do the following:

- 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 2016 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.

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Community Services Block Grant

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 “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 2016 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.

**\*\*Note:** The NPI template on the following pages includes 2 parts – Part 1 is required based on Vermont’s adoption of new national performance indicators. Part 2 remains as in previous years. In Part 2, agencies will report on “common indicators” in blue and select additional performance indicators as appropriate. **\*\***

Community Services Block Grant

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Community Services Block Grant

**PART 1**

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Community Services Block Grant

Community Action National Performance		FFY		Agency Reporting:			Reporting Period:		
GOAL 6		People with low incomes, especially vulnerable populations, become more stable, or maintain stability.							
OUTCOME		People with low incomes who receive single or short-term services become more stable.							
	# of Households Seeking Assistance	# of Households Receiving Assistance	% of seekers that were assisted	# of Individuals Receiving Assistance	Of those households receiving assistance, the # who reported that they have become more stable due to assistance received.	# of Households achieving outcome	% of Households	POVERTY PROBLEM ADDRESSED	PROGRAM(S) REPORTING
6.2 A-K	Individuals/households received assistance in a crisis or disaster situation (unduplicated)		#DIV/0!			TARGET %:	#DIV/0!		
	Emergency Food		#DIV/0!						
	Emergency fuel or utility payments (LIHEAP or other public or private sources)		#DIV/0!						
	Emergency rent or mortgage assistance (incl security deposits, etc.)		#DIV/0!						
	Emergency temporary shelter		#DIV/0!						
	Disaster Relief		#DIV/0!						
	Other emergency assistance		#DIV/0!						
<b>Vulnerable populations achieve or maintain improved status or conditions.</b>									
6.3 A-D	Children participated in early childhood programs (unduplicated)				Of those children who participated in early childhood programs, the number who increase school readiness. (unduplicated)	TARGET %:	#DIV/0!		
					Infants and children obtained age-appropriate immunizations, medical and dental care		#DIV/0!		
					Infant and child health and physical development improved as a result of adequate nutrition		#DIV/0!		
					Children participated in preschool activities and developed school readiness skills		#DIV/0!		
					Children participated in preschool activities and are developmentally ready to enter Kindergarten or 1st Grade		#DIV/0!		

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GOAL 1 People with low incomes become more self-sufficient.						
OUTCOME	# of households enrolled in program	Of those participating, Households moved up on the FPG scale.	# of households achieving outcome	% of Households	POVERTY PROBLEM ADDRESSED	PROGRAM(S) REPORTING
		Households participate in programs to become more self-sufficient.	<b>TARGET %:</b>	#DIV/0!		
		Households reported a decrease in reliance on cash assistance or public benefits (because they are able to meet family needs without these supports).				
			<b>TARGET %:</b>	#DIV/0!		
OUTCOME People with low incomes improve their status or quality of life in one of the following:						
EMPLOYMENT	# of individuals enrolled in program	Of those enrolled, Individuals who were unemployed obtain a job or become self-employed.	# of individuals achieving outcome	% of Individuals	POVERTY PROBLEM ADDRESSED	PROGRAM(S) REPORTING
1.1a		Unemployed individuals receive services to assist them in obtaining employment (incl self-employment).		#DIV/0!		
			<b>TARGET %:</b>	#DIV/0!		
		Underemployed individuals who received services to assist them in obtaining employment (incl self-employment).		#DIV/0!		
			<b>TARGET %:</b>	#DIV/0!		
EDUCATION & TRAINING	# of individuals enrolled in program	Of those enrolled, Individuals obtain skills/competencies required for employment.	# of individuals achieving outcome	% of Individuals	POVERTY PROBLEM ADDRESSED	PROGRAM(S) REPORTING
1.2a		Individuals participate in employment related training programs.		#DIV/0!		
			<b>TARGET %:</b>	#DIV/0!		

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E MANAGEMENT & ASSET DEVELOPMENT		# of households enrolled in program	Of those enrolled,	# of households achieving outcome	% of households	Aggregate \$ Amount	POVERTY PROBLEM ADDRESSED	PROGRAM(S) REPORTING
	Households participate in a tax preparation program.		Households qualified for any type of federal or state tax credit and the expected aggregate dollar amount of credits.		#DIV/0!			
		# of individuals enrolled in program	Of those enrolled,	# of individuals achieving outcome		Aggregate \$ Amount		
	Individuals participated in programs related to asset development.		Individuals opened an Individual Development Account or other savings account.		#DIV/0!	n/a		
			Individuals increased savings.		#DIV/0!			
			Individuals acquire an asset with IDA or other savings.	<b>TARGET %:</b>			POVERTY PROBLEM ADDRESSED	PROGRAM(S) REPORTING
			Capitalize a small business	0	#DIV/0!			
			Pursue post-secondary education					
			Purchase a home					
			Purchase other asset					
		# of households enrolled in program	Of those enrolled,	# of households achieving outcome	% of households			
	Homeless or near homeless households receive services to meet a housing need.		Of those households, homeless or near homeless households obtained or maintained safe and affordable housing. <b>(NOT temporary shelter)</b>					
			Of those households who obtained or maintained safe and affordable housing (above), the number of households who remained stable housed for 90 days.	<b>TARGET %:</b>	#DIV/0!			
				<b>TARGET %:</b>	70%			
		# of individuals enrolled in program	Of those enrolled,	# of individuals achieving outcome	% of individuals			
	Individuals received services to meet a transportation need.		Individuals obtained access to reliable transportation and/or driver's license.		#DIV/0!			
				<b>TARGET %:</b>				
		# of households enrolled in program	Of those enrolled,	# of households achieving outcome	% of households			
	Households received assistance to secure health care insurance.		Households secured health care insurance.		#DIV/0!			
				<b>TARGET %:</b>				

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Community Services Block Grant

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

<b>National Performance Indicator 1.1</b>		<b>II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target)</b>	<b>III.) Number of Participants Achieving Outcome in Reporting Period (Actual)</b>	<b>IV.) Percentage Achieving Outcome in Reporting Period [ III / II = IV ]</b>
<b>Employment</b>	<b>I.) Number of Participants Enrolled in Program(s)</b>			
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 <u>one or more</u> of the following:	(#)	(#)	(#)	(%)
<b>A. Unemployed and obtained a job</b>				#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>				
Low income people became self-employed				#DIV/0!
				#DIV/0!

<b>National Performance Indicator 1.2</b>		<b>II.) Number of Participants Expected to Achieve Outcome in Reporting Period</b>	<b>III.) Number of Participants Achieving Outcome in Reporting Period</b>
<b>Employment Supports</b>	<b>I.) Number of Participants Enrolled in Program(s)</b>		
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 <u>one or more</u> of the following:	(#)	(#)	(#)
<b>A. Obtained skills/competencies required for employment</b>			
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			
<b>F. Obtained access to reliable transportation and/or driver's license</b>			
G. Obtained health care services for themselves or family member			
<b>H. Obtained safe and affordable housing</b>			
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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<b>Indicator 1.3</b>							
<b>Economic Asset Enhancement and Utilization</b>							
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 <u>one or more</u> of the following:		<b>I.) Number of Participants Enrolled in Program(s)</b>		<b>II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target)</b>		<b>III.) Number of Participants Achieving Outcome in Reporting Period (Actual)</b>	
		(#)		(#)		(#)	
				<b>IV.) Percentage Achieving Outcome in Reporting Period [ III / II = IV ]</b>		<b>V.) Aggregated Dollar Amounts (Payments, Credits, or Savings)</b>	
				(%)		(\$)	
<b>E N H A N C E M E N T</b>	<b>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</b>					#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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	<u>National Performance Indicator 1.3 (Continued)</u>		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)
	Economic Asset Enhancement and Utilization	I.) Number of Participants Enrolled in Program(s)	(#)	(#)	(%)	(\$)
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 <b>Community Improvement and Revitalization</b> 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 <u>one or more</u> 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		
<b>D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy</b>		
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		

*In the rows below, please include any additional indicators that were not captured above.*

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National Performance Indicator 2.2 <b>Community Quality of Life and Assets</b> The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by <u>one or more</u> of the following:	I.) Number of Program Initiatives or Advocacy Efforts  (#)	II.) Number of Community Assets, Services or Facilities Preserved or Increased  (#)
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		

*In the rows below, please include any additional indicators that were not captured above.*

<b>F. Increase in the availability of fresh, nutritious food through: subsidized garden plots; garden distribution or information initiative; or farmer's market coupon program.</b>		

National Performance Indicator 2.3 <b>Community Engagement</b> The number of community members working with Community Action to improve conditions in the community.	I.) Total Contribution by Community  (#)
A. Number of community members mobilized by Community Action	

Community Services Block Grant

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

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

<b>National Performance Indicator 3.2</b>	<b>I.) Number of Low-Income People</b>
<b>Community Empowerment through Maximum Feasible Participation</b>	<b>(#)</b>
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 <u>one or more</u> of the following:	
<b>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>	
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	
<b>D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action</b>	
<i>In the rows below, please include any additional indicators that were not captured above.</i>	

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**Goal 5: Agencies increase their capacity to achieve results.**

National Performance Indicator 5.1 Agency Development	I.) Resources in Agency (#)
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:	
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	
<b>E. Number of staff attending trainings</b>	
<b>F. Number of board members attending trainings</b>	
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. Please describe these measures in Goal 5 Notes.	

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

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

<b>National Performance Indicator 6.1</b>	<b>I.) Number of Vulnerable Individuals Living Independently</b>
<b>Independent Living</b>	
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	
<b>TOTAL Individuals with disabilities (automatically calculates)</b>	<b>0</b>
<i>In the rows below, please include any additional indicators that were not captured above.</i>	

<b>National Performance Indicator 6.2</b>	<b>I.) Number of Individuals Seeking Assistance</b>	<b>II.) Number of Individuals Receiving Assistance</b>
<b>Emergency Assistance</b>		
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:	(#)	(#)
<b>A. Emergency Food</b>		
<b>B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources</b>		
<b>C. Emergency Rent or Mortgage Assistance</b>		
D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)		
<b>E. Emergency Temporary Shelter</b>		
F. Emergency Medical Care		
G. Emergency Protection from Violence		
H. Emergency Legal Assistance		
<b>I. Emergency Transportation</b>		
J. Emergency Disaster Relief		
K. Emergency Clothing		
<i>In the rows below, please include any additional indicators that were not captured above.</i>		

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<b>National Performance Indicator 6.3</b>					
<b>Child and Family Development</b>					
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 <u>one or more</u> 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 ]
		(#)	(#)	(#)	(%)
<b>I N F A N T S &amp; C H I L D R E N</b>	<b>A. Infants and children obtain age-appropriate immunizations, medical, and dental care</b>				#DIV/0!
	<b>B. Infant and child health and physical development are improved as a result of adequate nutrition</b>				#DIV/0!
	<b>C. Children participate in pre-school activities to develop school readiness skills</b>				#DIV/0!
	<b>D. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade</b>				#DIV/0!
<b>Y O U T H</b>	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!
<b>A D U L T S</b>	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!

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<b><u>National Performance Indicator 6.4</u></b>		
<b>Family Supports (Seniors, Disabled and Caregivers)</b>		
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 <u>one or more</u> of the following:	<b>I.) Number of Participants Enrolled in Program(s)</b>	<b>II.) Number of Participants Achieving Outcome in Reporting Period</b>
	<b>(#)</b>	<b>(#)</b>
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		
<b>E. Obtained and/or maintained safe and affordable housing</b>		
<b>F. Obtained food assistance</b>		
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)		

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

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**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.

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4. Describe the system your agency utilizes to ensure that client needs have been met.

**E. Evaluation and Control Systems:**

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

<b>BROC</b>	<b>\$569,386</b>
<b>Capstone</b>	<b>\$608,436</b>
<b>CVOEO</b>	<b>\$936,151</b>
<b>NEKCA</b>	<b>\$586,155</b>
<b>SEVCA</b>	<b>\$496,596</b>

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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 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.

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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.

**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 it will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities, and fill identified gaps in services through the provision of information, referrals, case management and follow-up (as required by the assurance under Section 676(b)(3) and (5) of the CSBG Act).
4. that it will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems (as required under Section 676(b)(5) of the CSBG Act).
5. that it will coordinate and form partnerships with other public and private resources and organizations, including faith-based organizations, charitable groups, and community organizations (as required under Section 676(b)(9) and (b)(3)(C) of the CSBG Act).
6. that it will use funds to support innovative community and neighborhood-based initiatives (as required under Section 676(b)(3)(D) of the CSBG Act).
7. that it 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 (as required under Section 676(b)(4) of the CSBG Act).
8. 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

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sectors they represent;

9. 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;
10. that it will coordinate its activities with emergency Energy Crisis programs operated in the community pursuant to the Low-Income Home Energy Assistance Program;
11. 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".
12. 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;
13. that it will cooperate with Federal investigations undertaken in accordance with Section 679 of the Act;
14. that it will comply with the nondiscrimination provisions in Section 677 of the Act;
15. 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 \_\_\_\_\_

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**VII. CSBG REPORTING REQUIREMENTS**

(Include with submission)

<b><u>CSBG Report</u></b>	<b><u>Due Date</u></b>
CSBG-0001 Invoice/Financial Statement	Monthly, due at State Office of Economic Opportunity the <b>15<sup>th</sup></b> of the month following the report month.
CSBG-0002 Request for Cash Advance	Quarterly, due at State Office of Economic Opportunity the <b>15<sup>th</sup></b> 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 <b>30<sup>th</sup></b> 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 <b>30<sup>th</sup></b> of the month, following the report period.

The reporting system will start anew on October 1, 2015.

All CSBG clients will require new intakes or recertification to certify eligibility for FFY 2016.

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**Attachment 2: Vermont CSBG Plan Addendum, FY 2016**

**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. Beginning in FY16, the organizational standards will be incorporated into the onsite review of each eligible entity.
- 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.
- All onsite reviews include an exit interview and an initial monitoring report to eligible entities within 45 days.
- Additionally, the State Office of Economic Opportunity conducts off-site (desk monitoring)

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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

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affords the capability of off-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.

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, and Guidelines for Financial and Compliance Audits of Federally Assisted programs, and the OMB Super Circular.

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

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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 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.

As appropriate, monitoring may also result in technical assistance plans negotiated between the eligible entity and the State Office. The existence of a technical assistance plan does not constitute a deficiency, finding or corrective action. Technical assistance may be offered with or without the existence of a deficiency.

#### **USE, SUSPENSION OR TERMINATION OF FUNDS**

All Vermont CSBG eligible entities are Community Action Agencies which received funding under the Act in the previous fiscal year. Only current CSBG eligible entities are recipients of the FY 16 Request for Work Plan grant package, and all funds provided (except for State administration and the Discretionary pool) for the CSBG 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.

The State will give special consideration to the designation of eligible entities 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

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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.

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 the State Plan 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.

In the event that the State elects to recapture and redistribute funds to an eligible entity through the entity's base 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 will redistribute recaptured funds to another 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)]

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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

Per Section 676(b)(8) of the CSBG Act, no 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 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).

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.

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.

If the State determines that for some substantiated reason 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.

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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 309I. 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 the CSBG Act.

Additionally, the State assures that it will meet the requirements of Section 678(C)(a) of the Act, including:

- (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.

**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.

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**CSBG BUDGET SUMMARY**

<u>Allocation of Funds by Community Action Agency</u>	FFY '13	FFY '14	FFY '15	FFY '16
	<b>(Actual)</b>	<b>(Actual)</b>	<b>(Estimated)</b>	<b>(Proposed)</b>
BROC – Community Action in Southwestern Vermont	\$542,439	\$563,832	\$569,386	\$569,386
Capstone Community Action, Inc.	\$598,281	\$614,501	\$638,436	\$608,436
Champlain Valley Office of Economic Opportunity, Inc.	\$906,382	\$932,319	\$936,151	\$936,151
Northeast Kingdom Community Action, Inc.	\$558,208	\$580,437	\$586,155	\$586,155
Southeastern Vermont Community Action	<u>\$483,989</u>	<u>\$496,752</u>	<u>\$501,596</u>	<u>\$496,596</u>
Community Action Agency Total <sup>1</sup>	<b>\$3,089,299</b>	<b>\$3,187,841</b>	<b>\$3,231,724</b>	<b>\$3,196,724</b>
State Administration	\$155,903	\$175,864	\$177,595	\$177,595
Discretionary Grants	\$ 94,991	\$153,565	\$142,596	\$177,596
<b>Total Federal Funds</b>	<b>\$3,340,193</b>	<b>\$3,517,270</b>	<b>\$3,551,915</b>	<b>\$3,551,915</b>
<b>FFY 2013</b>	<b>\$3,340,193</b>			
<b>FFY 2014</b>		<b>\$3,517,270</b>		
<b>FFY 2015</b>			<b>\$3,551,915</b>	
<b>FFY 2015</b>				<b>\$3,551,915</b>

<sup>1</sup> Includes Discretionary and Base Awards

# DETAILED MODEL PLAN (LIHEAP)

## Mandatory Grant Application SF-424

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

<b>* 1.a. Type of Submission:</b> <input checked="" type="radio"/> Plan	<b>* 1.b. Frequency:</b> <input checked="" type="radio"/> Annual	<b>* 1.c. Consolidated Application/Plan/Funding Request?</b>  <b>Explanation:</b>	<b>* 1.d. Version:</b> <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		<b>2. Date Received:</b>	<b>State Use Only:</b>
		<b>3. Applicant Identifier:</b>	
		<b>4a. Federal Entity Identifier:</b>	<b>5. Date Received By State:</b>
		<b>4b. Federal Award Identifier:</b>	<b>6. State Application Identifier:</b>

#### 7. APPLICANT INFORMATION

<b>* a. Legal Name:</b> State of Vermont			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 1-036000264-D4		<b>* c. Organizational DUNS:</b> 809376155	
<b>* d. Address:</b>			
<b>* Street 1:</b>	103 SOUTH MAIN ST.	<b>Street 2:</b>	
<b>* City:</b>	WATERBURY	<b>County:</b>	
<b>* State:</b>	VT	<b>Province:</b>	
<b>* Country:</b>	United States	<b>* Zip / Postal Code:</b>	05676 -
<b>e. Organizational Unit:</b>			
<b>Department Name:</b> Children and Families		<b>Division Name:</b> Economic Services Division	

#### f. Name and contact information of person to be contacted on matters involving this application:

<b>Prefix:</b> Mr.	<b>* First Name:</b> Richard	<b>Middle Name:</b> Hart	<b>* Last Name:</b> Moffi
<b>Suffix:</b>	<b>Title:</b> LIHEAP Coordinator	<b>Organizational Affiliation:</b> n/a	
<b>* Telephone Number:</b> 802-769-6448	<b>Fax Number:</b> 802-769-2186	<b>* Email:</b> richard.moffi@svermont.gov	

#### \* 8a. TYPE OF APPLICANT:

A: State Government

**b. Additional Description:**  
VT Agency of Human Services, Dept for Children & Families, Economic Services Division

#### \* 9. Name of Federal Agency:

	<b>Catalog of Federal Domestic Assistance Number:</b>	<b>CFDA Title:</b>
<b>10. CFDA Numbers and Titles</b>	93568	Low-Income Home Energy Assistance

#### 11. Descriptive Title of Applicant's Project

LIHEAP Seasonal & Crisis Fuel Assistance

**12. Areas Affected by Funding:**  
Client grants and operation of the Vermont Fuel Assistance Program

#### 13. CONGRESSIONAL DISTRICTS OF:

<b>* a. Applicant</b> 01	<b>b. Program/Project:</b> State of Vermont
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Attach an additional list of Program/Project Congressional Districts if needed.

Vermont has a Single Congressional District

<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
<b>a. Start Date:</b> 10/01/2015	<b>b. End Date:</b> 09/30/2016	<b>* a. Federal (\$):</b> \$0	<b>b. Match (\$):</b> \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
<input type="radio"/> YES			
<input checked="" type="radio"/> NO			
<b>Explanation:</b>			
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)			
<b>**I Agree</b> <input checked="" type="checkbox"/>			
<b>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</b>			
<b>18a. Typed or Printed Name and Title of Authorized Certifying Official</b> Dixie Henry, Deputy Secretary		<b>18c. Telephone (area code, number and extension)</b> 802-871-3009	
<b>18b. Signature of Authorized Certifying Official</b>		<b>18d. Email Address</b> Dixie.Henry@vermont.gov	
		<b>18e. Date Report Submitted (Month, Day, Year)</b> September 1, 2015	
<b>Attach supporting documents as specified in agency instructions.</b>			

## Section 1 - Program Components

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

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: 02/28/2005

**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.

## Section 1 Program Components

Program Components, 2605(a), 2605(b)(1) - Assurance 1, 2605(c)(1)(C)

**1.1 Check which components you will operate under the LIHEAP program.**  
(Note: You must provide information for each component designated here as requested elsewhere in this plan.)

**Dates of Operation**

		Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	10/01/2015	09/30/2016
<input type="checkbox"/>	Cooling assistance		
<input checked="" type="checkbox"/>	Crisis assistance	11/30/2015	04/29/2016
<input type="checkbox"/>	Weatherization assistance		

**Provide further explanation for the dates of operation, if necessary**

During FFY2016 and FFY2017 the state of Vermont will undertake an information technology (IT) project: **Fuel Payment Restructuring**. When implemented in October 2016 winter heat benefits (Seasonal Fuel Assistance) will be issued on a client's EBT benefit card. The EBT card system will only allow winter heat benefits to be negotiated for a fuel purchase with a fuel supplier certified by the Fuel Assistance Program. The design, development and implementation costs of this IT project are estimated to be about \$500,000. Vermont defines the design, development and implementation of this specific IT project as being a block grant "program" expenditure. LIHEAP block grant "program" funds will be utilized to cover the **Fuel Payment Restructuring** project's costs. By comparison the IT activities of operational costs, routine maintenance, licensing fees, transaction fees, etc. of an established payment system are defined as "administrative" expenditures.

Applications for heating assistance are processed year-round by the State DCF Economic Services Division (ESD). Applications for winter crisis assistance are processed by Vermont's five community action agencies under grant agreements with ESD beginning the last Monday in November to and including the last business day in April, or until funds are exhausted.

**Estimated Funding Allocation, 2604(C), 2605(k)(1), 2605(b)(9), 2605(b)(16) - Assurances 9 and 16**

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.	Percentage ( % )
Heating assistance	70.62%
Cooling assistance	0.00%
Crisis assistance	16.30%
Weatherization assistance	0.00%
Carryover to the following federal fiscal year	2.00%
Administrative and planning costs	10.00%

Services to reduce home energy needs including needs assessment (Assurance 16)	1.00%
Used to develop and implement leveraging activities	0.08%
<b>TOTAL</b>	<b>100.00%</b>

Alternate Use of Crisis Assistance Funds, 2605(c)(1)(C)

**1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:**

<input type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify:) Crisis assistance until the last business day in April. After April any remaining funds are reprogrammed for Carryover

**Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8**

**1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below?**  Yes  No

If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.

	Heating	Cooling	Crisis	Weatherization	
TANF	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	
SSI	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	
SNAP	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	
Means-tested Veterans Programs	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	
Other(Specify) 1	Program Name	Heating	Cooling	Crisis	Weatherization
		<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

**1.5 Do you automatically enroll households without a direct annual application?**  Yes  No

If Yes, explain:

**1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?**

SNAP Nominal Payments

**1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households?**  Yes  No

If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.

**1.7b Amount of Nominal Assistance:** \$21

**1.7c Frequency of Assistance**

<input checked="" type="checkbox"/>	Once Per Year
<input type="checkbox"/>	Once every five years
<input type="checkbox"/>	Other - Describe:

**1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?**

Eligibility determination for LIHEAP heating assistance and SNAP benefits (called 3SqsVT in Vermont) is determined by the Economic Services Division (ESD). SNAP clients are required to complete a "shelter expense statement" that identifies for SNAP and LIHEAP the heat and utilities that they a) must pay for, and b) that are included in their monthly housing rental payment. Households where 'the heat is included in the rent' are deemed by state statute and by department rules to "make undesignated payment for energy for heat in the form of rent." These households are deemed to have the lowest energy burden, regardless of income, and are granted the lowest LIHEAP heating assistance benefit of \$21.

Determination of Eligibility - Countable Income

**1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income ?**

<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income

**1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP**

<input checked="" type="checkbox"/>	Wages		
<input checked="" type="checkbox"/>	Self - Employment Income		
<input checked="" type="checkbox"/>	Contract Income		
<input type="checkbox"/>	Payments from mortgage or Sales Contracts		
<input checked="" type="checkbox"/>	Unemployment insurance		
<input checked="" type="checkbox"/>	Strike Pay		
<input checked="" type="checkbox"/>	Social Security Administration (SSA ) benefits		
<input checked="" type="checkbox"/>	Including MediCare deduction	<input type="checkbox"/>	Excluding MediCare deduction
<input checked="" type="checkbox"/>	Supplemental Security Income (SSI )		
<input checked="" type="checkbox"/>	Retirement / pension benefits		
<input checked="" type="checkbox"/>	General Assistance benefits		
<input checked="" type="checkbox"/>	Temporary Assistance for Needy Families (TANF) benefits		
<input type="checkbox"/>	Supplemental Nutrition Assistance Program (SNAP) benefits		
<input type="checkbox"/>	Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits		
<input type="checkbox"/>	Loans that need to be repaid		
<input type="checkbox"/>	Cash gifts		
<input type="checkbox"/>	Savings account balance		
<input type="checkbox"/>	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.		
<input checked="" type="checkbox"/>	Jury duty compensation		
<input checked="" type="checkbox"/>	Rental income		
<input checked="" type="checkbox"/>	Income from employment through Workforce Investment Act (WIA)		
<input checked="" type="checkbox"/>	Income from work study programs		
<input checked="" type="checkbox"/>	Alimony		
<input checked="" type="checkbox"/>	Child support		
<input checked="" type="checkbox"/>	Interest, dividends, or royalties		
<input checked="" type="checkbox"/>	Commissions		
<input type="checkbox"/>	Legal settlements		
<input type="checkbox"/>	Insurance payments made directly to the insured		
<input type="checkbox"/>	Insurance payments made specifically for the repayment of a bill, debt, or estimate		

<input checked="" type="checkbox"/>	<b>Veterans Administration (VA) benefits</b>
<input type="checkbox"/>	<b>Earned income of a child under the age of 18</b>
<input type="checkbox"/>	<b>Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.</b>
<input type="checkbox"/>	<b>Income tax refunds</b>
<input type="checkbox"/>	<b>Stipends from senior companion programs, such as VISTA</b>
<input type="checkbox"/>	<b>Funds received by household for the care of a foster child</b>
<input type="checkbox"/>	<b>Ameri-Corp Program payments for living allowances, earnings, and in-kind aid</b>
<input type="checkbox"/>	<b>Reimbursements (for mileage, gas, lodging, meals, etc.)</b>
<input checked="" type="checkbox"/>	<b>Other</b> Some "Ameri-Corp Program payments for living allowances, earning, and in-kind aid" are counted as income and some are not.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

## Section 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

## Section 2 - Heating Assistance

Eligibility, 2605(b)(2) - Assurance 2

**2.1 Designate the income eligibility threshold used for the heating component:**

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	150.00%

**2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE?**  Yes  No

**2.3 Check the appropriate boxes below and describe the policies for each.**

**Do you require an Assets test ?**  Yes  No

**Do you have additional/differing eligibility policies for:**

- Yes  No **Renters?**
- Yes  No **Renters Living in subsidized housing ?**
- Yes  No **Renters with utilities included in the rent ?**

**Do you give priority in eligibility to:**

- Yes  No **Elderly?**
- Yes  No **Disabled?**
- Yes  No **Young children?**
- Yes  No **Households with high energy burdens ?**
- Yes  No **Other? Residency requirement**

**Explanations of policies for each "yes" checked above:** Applicants must occupy a living unit or separate living quarters in Vermont, as their primary residence, and intend to occupy that living unit or separate living quarters or another living unit or separate living quarters in Vermont indefinitely in order to be eligible for fuel assistance, with the following exception: migrant workers will be determined eligible for fuel assistance if they meet all other applicable eligibility requirements. The standard for primary residence is the fuel households or roomer fuel households occupation (or, for new Vermont residents, the households intent to occupy) of a living unit or separate living quarters, located in Vermont, as their primary residence during any month(s) during the benefit period of November 1 through March 31.

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

**2.4 Describe how you prioritize the provision of heating assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.** No eligibility priority is given to households with vulnerable members. Eligibility processing for heads of households who are elderly (age 60 or older) or disables (in receipt of permanent disability benefits) are typically reviewed every two years along with SNAP eligibility. All others are reviewed annually.

**2.5 Check the variables you use to determine your benefit levels. (Check all that apply):**

- Income**
- Family (household) size**
- Home energy cost or need:**
  - Fuel type**
  - Climate/region**
  - Individual bill**
  - Dwelling type**
  - Energy burden (% of income spent on home energy)**
  - Energy need**
  - Other - Describe:**

Dwelling "size" by the number of bedrooms in the home.

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

**2.6 Describe estimated benefit levels for FY 2016:**

<b>Minimum Benefit</b>	\$50	<b>Maximum Benefit</b>	\$1,400
------------------------	------	------------------------	---------

**2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits?**  Yes  No

If yes, describe.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

**Section 3 - COOLING ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
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**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
 MODEL PLAN  
 SF - 424 - MANDATORY**

**Section 3 - Cooling Assistance**

Eligibility, 2605(c)(1)(A), 2605 (b)(2) - Assurance 2

**3.1 Designate The income eligibility threshold used for the Cooling componenet:**

Add	Household size	Eligibility Guideline	Eligibility Threshold
1			0.00%

**3.2 Do you have additional eligibility requirements for COOLING ASSITANCE?**  Yes  No

**3.3 Check the appropriate boxes below and describe the policies for each.**

**Do you require an Assets test ?**  Yes  No

**Do you have additional/differing eligibility policies for:**

- Renters?  Yes  No
- Renters Living in subsidized housing ?  Yes  No
- Renters with utilities included in the rent ?  Yes  No

**Do you give priority in eligibility to:**

- Elderly?  Yes  No
- Disabled?  Yes  No
- Young children?  Yes  No
- Households with high energy burdens ?  Yes  No
- Other?  Yes  No

**Explanations of policies for each "yes" checked above:**

**3.4 Describe how you prioritize the provision of cooling assistance tovulnerable populations,e.g., benefit amounts, early application periods, etc.**

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

**3.5 Check the variables you use to determine your benefit levels. (Check all that apply):**

- Income
- Family (household) size
- Home energy cost or need:
  - Fuel type
  - Climate/region
  - Individual bill
  - Dwelling type
  - Energy burden (% of income spent on home energy)
  - Energy need
  - Other - Describe:

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

**3.6 Describe estimated benefit levels for FY 2016:**

<b>Minimum Benefit</b>	\$0	<b>Maximum Benefit</b>	\$0
------------------------	-----	------------------------	-----

**3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?**  Yes  No

If yes, describe.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

## Section 4 - CRISIS ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 4: CRISIS ASSISTANCE

Eligibility - 2604(c), 2605(c)(1)(A)

##### 4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	150.00%

##### 4.2 Provide your LIHEAP program's definition for determining a crisis.

###### **CRISIS FUEL ELIGIBILITY**

It is not the intent of these regulations to establish a program of entitlement, meaning that a household whose income and resources are within the specified limits and who has a home heating fuel crisis does not become entitled to a grant, and indeed may be denied. It is the intent of this regulation to provide a framework within which a crisis fuel worker, based on their judgment, may determine eligibility and grant assistance to households who face a home heating crisis.

Within this framework, crisis fuel workers will determine eligibility on the basis of assisting the household, conserving program funds, accessing other benefits for which the household may be eligible, and utilizing the household's or the community's resources to the maximum extent reasonably possible. Workers will base their eligibility judgment on each client's individual situation and crisis fuel history. Workers will make every effort to assist those who are denied eligibility to find alternative solutions to the home heating crisis and to prevent a recurrence of the crisis in the future. Crisis fuel workers shall determine eligibility for crisis assistance based on the following seven requirements.

###### **1) Income Eligibility for Crisis Fuel Assistance**

The gross monthly income of all household members shall not be greater than 200 percent of the federal poverty level based on household size. Household members, required or excluded, are identified in section 2910 above. Countable income is identified in section 2930 above.

###### **2) Receipt of Seasonal Fuel Assistance**

Based on the household's income at the time of the crisis fuel application, eligibility for crisis fuel assistance is contingent on the household first obtaining seasonal fuel assistance program benefits.

- Households that have received a seasonal fuel assistance grant **and** meet all crisis eligibility requirements are eligible to receive crisis fuel assistance.
- Households that, in the opinion of the crisis fuel worker, are over-income for seasonal fuel assistance **and** meet all crisis eligibility requirements are eligible to receive crisis fuel assistance. These households are not required to apply for seasonal fuel assistance in order to receive a crisis fuel grant.
- Households that, in the opinion of the crisis fuel worker, are income eligible for seasonal fuel assistance but have not received seasonal fuel assistance are not eligible to receive crisis fuel assistance. The crisis fuel worker **must** assist income-eligible households to obtain a seasonal fuel assistance grant.
- Households that are denied seasonal fuel assistance for any reason other than being over-income are not eligible to receive crisis fuel assistance. The crisis fuel worker **must** assist income-eligible households to obtain a seasonal fuel assistance grant.

###### **3) Maximum Number of Crisis Grants per Season**

Each household is limited to a maximum number of crisis fuel grants per season as follows:

- One grant for households that are income-eligible for and have received a seasonal fuel assistance grant and meet all eligibility requirements for crisis fuel assistance.
- Two grants for households that are not income-eligible for seasonal fuel assistance and meet all eligibility requirements for crisis fuel assistance.

###### **4) Accessible Resources**

Available cash resource limits for households with at least one member who is elderly or living with a disability are set at \$1,500 for a household of one and \$2,250 for a household of two or more. For all other households it is expected that every accessible cash resource will be utilized in addressing (even in part) the crisis. For purposes of this section, an accessible resource is that which may be obtained in time to resolve the crisis. For example: funds in a retirement account that cannot be obtained prior to the household running out of fuel would not be considered accessible. Property/real estate that is listed for sale would not be considered an accessible resource.

The crisis fuel worker will use judgment in protecting money set aside in a special account to pay property taxes, or money necessary to meet immediate basic needs such as food, rent, utilities, healthcare etc., when such payments are required before the household would have resources remaining to be utilized in addressing (even in part) the fuel crisis.

The crisis fuel worker will also consider what potential resources, including income, are available and the extent to which the household can commit all or a portion of such potential toward meeting or partially meeting their current heating crisis. This potential shall include all members of the household and not simply those bearing direct responsibility for the purchase of fuel or electric service to operate the heating system.

Access to other benefit programs the client is eligible for including but not limited to: 3SqsVT, Reach Up, health care, and pharmacy benefits, Lifeline phone credit,

and low income utility rates from electric and natural gas companies. Clients not accessing available benefit programs for which they are eligible must be required as a condition of a crisis fuel grant (Section 2983 paragraph 7.) to obtain specific benefit resources to be eligible for crisis assistance in the current or future crisis program periods.

**5) Is There a Home Heating Crisis?**

Crisis fuel assistance may be extended to alleviate a home heating emergency due to lack of heating capacity for individual households when the head of household is responsible for providing home heating fuel or utility service. The crisis fuel worker will determine if the applicant has a home heating crisis. Non-residential uses serviced by a common heating system make an application ineligible for crisis fuel assistance.

- Is the applicant the head of household or do they represent the head of household?
- Does the household have a "fuel liability" or is heat included in the rent?
- Who owns the home or who has signed a rental lease for the home?
- Is there one-quarter of a tank or less of fuel remaining?
- Is there one week or less of firewood, wood pellets or coal remaining?
- Has a disconnect notice been received for metered heat service of: electricity, natural gas, or propane?
- Does the electric service operate the heating system and has a disconnect notice been received?
- Is the head of household domiciled and physically present in Vermont?

**6) Extenuating or Unpredictable Circumstance**

An extenuating or unpredictable circumstance is defined as: death in the family which results in additional expenses to the applicant household; illness of a household member which results in the household incurring additional expenses; and unanticipated work-related expense necessary to preserve employment; extraordinary housing expenses which are required to remove life-threatening hazards or to keep the home habitable; or other unanticipated circumstances or occurrences which could not have been foreseen or prevented by the applicant household. Households living in poverty, or on fixed or limited incomes without sufficient funds to meet their basic needs qualifies as an extenuating circumstance. The department examines the circumstances that precipitated the fuel crisis to determine the likelihood that a similar fuel crisis will recur in the future and the degree to which the crisis was preventable. It is to the benefit of both the applicant and the department to attempt to prevent the recurrence of a fuel crisis.

**7) Use of Funds Over the Past 30 Days for Basic Living Expenses**

The crisis fuel worker will complete a careful assessment of past income; uses made of income and resources; relative necessity of such uses including consideration of age, health, and other factors having impact on necessity; and adequacy of planning (past and future) to avoid a home heating crisis. Households will be expected to decline or delay payment for non-essentials in favor of assuring themselves an adequate fuel supply and to make reasonable efforts to conserve fuel to avoid a crisis. The department assesses how past income was used to determine the likelihood that a similar fuel crisis will recur in the future and the degree to which the crisis was preventable. It is to the benefit of both the applicant and the department to attempt to prevent the recurrence of a fuel crisis.

**8) Required Conditions of a Prior Crisis Fuel Grant**

A crisis fuel worker may establish conditions to a crisis fuel grant that a household is required to meet to obtain additional crisis fuel assistance in the current or future crisis program periods. For example: clients will be required to access ESD benefits (3SqsVT, Reach Up, health care, etc.) or utility discounts (such as Green Mountain Power and Vermont Gas Systems) for which they are eligible. Or, the completion and submission of a prior crisis application documents or verification would be a required condition to obtain additional crisis assistance.

**4.3 What constitutes a life-threatening crisis?**

A life-threatening crisis is any medical condition (physical, cognitive or other) that requires a member of the fuel assistance household to remain in the home and not be temporarily relocated to an alternate residence (such as another home belonging to family or friends, a commercial lodging establishment or a residential shelter). The medical condition must be documented in writing (a letter or an email written within 30 days of the crisis fuel application) by a Vermont-licensed medical practitioner who is knowledgeable about the household member's condition. Services to resolve the home heating crisis must be completed within 18 hours of the household being determined eligible. If necessary, a benefit to pay for special trip, start-up or similar charges may be included in the crisis fuel grant.

**Crisis Requirement, 2604(c)**

**4.4 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households? 48Hours**

**4.5 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households in life-threatening situations? 18Hours**

**Crisis Eligibility, 2605(c)(1)(A)**

**4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?**  Yes  No

**4.7 Check the appropriate boxes below and describe the policies for each**

**Do you require an Assets test ?**  Yes  No

**Do you give priority in eligibility to :**

**Elderly?**  Yes  No

**Disabled?**  Yes  No

**Young Children?**  Yes  No

**Households with high energy burdens?**  Yes  No

**Other?**  Yes  No

**In Order to receive crisis assistance:**

**Must the household have received a shut-off notice or have a near empty tank?**  Yes  No

**Must the household have been shut off or have an empty tank?**

	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Must the household have exhausted their regular heating benefit?</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No
<b>Must renters with heating costs included in their rent have received an eviction notice ?</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Must heating/cooling be medically necessary?</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Must the household have non-working heating or cooling equipment?</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Other? See 4.2 above</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No
<b>Do you have additional / differing eligibility policies for:</b>	
<b>Renters?</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Renters living in subsidized housing?</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Renters with utilities included in the rent?</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Explanations of policies for each "yes" checked above:</b>	
<p>4.6 Eligibility requirements are outlined in 4.2. The difference between Crisis and Winter heating assistance ("Seasonal" assistance in Vermont) is that Seasonal assistance is an entitlement program: an income eligible household with a completed applications is guaranteed a benefit.</p> <p>4.7 Assets Test - see item 4) in section 4.2 above</p> <p>4.7 Priority - If the head of households is elderly or disabled, they are allowed to apply for crisis assistance by phone, and not come into the office. All required paperwork is done by mail. If the head of household is elderly or disabled, or if there are young children in the household, assistance (by phone) is available from 8:30 a.m. to 4:00 p.m. on Saturdays, Sundays and state holidays. All required paperwork is done by mail for elderly and disabled. Households with young children must go into the office to complete paperwork.</p> <p>4.7 In Order to Receive Crisis Assistance - see items 2), 5), 6), 7) and 8) in section 4.2 above as conditions to be met to receive crisis assistance in addition to income eligibility and the assets test.</p>	
Determination of Benefits	
<b>4.8 How do you handle crisis situations?</b>	
<input checked="" type="checkbox"/>	<b>Separate component</b>
<input type="checkbox"/>	<b>Fast Track</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> The Department for Children & Families' "Economic Services Division" (ESD) processes eligibility year-round for seasonal fuel assistance benefits. ESD's Office of Fuel & Utility Programs maintains grant agreements with the state's five community action agencies (CAPs) to operate the crisis fuel assistance component from the last Monday in November to the last business day in April - or until funds are exhausted.
<b>4.9 If you have a separate component, how do you determine crisis assistance benefits?</b>	
<input checked="" type="checkbox"/>	<b>Amount to resolve the crisis.</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> For oil, kerosene and propane: 125 gallons (NOTE: The average benefit of \$444 in section 4.14 below is based on 125 gallons @ \$3.50/gallon.) For firewood: one cord For coal and pellets: one ton For electric service to run a heating system: sufficient payment to the company to maintain service for one month For natural gas heat: sufficient payment to the company to maintain service for one month
Crisis Requirements, 2604(c)	
<b>4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?</b>	
<input checked="" type="radio"/> Yes <input type="radio"/> No <b>Explain.</b>	

The five community action agencies operate 15 separate offices that are geographically accessible to all households where crisis fuel application application intakes are performed. By comparison, the Economic Services Division operates 12 district offices.

**4.11 Do you provide individuals who are physically disabled the means to:**

**Submit applications for crisis benefits without leaving their homes?**

Yes  No **If No, explain.**

**Travel to the sites at which applications for crisis assistance are accepted?**

Yes  No **If No, explain.**

**If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?**

If the head of households is elderly or disabled, they are allowed to apply for crisis assistance by phone, and not come into the office. All required paperwork is done by mail. If the head of household is elderly or disabled, or if there are young children in the household, assistance (by phone) is available from 8:30 a.m. to 4:00 p.m. on Saturdays, Sundays and state holidays. All required paperwork is done by mail for elderly and disabled. Households with young children must go into the office to complete paperwork.

**Benefit Levels, 2605(c)(1)(B)**

**4.12 Indicate the maximum benefit for each type of crisis assistance offered.**

**Winter Crisis** \$444 maximum benefit

**Summer Crisis** \$0 maximum benefit

**Year-round Crisis** \$0 maximum benefit

**4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?**

Yes  No **If yes, Describe**

**4.14 Do you provide for equipment repair or replacement using crisis funds?**

Yes  No

**If you answered "Yes" to question 4.14, you must complete question 4.15.**

**4.15 Check appropriate boxes below to indicate type(s) of assistance provided.**

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?**

Yes  No

**If you responded "Yes" to question 4.16, you must respond to question 4.17.**

**4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.**

The Vermont Public Service Board's Rule 3.300 "Disconnection of Residential Gas, Electric and Water Service" established detailed rules that utility vendors must comply with year-round for shut-offs. The full Rule 3.300 is available on-line at:  
[http://psb.vermont.gov/sites/psb/files/rules/OfficialAdoptedRules/3300\\_Disconnection\\_of\\_Essential\\_Service.pdf](http://psb.vermont.gov/sites/psb/files/rules/OfficialAdoptedRules/3300_Disconnection_of_Essential_Service.pdf)

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 5 - WEATHERIZATION ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
 MODEL PLAN  
 SF - 424 - MANDATORY**

**Section 5: WEATHERIZATION ASSISTANCE**

**Eligibility, 2605(c)(1)(A), 2605(b)(2) - Assurance 2**

**5.1 Designate the income eligibility threshold used for the Weatherization component**

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes		0.00%

**5.2 Do you enter into an interagency agreement to have another government agency administer a WEATHERIZATION component?**  Yes  No

**5.3 If yes, name the agency.**

**5.4 Is there a separate monitoring protocol for weatherization?**  Yes  No

**WEATHERIZATION - Types of Rules**

**5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)**

- Entirely under LIHEAP (not DOE) rules
- Entirely under DOE WAP (not LIHEAP) rules
- Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):
  - Income Threshold
  - Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days
  - Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).
  - Other - Describe:
- Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):
  - Income Threshold
  - Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.
  - Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR ) standards.
  - Other - Describe:

**Eligibility, 2605(b)(5) - Assurance 5**

**5.6 Do you require an assets test?**  Yes  No

**5.7 Do you have additional/differing eligibility policies for :**

**Renters**  Yes  No

**Renters living in subsidized housing?**  Yes  No

**5.8 Do you give priority in eligibility to:**

**Elderly?**  Yes  No

**Disabled?**  Yes  No

**Young Children?**  Yes  No

**House holds with high energy burdens?**  Yes  No

**Other?**  Yes  No

**If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.**

**Benefit Levels**

**5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household?**  Yes  No

**5.10 If yes, what is the maximum?** \$0

**Types of Assistance, 2605(c)(1), (B) & (D)**

**5.11 What LIHEAP weatherization measures do you provide ? (Check all categories that apply.)**

<input type="checkbox"/> Weatherization needs assessments/audits	<input type="checkbox"/> Energy related roof repair
<input type="checkbox"/> Caulking and insulation	<input type="checkbox"/> Major appliance Repairs
<input type="checkbox"/> Storm windows	<input type="checkbox"/> Major appliance replacement
<input type="checkbox"/> Furnace/heating system modifications/ repairs	<input type="checkbox"/> Windows/sliding glass doors
<input type="checkbox"/> Furnace replacement	<input type="checkbox"/> Doors
<input type="checkbox"/> Cooling system modifications/ repairs	<input type="checkbox"/> Water Heater
<input type="checkbox"/> Water conservation measures	<input type="checkbox"/> Cooling system replacement
<input type="checkbox"/> Compact florescent light bulbs	<input type="checkbox"/> Other - Describe:

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

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Section 6: Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

6.1 Select all outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

- Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.
- Publish articles in local newspapers or broadcast media announcements.
- Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.
- Mass mailing(s) to prior-year LIHEAP recipients.
- Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
- Execute interagency agreements with other low-income program offices to perform outreach to target groups.
- Other (specify):  
Mass Mailings: For Seasonal (heating) Fuel Assistance, the Vermont Economic Services Division (ESD) annually mails eligibility "renewal" documents for all public benefits that a household is receiving including LIHEAP, SNAP, TANF and healthcare programs. Other: Maintain an aggressive web presence with links between state government and non-profit programs that serve generally the same clientele. Provide annual trainings for advocates around the state. Operate an "800" state-wide "Benefits Service Center." For Seasonal (heating) Fuel Assistance, paper applications are available on-line, and clients can apply on-line.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 7 - Coordination, 2605(b)(4) - Assurance 4

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Section 7: Coordination, 2605(b)(4) - Assurance 4

**7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SSI, WAP, etc.).**

<input checked="" type="checkbox"/>	<b>Joint application for multiple programs</b>
<input checked="" type="checkbox"/>	<b>Intake referrals to/from other programs</b>
<input checked="" type="checkbox"/>	<b>One - stop intake centers</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b>

The Department for Children & Families' "Economic Services Division" is responsible, state-wide for: SNAP, TANF, LIHEAP, all Health Care programs, General/Emergency Assistance and Essential Person benefits. A single coordinated application allows clients to apply for any benefits they require. Eligibility is coordinated and conducted once a year. Clients may apply with a traditional paper application or apply on-line. Confidential benefit information is available to clients at 12 district offices, on-line (password protected) and by phone (password protected) through the ESD Benefits Service Center.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6**

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**Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)**

**8.1 How would you categorize the primary responsibility of your State agency?**

<input type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy / Environment Agency
<input type="checkbox"/>	Housing Agency
<input checked="" type="checkbox"/>	Welfare Agency
<input type="checkbox"/>	Other - Describe:

**Alternate Outreach and Intake, 2605(b)(15) - Assurance 15**

**If you selected "Welfare Agency" in question 8.1, you must complete questions 8.2, 8.3, and 8.4, as applicable.**

**8.2 How do you provide alternate outreach and intake for HEATING ASSISTANCE?**

The Department for Children & Families' "Economic Services Division" is responsible, state-wide for: SNAP, TANF and LIHEAP. A single coordinated application allows clients to apply for any benefits they require. Eligibility is coordinated so that all programs are reviewed at the same time once a year. Clients may apply with a traditional paper application or apply on-line. Confidential benefit information is available to clients at 12 district offices, on-line (password protected) and by phone (password protected) through the ESD Benefits Service Center.

**8.3 How do you provide alternate outreach and intake for COOLING ASSISTANCE?**

Vermont does not operate an established "cooling assistance" component.

**8.4 How do you provide alternate outreach and intake for CRISIS ASSISTANCE?**

Crisis Assistance Component is administered by the five community action agencies (CAPs) under annual grant agreements managed by Economic Services Division's "Office of Fuel & Utility Programs." The CAPs along with ESD and the F&U Office each perform outreach activities. ONLY the CAPs do crisis assistance intakes. When a client seeks a crisis assistance grant and has not received their seasonal fuel gran, the CAP worker will request that an ESD worker expedite that client's seasonal fuel grant to alleviate the crisis.

<b>8.5 LIHEAP Component Administration.</b>	<b>Heating</b>	<b>Cooling</b>	<b>Crisis</b>	<b>Weatherization</b>
<b>8.5a Who determines client eligibility?</b>	State Welfare Agency	Non-Applicable	Community Action Agencies	Non-Applicable
<b>8.5b Who processes benefit payments to gas and electric vendors?</b>	State Welfare Agency	Non-Applicable	Community Action Agencies	
<b>8.5c who processes benefit payments to bulk fuel vendors?</b>	State Welfare Agency	Non-Applicable	Community Action Agencies	
<b>8.5d Who performs installation of weatherization measures?</b>				Non-Applicable

**If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and, if applicable, 8.9.**

**8.6 What is your process for selecting local administering agencies?**

Crisis - the LIHEAP Crisis Assistance Component is administered by the five community action agencies (CAPs) under annual grant agreements managed by ESD's "Office of Fuel & Utility Programs." The CAPs are an established community partner with access to non-government resources to address a client's home heat or energy crisis. This 'one stop shopping' approach to crisis resolution provides the most effective customer service possible. Weatherization - Wx is NOT a function of the ESD. Wx is the responsibility of the Dept for Children & Families' "Office of Economic Opportunity (OEO). OEO maintains grant agreements with the five Weatherization Assistance Program (WAPs) agencies - four of which are components of community action agency and the fifth is an independent Wx non-profit.

**8.7 How many local administering agencies do you use? Five**

**8.8 Have you changed any local administering agencies in the last year?**

- Yes
- No

**8.9 If so, why?**

<input type="checkbox"/>	Agency was in noncompliance with grantee requirements for LIHEAP -
<input type="checkbox"/>	Agency is under criminal investigation
<input type="checkbox"/>	Added agency
<input type="checkbox"/>	Agency closed
<input type="checkbox"/>	Other - describe

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

Section 9 - Energy Suppliers,, 2605(b)(7) - Assurance 7

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Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

9.1 Do you make payments directly to home energy suppliers?

Heating  Yes  No

Cooling  Yes  No

Crisis  Yes  No

Are there exceptions?  Yes  No

If yes, Describe.

Seasonal fuel assistance clients that heat with firewood or wood pellets receive a cash benefit to be used to pay for wood or pellets. Clients whose heat is included in their rent receive a cash benefit to off-set the undesignated portion of their monthly rent that is applied by the landlord to pay for heat and or utilities. There are no payment exceptions for crisis fuel assistance. All payments are made to the fuel or energy supplier by the CAP.

9.2 How do you notify the client of the amount of assistance paid?

For seasonal fuel assistance: clients receive a printed notice by mail advising them of the amount of their benefit, applicable terms and the name of the fuel or energy dealer who received their benefit. Clients who are denied assistance also receive a printed notice by mail. Clients may also go on-line or by phone through the ESD Benefits Service Center obtain information about the status of their seasonal assistance benefit. Information on-line and by phone are password protected. For crisis fuel assistance: clients receive a copy of their application from the CAP indicating the grant details (amount, fuel/energy type, dealer or utility paid), or if they were denied the reason for the denial.

9.3 How do you 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?

For seasonal fuel assistance: dealers are certified by the ESD F&U Office and payment terms and conditions and prices are established (see: [http://dcf.vermont.gov/sites/DCF/files/pdf/esd/fuel/Terms\\_Conditions.pdf](http://dcf.vermont.gov/sites/DCF/files/pdf/esd/fuel/Terms_Conditions.pdf)). Included in those terms is a requirement that the fuel supplier provide to the eligible households periodic statements of account activity including the receipt, credit and balance of the seasonal fuel benefit. At the end of the fuel season, all certified dealers are required to submit a "Consumption and Refund Report" documenting the use of each customers seasonal fuel assistance benefit. Annually, the F&U Office audits a selected number of dealers to confirm that billing and pricing practices are in accordance with certification requirements. The seasonal fuel benefit pays only a portion of a household's winter home heating bill. Clients are directed (in their notice referenced in 9.2 above) to contact the Economic Services Division (ESD) with questions or concerns regarding their benefit. Questions and concerns regarding account activity or pricing by the fuel supplier are referred to the F&U Office for resolution. For crisis fuel assistance: dealer and utilities submit bills for payment to the CAPs. The CAPs financial staff apply accepted accounts receivable review and payment practices. The certified dealers, the CAPs and the F&U Office cooperate fully on required adjustments (positive and negative) when payment or billing errors are identified in seasonal and/or crisis fuel assistance. And, errors do occur and they are resolved.

9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?

The terms and conditions of the fuel supplier certification agreement referenced in 9.3 above contains discrimination and confidentiality clauses. End of season audits of selected "Consumption and Refund Report" included a price comparison between the price charged to recipient households on specific dates with the supplier's "pricing sheet" for non-recipient customers. In addition the F&U Office accepts and investigates any complaint regarding discrimination in prices or services and the maintenance of confidentiality by a certified fuel supplier.

9.5. Do you make payments contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households?

Yes  No

If so, describe the measures unregulated vendors may take.

The certification agreement that permits payments to all certified fuel suppliers, regulated and unregulated, require annual the annual Consumption Reports referenced in 9.3 above. That information is shared with the Weatherization Offices. Wx services prioritize their services to LIHEAP recipients, with the highest energy consumption, and with 'vulnerable' household members.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10

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Section 10: Program, Fiscal Monitoring, and Audit, 2605(b)(10)

**10.1. How do you ensure good fiscal accounting and tracking of LIHEAP funds?**

The Economic Services Division (ESD) of the Vermont Department for Children and Families (DCF) together with the DCF Business Office monitor the LIHEAP funds. The Fuel & Utility Director meets monthly with a senior manager in the Business Office to review the past month's expenditures (including benefits issued) and update the budget. This process provides checks and balances on the management of program funds. All expenditures, check returns and refunds are recorded on a daily basis and are processed through the state-wide VISION fiscal management system. The program benefit financial recorded and available daily. Monthly, all Fuel Program accounts are balanced against the monthly statement from VSION. If there are any discrepancies, they are accounted for. The state has contracted with the firm of KPMG Peat Marwick to audit expenditures of amounts received under this title as an integrated audit with other state programs in a single audit authorized under OMB Circular A-133.

**Audit Process**

**10.2. Is your LIHEAP program audited annually under the Single Audit Act and OMB Circular A - 133?**

Yes  No

**10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.**

No Findings

Finding	Type	Brief Summary	Resolved?	Action Taken
1				

**10.4. Audits of Local Administering Agencies**

What types of annual audit requirements do you have in place for local administering agencies/district offices?  
 Select all that apply.

- Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- Local agencies/district offices are required to have an annual audit (other than A-133)
- Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- Grantee conducts fiscal and program monitoring of local agencies/district offices

**Compliance Monitoring**

**10.5. Describe the Grantee's strategies for monitoring compliance with the Grantee's and Federal LIHEAP policies and procedures: Select all that apply**

**Grantee employees:**

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments
- Other program review mechanisms are in place. Describe:

When applicable, the F&U Office will conduct sample reviews for Seasonal Fuel Assistance to review program eligibility and benefit determination in compliance with policies and procedures. Typically these reviews are for recent or complex changes made to any component of eligibility or benefit issuance, or when a pattern of questionable practice has been identified.

**Local Administering Agencies / District Offices:**

- On - site evaluation
- Annual program review
- Monitoring through central database

<input type="checkbox"/> Desk reviews
<input checked="" type="checkbox"/> Client File Testing / Sampling
<input checked="" type="checkbox"/> Other program review mechanisms are in place. Describe:
Targeted reviews for Crisis Fuel Assistance are established annually in the grant agreements as a "performance measure." All five Community Action Agency sub-grantees are required to report on a specific issue or condition of eligibility, household composition, benefit, or a combination. In general, these targeted reviews serve two purposes: program compliance and improved customer service. Crisis Fuel workers in each of the state's five community action agencies (CAPSs) determine CFA eligibility and grant amounts during the CFA season. CF workers are supervised by a CF Coordinator in each CAP. The CF Coordinator serves as the primary contact for all CF program eligibility and grant matters. During the CF season (last Monday in November until the last business day in April, or until funds are exhausted) the Fuel & Utility Programs Office provides program support, policy clarifications, technical assistance, and program monitoring as follows: Required CF Trainings: November 18 & 20, 2014 Opening Day (Nov 24/14) Technical Assistance Visits at 4 CAP offices Monthly CF Conference Calls Monitoring Visits with no less than 3 agencies Meet with CAP Director and CF Coordinator Observe CF intakes and decision making (with client's consent) Review use of ACCESS database for CF eligibility determination Review criteria for and progress toward current year's grant agreement required "performance measure" Provide the agency with a written report of the monitoring visit
<b>10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.</b>
Five community action agencies (CAPs) act on behalf of the DCF Economic Services Division through grant agreements for the operation, eligibility determination, and benefit issuance for Crisis Fuel Assistance.
<b>10.7. Describe how you select local agencies for monitoring reviews.</b>
<b>Site Visits:</b> For crisis fuel assistance the five local agencies are community action programs (CAPs). Site visits are conducted by the F&U Office with no less than three agencies per season. Site selection for agencies and their primary offices are rotated annually. Monitoring reviews happen at two points during the year. First - through technical assistance visits while the program is in operation and during regular business hours. This allows staff from the F&U Office to observe, contrast and compare operations and glean best practices. It is also an opportunity for immediate feedback, clarification or correction related to policy and procedures. Problems or opportunities observed in one agency are reported to all as a way to improve overall performance. Second - when final reports are submitted the F&U Director reviews for outlying indicators. These might be only a reporting or numbers error. Or they could be a more serious indicator of situational extremes that require further analysis and possibly corrective action. All findings, positive and negative, are reported to the local agency. Aggregated findings, positive and negative, are shared with all five agencies.
<b>Desk Reviews:</b> Desk reviews are not conducted for the Crisis Fuel program.
<b>10.8. How often is each local agency monitored ?</b> No less than every other year.
<b>10.9. What is the combined error rate for eligibility determinations? OPTIONAL</b>
<b>10.10. What is the combined error rate for benefit determinations? OPTIONAL</b>
<b>10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? None</b>
<b>10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? None</b>
<b>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</b>

Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)

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Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)

11.1 How did you obtain input from the public in the development of your LIHEAP plan?  
Select all that apply.

- Tribal Council meeting(s)
- Public Hearing(s)
- Draft Plan posted to website and available for comment
- Hard copy of plan is available for public view and comment
- Comments from applicants are recorded
- Request for comments on draft Plan is advertised
- Stakeholder consultation meeting(s)
- Comments are solicited during outreach activities
- Other - Describe:

The Home Energy Assistance Task Force (HEAT Force) is a LIHEAP advisory committee established in Vermont statute. HEAT Force is emailed a copy of the draft plan and is engaged directly by the Fuel & Utility Office.

11.2 What changes did you make to your LIHEAP plan as a result of this participation?

The current document is out for public comment. This section will be updated as needed after a public hearing is held in late August or early September.

Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only

11.3 List the date and location(s) that you held public hearing(s) on the proposed use and distribution of your LIHEAP funds?

	Date	Event Description
1	08/24/2014	Block Grants Public Hearing, held at the VT Agency of Human Services, 208 Hurricane Lane, Williston, VT

11.4. How many parties commented on your plan at the hearing(s)? 0

11.5 Summarize the comments you received at the hearing(s).

The current document is out for public comment. This section will be updated as needed after a public hearing is held in late August or early September. A copy of the Hearing Minutes will be attached to the final plan submission.

11.6 What changes did you make to your LIHEAP plan as a result of the comments received at the public hearing(s)?

The current document is out for public comment. This section will be updated as needed after a public hearing is held in late August or early September.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 12 - Fair Hearings,2605(b)(13) - Assurance 13

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Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

**12.1 How many fair hearings did the grantee have in the prior Federal fiscal year?** 15 approximate

**12.2 How many of those fair hearings resulted in the initial decision being reversed?** 5 approximate

**12.3 Describe any policy and/or procedural changes made in the last Federal fiscal year as a result of fair hearings?**

None. Initial decisions were reversed not by the hearing officer rather by the senior program policy staff in the Fuel & Utility Office.

**12.4 Describe your fair hearing procedures for households whose applications are denied.**

Clients may ask for a fair hearing if their claim for assistance, benefits, or services is denied, or in not acted upon with reasonable promptness; or because they are aggrieved by any other ESD action affecting their receipt of assistance, benefits , or services, or they are aggrieved by ESD policy as it affects their situation.

**12.5 When and how are applicants informed of these rights?**

Applicants are informed of their rights to a fair hearing first on their applications for benefits/assistance and every time they are notified of an action or decision regarding their application.

**12.6 Describe your fair hearing procedures for households whose applications are not acted on in a timely manner.**

Clients may ask for a fair hearing if their claim for assistance, benefits, or services is denied, or in not acted upon with reasonable promptness; or because they are aggrieved by any other ESD action affecting their receipt of assistance, benefits , or services, or they are aggrieved by ESD policy as it affects their situation.

**12.7 When and how are applicants informed of these rights?**

Applicants are informed of their rights to a fair hearing first on their applications for benefits/assistance and every time they are notified of an action or decision regarding their application.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

Section 13 - Reduction of home energy needs,2605(b)(16) - Assurance 16

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Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

**13.1 Describe how you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance?**

Vermont supports four firewood programs around the state that serve LIHEAP recipients who utilize firewood as their renewable home heating fuels.

- 1) Northeast Firewood Project provides free firewood to LIHEAP recipients through NEKCA community action agency and the St. Johnsbury district Agency of Human Services Field Director.
- 2) Lamoille County Firewood Project provides free firewood to LIHEAP recipients through United Way of Lamoille (VT) County and area community partners.
- 3) South West Vermont Firewood Project provides free firewood to LIHEAP recipients through BROCC - Community Action for SW Vermont and area community partners.
- 4) Central VT Firewood Project provides free firewood to LIHEAP recipients through Capstone Community Action and the local RSVP (Retired Seniors Volunteer Program).

**13.2 How do you ensure that you don't use more than 5% of your LIHEAP funds for these activities?**

Funds for Assurance 16 activities are specifically identified in the ESD LIHEAP Budget and related expenditures are coordinated with the DCF/ESD Business Office. Maximum amounts are established for FFY2015 as follows:

- 1) Northeast VT Firewood @ \$15,000.
- 2) Lamoille Firewood @ \$10,000
- 3) South West VT Firewood @ \$10,000
- 4) Central VT Firewood @ \$7,000

**13.3 Describe the impact of such activities on the number of households served in the previous Federal fiscal year.**

For households that receive free firewood their winter heat financial burden will be lowered. Funds saved on firewood will be available to the family for other expense necessities.

**13.4 Describe the level of direct benefits provided to those households in the previous Federal fiscal year.**

Firewood projects provide one or two cords of firewood delivered free to eligible households with a conservative estimated value of \$175-\$200 per cord.

**13.5 How many households applied for these services?** 120 estimated

**13.6 How many households received these services?** 100 estimated

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

**Section 14 - Leveraging Incentive Program ,2607A**

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**Section 14:Leveraging Incentive Program, 2607(A)**

**14.1 Do you plan to submit an application for the leveraging incentive program?**

Yes  No

**14.2 Describe instructions to any third parties and/or local agencies for submitting LIHEAP leveraging resource information and retaining records.**

In grant agreements or memos of understanding where a leveraging activity takes place, sub-recipients or grantees or sub-grantees are required to provide information about their activities, grants, clients (including income maximum), and any other pertinent data to substantiate a submission for the Leveraging Incentive Program.

**14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. Â§ 96.87(d)(2)(iii), describe the following:**

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1	MARGIN OVER RACK (MOR) and DISCOUNT OFF RETAIL (DOR) Criteria (ii)	Certified oil, propane and kerosene dealers.	Through the Department's fuel supplier certification agreement, dealers of heating oil, propane and kerosene must enter into a pricing agreement to participate in the seasonal (winter) fuel assistance program. Dealers voluntarily participate in the fuel program and choose with MOR or DOR price agreements. The Margin Over Rack (MOR) agreement daily establishes a market wholesale (rack) price plus a margin amount. Added together the rack price plus margin set a daily maximum price per gallon for oil, propane and kerosene purchased with fuel assistance funds. The Discount Off Retail (DOR) agreement allows fuel dealers to set their own daily prices for all customers (in receipt of fuel assistance or not). DOR then requires that oil, propane and kerosene prices include a 15 cent per gallon discount in addition to the dealer's regular cash or prompt payment discount, if any. Both the MOR and DOR lower the per gallon price of fuel purchased with a client's seasonal (winter) assistance benefit and/or with a client's crisis fuel assistance grant and increase the amount of fuel provided.
2	CONTRIBUTION OF STATE GENERAL FUND DOLLARS Criteria (ii)	State of Vermont general fund.	The state annually budgets a contribution of general fund dollars to the fuel assistance program. The funds are administered by the Fuel Office to increase seasonal (winter) fuel assistance benefits either directly or by off-setting funds that otherwise would have been used for program administration.
3	STATE FUNDED WEATHERIZATION ASSISTANCE Criteria (ii)	State of Vermont gross receipts tax on utilities and fuel.	The state generates additional annual revenue that expands the assistance of the Weatherization Program. These program-dedicated funds are raised through a 1/2 of 1 percent fuel gross sales receipts tax on utilities and fuel vendors. This enables the five state WAPs to serve more households annually. Clients in receipt of fuel assistance, LIHEAP, are given the highest priority for Weatherization services. All clients who receive a winter crisis fuel benefit are directly referred to Weatherization for services.
4	GREEN MOUNTAIN POWER ENERGY ASSISTANCE PROGRAM (EAP) DISCOUNT and ARREARS FORGIVENESS Criteria (iii)	Rate-payers of Green Mountain Power Corporation as approved by the Vermont Public Service Board	Begun on December 15, 2012, eligible customers of Green Mountain Power (GMP) Corporation receive a 25% discount off their monthly charge for the first 600 kilowatt hours of energy used. To be eligible customers must be residential customers and have a total gross household income at or below 150% of the federal poverty level. In addition, eligible customers with an outstanding balance over 30 days and who apply for the program for the first time between December 15, 2012 and March 15, 2013 or between October 1, 2014 and December 31, 2014 will have the full arrears forgiven. The discount and arrears forgiveness help to lower a client's energy burden. Under an agreement with GMP the Fuel and Utility Assistance Office are responsible for eligibility determination. The 150% income limit matches the state's eligibility limit for receipt of a seasonal (winter) fuel assistance benefit. The Fuel and Utility Assistance Office performs direct outreach to clients with GMP heat and to fuel assistance client in the GMP service territories. The GMP discount is integrated directly through the Crisis Fuel Assistance component.
5	VERMONT GAS SYSTEMS DISCOUNT Criteria (iii)	Rate-payers of Vermont Gas Systems Incorporated as approved by the Vermont Public Service Board	Begun on July 1, 2013, eligible customers of Vermont Gas Systems (VGS) receive a 20% discount off their monthly natural gas bill (regardless of what the product is used for). To be eligible customers must have a residential account and a total gross household income no greater than 185% of the federal poverty level. The discount helps to lower a client's energy burden. Under an agreement with VGS the Fuel and Utility Assistance Office are responsible for eligibility determination. The 185% income limit matches the state's eligibility limit for receipt of a seasonal (winter) fuel assistance benefit. The Fuel and Utility Assistance Office performs direct outreach to clients with VGS heat and to fuel assistance client in the VGS service territories. The VGS discount is integrated directly through the Crisis Fuel Assistance component.
	POWER PARTNERS	Rate-payers of Green Mountain	Green Mountain Power (GMP) provides electric service to an estimated 70% of Vermont's homes. GMP's Power Partners Program assists low-income customers (households with

6	PROGRAM ARREARS FORGIVENESS Criteria (iii)	Power Corporation as approved by the Vermont Public Service Board	incomes from 151% to 200% of FPL based on household size) by forgiving a portion of their arrears balance. This program assists customers who are not income eligible for the GMP EAP identified in 4) above. The arrears forgiveness and a repayment plan for the unforgiven portion help to lower a client's energy burden and improve the management of their utility bill. Power Partners is integrated through the Crisis Fuel Component.
7	WARMTH Program Criteria (iii)	Donations by rate-payers and their utilities throughout Vermont.	Community Action Agencies administer a full spectrum of services to households with an energy crisis including LIHEAP-funded crisis fuel assistance, advocacy, negotiations with fuel providers, budget counseling and energy use reduction. WARMTH financial assistance is funded through customer donations to participating utilities. The utilities transfer the funds to the Community Action Agencies who distribute the benefits to income eligible households. The cost of program administration is off-set by the Department with an annual grant of \$25,000 from LIHEAP funds. Assistance is available to households with a combined gross income of not more than 200% FPL. A WARMTH grant often is the last safety net available when crisis fuel assistance funds have been exhausted or when the crisis assistance season is closed. WARMTH is integrated through the Crisis Fuel Component.
8	HEATING SYSTEM REPLACEMENTS Criteria (iii)	State of Vermont gross receipts tax on utilities and fuel.	Through a Department agreement with the State Office of Economic Opportunity (SOEO), payments for emergency heating system replacements for LIHEAP income eligible households is paid by State Funds administered through the Weatherization Fund of SOEO. These funds are raised through a 1/2 percent fuel gross sales receipts tax on utilities and fuel vendors. The Department refers clients directly to the local Weatherization operator during business hours and contacts SOEO approved contractors at all other times. Heating System Replacements are integrated through the Crisis Fuel Component.
9	SETTLEMENT of LEGAL ACTION(s) Criteria (ii)	Private corporations.	Occasionally, the settlement of a legal action, compliance violation or lawsuit will result in funds being graciously donated to Vermont's fuel and utility assistance programs. These funds are administered by the Fuel & Utility Assistance Office to increase seasonal (winter) fuel assistance benefits either directly or by replacing funds that otherwise would have been used for program administration.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 15 - Training

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
 OMB Clearance No.: 0970-0075  
 Expiration Date: 06/30/2017

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
 MODEL PLAN  
 SF - 424 - MANDATORY**

Section 15: Training

**15.1 Describe the training you provide for each of the following groups:**

**a. Grantee Staff:**

**Formal training on grantee policies and procedures**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Employees are provided with policy manual**

**Other-Describe:**

**b. Local Agencies:**

**Formal training conference**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**On-site training**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:** as requested

**Employees are provided with policy manual**

**Other - Describe**

The F&U Office conducts "mini-trainings" and program updates with community based-organizations around the state from August through October. This provides program staff with the opportunity to keep partners, advocates and interested parties up-to-date on both LIHEAP fuel assistance and utility discount programs.

**c. Vendors**

**Formal training conference**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Policies communicated through vendor agreements**

**Policies are outlined in a vendor manual**

**Other - Describe:**

Annually, at predictable points in the fuel assistance season, vendors are advised/reminded of their benefit management responsibilities as third party payees under the terms of Fuel Program Certification Agreement. This includes reporting questions or concerns to the Fuel & Utility Office of fraud, abuse and/or eligibility. Vendors are the most frequent reporters of client eligibility that might lead to a finding of fraud or abuse.

**15.2 Does your training program address fraud reporting and prevention?**

Yes

No

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

## Section 16 - Performance Goals and Measures, 2605(b)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

**16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP performance measures. Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.**

Benefit Targeting Index for High Burden Households - measures the extent to which the highest benefits are provided to the LIHEAP recipient households with the highest energy burden (the percent of gross income spent on utility costs). For the past two years, at the end of each heating season, Vermont has collected household consumption digital-data in dollars and in gallons from LIHEAP recipients' fuel suppliers. The Fuel & Utility Office is currently working with the Weatherization program office. At the direction of the State Legislature both Fuel and Wx are gathering the data to more clearly define client energy burdens. The expectation is that such data will result in meaningful modifications to LIHEAP benefits. The Fuel and Wx report and recommendation are due to the legislature in January, 2015. As a result of that work actual the expectation is that by the end of FFY2015 there will be a plan to implement a Benefiot Targeting Index. Energy Burden Reduction Index for High Burden Households - measures the extent to which LIHEAP benefits are adequate to deliver the same energy burden reduction to high burden recipient households as to low and moderate burden recipient households. Vermont's current benefit matrix employees a series of "proxy" energy burdens for households based on housing type, housing size (by bedroom count) and fuel type. Those "proxy" burdens are matched with the households's income against a benefits payment chart based on income. The chart employs 12 income ranges - with the greatest benefits going to the households with the lowest incomes and the smallest benefits going to the households with the greatest incomes. The combination of the proxy burdens and the graduated benefits based on income will form the basis of meeting the Energy Burden Reduction Index goal.

Prevention of Loss of Home Energy Services - the unduplicated count of households where LIHEAP prevented the loss of home energy services. Vermont maintains a very aggressive Crisis Fuel Assistance component, accessible to clients seven days a week. Vermont believes that the Prevention of Loss goal is met by the current Crisis Fuel Assistance component. Providing an unduplicated count of households where LIHEAP prevented the loss of home energy services is planned to be available in the coming year. Restoration of Home Energy Services - the unduplicated count of households where LIHEAP restored home energy services to the client.

Vermont's Crisis Fuel Assistance component is structured as a "preventative" service. Clients are encouraged and allowed to seek assistance when they are down to 1/4 of a tank of fuel or when they receive a utility service disconnection notice. However, many times Crisis Fuel Assistance must be utilized to restore home heat or electric service to run a heating system. Providing an unduplicated count of households where LIHEAP restored the loss of home energy services is planned to be available in the coming year.

**If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.**

Section 17 - Program Integrity, 2605(b)(10)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 06/30/2017

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
MODEL PLAN  
SF - 424 - MANDATORY**

Section 17: Program Integrity, 2605(b)(10)

17.1 Fraud Reporting Mechanisms

**a. Describe all mechanisms available to the public for reporting cases of suspected waste, fraud, and abuse. Select all that apply.**

- Online Fraud Reporting
- Dedicated Fraud Reporting Hotline
- Report directly to local agency/district office or Grantee office
- Report to State Inspector General or Attorney General
- Forms and procedures in place for local agencies/district offices and vendors to report fraud, waste, and abuse

**Other - Describe:**

Issues related to benefit fraud or abuse and household eligibility most often are referred to the Fuel & Utility Office. The F&U Office investigates all reports of fraud or abuse of benefits. When a viable finding is made, the case and supporting documentation is forwarded to either the Economic Services Division (ESD) Fraud Unit or the Assistant Attorney General's Office. Typically, 'client' fraud is referred to the ESD Fraud Unit and 'dealer' fraud is referred to the AAG's Office.

**b. Describe strategies in place for advertising the above-referenced resources. Select all that apply**

- Printed outreach materials
- Addressed on LIHEAP application
- Website

**Other - Describe:**

Fuel suppliers and utility companies certified by the Fuel & Utility Office to participate in the LIHEAP program are a frequent source of information or concerns regarding client eligibility that might be fraud. Through formal email notices several times a year from the F&U Office, certified fuel suppliers are advised to report concerns of fraud, duplicate benefits, household composition or housing data that is at variance with the information that ESD maintains. Certified fuel suppliers operate under a confidentiality clause in their certification.

17.2. Identification Documentation Requirements

**a. Indicate which of the following forms of identification are required or requested to be collected from LIHEAP applicants or their household members.**

Type of Identification Collected	Collected from Whom?					
	Applicant Only		All Adults in Household		All Household Members	
Social Security Card is photocopied and retained	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested

	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**b. Describe any exceptions to the above policies.**

Newborn children are provided a "place holder" number in the social security data-entry field. Other individuals who are excluded from the fuel assistance household do not have to provide documentation.

**17.3 Identification Verification**

Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply

- Verify SSNs with Social Security Administration
- Match SSNs with death records from Social Security Administration or state agency
- Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)
- Match with state Department of Labor system
- Match with state and/or federal corrections system
- Match with state child support system
- Verification using private software (e.g., The Work Number)
- In-person certification by staff (for tribal grantees only)
- Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)
- Other - Describe:

**17.4. Citizenship/Legal Residency Verification**

What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? Select all that apply.

- Clients sign an attestation of citizenship or legal residency
- Client's submission of Social Security cards is accepted as proof of legal residency
- Noncitizens must provide documentation of immigration status
- Citizens must provide a copy of their birth certificate, naturalization papers, or passport
- Noncitizens are verified through the SAVE system
- Tribal members are verified through Tribal enrollment records/Tribal ID card
- Other - Describe:

**17.5. Income Verification**

What methods does your agency utilize to verify household income? Select all that apply.

- Require documentation of income for all adult household members
  - Pay stubs
  - Social Security award letters
  - Bank statements
  - Tax statements
  - Zero-income statements
  - Unemployment Insurance letters
  - Other - Describe:
- Computer data matches:
  - Income information matched against state computer system (e.g., SNAP, TANF)
  - Proof of unemployment benefits verified with state Department of Labor
  - Social Security income verified with SSA
  - Utilize state directory of new hires
  - Other - Describe:

LIHEAP winter (Seasonal) fuel assistance eligibility is processed by Benefit Programs Specialists in the DCF Economic Services Division. Benefits for LIHEAP, SNAP (3SqsVT), TANF (Reach Up in Vermont) and health care programs all utilize the same eligibility main-frame database.

**17.6. Protection of Privacy and Confidentiality**

Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

 Policy in place prohibiting release of information without written consent Grantee LIHEAP database includes privacy/confidentiality safeguards Employee training on confidentiality for: Grantee employees Local agencies/district offices Employees must sign confidentiality agreement Grantee employees Local agencies/district offices Physical files are stored in a secure location Other - Describe:**17.7. Verifying the Authenticity**

What policies are in place for verifying vendor authenticity? Select all that apply.

 All vendors must register with the State/Tribe. All vendors must supply a valid SSN or TIN/W-9 form Vendors are verified through energy bills provided by the household Grantee and/or local agencies/district offices perform physical monitoring of vendors Other - Describe and note any exceptions to policies above:

Vendors of firewood and wood pellets are not required to be certified with the Fuel & Utility Office. The payment to client rather than the vendor exception is for clients who heat with firewood or pellets. Due to supply and variations in quality and quantity, firewood and pellet client have greater success in obtaining quality product when all suppliers in the market are accessible to them.

**17.8. Benefits Policy - Gas and Electric Utilities**

What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.

 Applicants required to submit proof of physical residency Applicants must submit current utility bill Data exchange with utilities that verifies: Account ownership Consumption Balances Payment history Account is properly credited with benefit Other - Describe: Centralized computer system/database tracks payments to all utilities Centralized computer system automatically generates benefit level Separation of duties between intake and payment approval Payments coordinated among other energy assistance programs to avoid duplication of payments Payments to utilities and invoices from utilities are reviewed for accuracy Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities Direct payment to households are made in limited cases only Procedures are in place to require prompt refunds from utilities in cases of account closure Vendor agreements specify requirements selected above, and provide enforcement mechanism Other - Describe:

Some items checked above may be performed on a sample basis at the end of the winter heating season.

**17.9. Benefits Policy - Bulk Fuel Vendors**

What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel

vendors? Select all that apply.

- Vendors are checked against an approved vendors list
- Centralized computer system/database is used to track payments to all vendors
- Clients are relied on for reports of non-delivery or partial delivery
- Two-party checks are issued naming client and vendor
- Direct payment to households are made in limited cases only
- Vendors are only paid once they provide a delivery receipt signed by the client
- Conduct monitoring of bulk fuel vendors
- Bulk fuel vendors are required to submit reports to the Grantee
- Vendor agreements specify requirements selected above, and provide enforcement mechanism

Other - Describe:

Benefits are paid directly to clients that heat with firewood or wood pellets. Some items checked above may be performed on a sample basis.

#### 17.10. Investigations and Prosecutions

Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.

- Refer to state Inspector General
- Refer to local prosecutor or state Attorney General
- Refer to US DHHS Inspector General (including referral to OIG hotline)
- Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
- Grantee attempts collection of improper payments. If so, describe the recoupment process  
The party in question is contacted by phone and/or in writing. They are advised of the issues and specific actions are outlined with a specific date for compliance. The party is advised that failure to respond or comply will escalate the case either to the ESD Fraud Unit or the Assistant Attorney General. Most cases are resolved at this basic communication level.
- Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?
- Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
- Vendors found to have committed fraud may no longer participate in LIHEAP
- Other - Describe:

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

**Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.**
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.BrBbr.**
- 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.**
- 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.**
- 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.**
- 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or**

agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

**(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:**

**(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;**

**(b) Have not within a three-year period preceding this proposal been convicted of or had a civil 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 for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and**

**(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.**

**(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.**

## Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- 5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.**
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.**
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.**
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is**

normally possessed by a prudent person in the ordinary course of business dealings.

**9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.**

**Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**By checking this box, the prospective primary participant is providing the certification set out above.**

Section 19: Certification Regarding Drug-Free Workplace Requirements

**This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.**

**Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)**

- 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**
- 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.**
- 3. For grantees other than individuals, Alternate I applies.**
- 4. For grantees who are individuals, Alternate II applies.**
- 5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.**
- 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).**
- 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).**
- 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:**

***Controlled substance* means a controlled substance in Schedules I through V of the**

Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

**Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

**Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

#### Certification Regarding Drug-Free Workplace Requirements

##### Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace 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 an ongoing 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);**
- (d) Notifying the employee in the statement required by paragraph (a) 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 in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;**
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;**
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --**
  - (1) Taking appropriate**

personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or  
(2) Requiring such 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).  
(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

**Place of Performance (Street address, city, county, state, zip code)**

Department for Children & Families, Economic Services Division

**\* Address Line 1**

967 IBM Road  
Address Line 2

Address Line 3

Essex Junction  
**\* City**

Vermont  
**\* State**

05452  
**\* Zip Code**

**Check if there are workplaces on file that are not identified here.**

**Alternate II. (Grantees Who Are Individuals)**

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

By checking this box, the prospective primary participant is providing the certification set out above.

**Section 20: Certification Regarding Lobbying**

The submitter of this application 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding 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 contract, grant, loan, 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 Form to Report Lobbying," in accordance with its instructions

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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 for making or entering into this transaction imposed by section 1352, title 31, 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.

**Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

By checking this box, the prospective primary participant is providing the certification set out above.

Assurances

Assurances

**(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; 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) an amount equal to 150 percent of the poverty level for such State; or**

**(ii) an amount equal to 60 percent of the State median income;**

(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.**

## Plan Attachments

### PLAN ATTACHMENTS

The following documents must be attached to this application

- **Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.**
- **Heating component benefit matrix, if applicable**
- **Cooling component benefit matrix, if applicable**
- **Minutes, notes, or transcripts of public hearing(s).**

VERMONT LIHEAP Block Grant	<b>FFY2014</b> <u>Actual</u>	<b>FFY2015</b> <u>Estimated</u>	<b>FFY2016</b> <u>Proposed</u>
<b><u>Goal #1</u></b>			
Home heating supplemental assistance to needy low income households, including the use of program funds for services to inform & assist persons to apply. For FFY2016, an estimated \$250,000 for Fuel Payment Restructuring IT project.	\$13,778,129	\$14,819,161	\$13,560,000
<b><u>Goal #2</u></b>			
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.	\$3,441 ,553	\$2,250,000	\$3,000,000
<b><u>Goal # 3</u></b>			
Administrative expense containment Within the 10% maximum allowed.	\$1,920,462	\$1,896,000	\$1,840,000
Transfer to Weatherization	\$ - 0 -	\$ - 0 -	\$ - 0 -
Source of Funds			
LIHEAP Block Grant Award	\$19,140,144	\$18,965,161	\$18,400,000
LIHEAP Reallotment Award	\$ 64,477	\$ - 0 -	\$ - 0 -
LIHEAP Leverage Award	\$ - 0 -	\$ - 0 -	\$ - 0 -
Total LIHEAP Spending:	\$19,204,621	\$18,965,161	\$18,400,000

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 serving households up to 150% FPL based on household size. State funds are not included above and serve households up to 200% FPL.

Vermont Contact Person: Richard Moffi, Fuel & Utility Programs Director 802-769-6448

**MATERNAL AND CHILD  
HEALTH SERVICES  
BLOCK GRANT**

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VERMONT HUMAN SERVICES PLAN - FY 2016

FEDERAL ASSURANCES & DOCUMENTATION

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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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VERMONT HUMAN SERVICES PLAN - FY 2016

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Maternal and Child Health Services Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
<u>Goal #1</u> Component A: preventive and primary care services for pregnant women, mothers, and infants up to age one.	\$ 256,261	\$315,715	\$315,715
APPROPRIATION: Public Health			
<u>Goal #2</u> Component B: preventive and primary care services for children.			
	\$2,850,015	\$1,674,348	\$1,674,348
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.			
	\$1,180,131	\$1,064,981	\$1,064,981
APPROPRIATION: Public Health			

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VERMONT HUMAN SERVICES PLAN - FY 2016

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Maternal and Child Health Services Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY' 14 Actual</u>	<u>FY' 15 Estimated</u>	<u>FFY' 16 Proposed</u>
Less:Medicaid Receipts	\$-1,401,492	\$-0	\$-0
Less: MOE	\$ -167,092	\$ -167,092	\$ -167,092
Total Expenditures:	\$2,717,823	\$2,887,952	\$2,887,952
Federal MCH Block	\$1,646,142	\$1,650,257	\$ 1,650,257
State Share	<u>\$ 1,071,681</u>	<u>\$1,237,695</u>	<u>\$1,237,695</u>
Total	2,717,823	2,887,952	2,887,952

Block Grant Awards

FFY 2014	\$1,646,142
FFY 2015	\$1,650,257
FFY 2016	\$1,650,257
FFY 2016	\$1,650,257

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Maternal and Child Health Services Block Grant

Title V Plan submitted to the Maternal and Child Health Bureau  
**on July 15, 2015**

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'14 Actual</u>	<u>FY'15 Estimated</u>	<u>FY'16 Proposed</u>
<u>Education and Community Based Services</u>			
To increase the years of healthy life to at least 65 years.			
Obesity Prevention To support systematic policy and Environmental change for nutrition And physical activity			
Sexual Assault Prevention To reduce sexual assault and provide support to victims of sexual assault.			
Infrastructure To support high levels of immunization			
.	\$ 294,425	\$ 294,425	\$ 294,425
Approp: Public Health			

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Use of Funds by Goal or Priority Area	FFY'14 Actual	FY'15 Estimated	FY'16 Proposed
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Emergency Medical Services  
For EMS to enhance incident  
reporting and program planning  
among local EMT Units,  
Hospital ER's, and Public Health  
EMS Planners.

Approp.: Public Health	\$578,285	\$578,285	\$578,285
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Total Expenditures-Gross	\$872,710	\$872,710	\$872,710
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Source of Funds

PHHS Block	\$511,938	\$414,813	\$414,813
State General Funds	\$360,772	\$457,897	\$ 0
Total	\$872,710	\$872,710	\$872,710

Block Grant Awards

FFY 2014	\$422,077
FFY 2015	\$414,813
FFY 2016	\$414,813

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VERMONT HUMAN SERVICES PLAN - FY 2016

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**PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT**

**SOCIAL SERVICES**  
**BLOCK GRANT**

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## VERMONT HUMAN SERVICES PLAN - FY 2016

### FEDERAL ASSURANCES & DOCUMENTATION

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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.

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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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VERMONT HUMAN SERVICES PLAN - FY 2016

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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

VERMONT HUMAN SERVICES PLAN - FY 2016

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 <u>paid by State</u>	2-3 <u>fewer</u>	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	2762	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.

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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.

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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.

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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.

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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 28, 2015** 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.

VERMONT HUMAN SERVICES PLAN - FY 2016

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Social Services Block Grant

<u>Distribution by Department</u>	<u>FFY'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
Secretary's Office	\$ 646,457	\$ 1,109,199	\$1,067,037
Family Services	\$10,288,417	\$ 5,602,252	\$5,602,252
Health Department	\$ 304,824	\$ 312,728	\$ 312,728
Mental Health Department	\$ 409,005	\$ 409,005	\$ 409,005
Dept. of Disabilities, Aging and Independent Living	\$ 1,008,759	\$ 944,672	\$ 944,672
 Total Social Services Expend.	 \$ 12,657,462	 \$ 8,377,856	 \$ 8,335,694

Source of Funds

Federal Funds	\$ 3,226,000	\$ 3,106,293	\$ 3,226,000
Overclaim/State General Funds	\$ 4,696,144	\$ 536,245	\$ 374,376
TANF Transfer	<u>\$ 4,735,318</u>	<u>\$ 4,735,318</u>	<u>\$ 4,735,318</u>
Total	<u>\$ 12,657,462</u>	<u>\$ 8,377,856</u>	<u>\$ 8,335,694</u>

Block Grant Awards

FFY 2014	\$3226,000
FFY 2015	\$3,106,293
FFY 2016	\$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'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 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.

	\$404,689	\$403,276	\$403,276
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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.

	\$241,678	\$705,923	\$663,861
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APPROPRIATION:

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

Total Expenditures:	\$ 646,457	\$1,109,199	\$1,067,137
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VERMONT HUMAN SERVICES PLAN - FY 2016

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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.

VERMONT HUMAN SERVICES PLAN - FY 2016

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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'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
<u>Goal #1</u>			
To assure that legislative mandates and departmental policies are implemented for foster care programs.	\$ 238,171	\$ 0	\$ 0
<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.	\$ 3,644,916	\$ 0	\$ 0
<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.	\$ 1,620,323	\$ 1,753,716	\$ 1,753,716
<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.	\$ 4,785,007	\$ 3,848,536	\$ 3,848,536
Total Expenditures	\$7,848,419	\$8,402,854	\$8,402,854

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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 15.

**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'15.

**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'14 Actual</u>	<u>FY'15 Estimated</u>	<u>FFY'16 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:	\$409,005	\$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 designated hospitals for psychiatric care, the number of clients assigned to Community Rehabilitation and Treatment programs, and bed days in therapeutic community residences. The ultimate purpose of these housing and home supports is to divert individuals from psychiatric inpatient hospitalization.

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Social Services Block Grant

Goal #1

	<u>Level 1 Admissions*</u>	<u>No. CRT Clients Served</u>	<u>Days of Housing and Home Support</u>
FY2014 (Actual)	160	2,726	56,690
FY2015 (Estimated)	126	2,700	58,000
FY2016 (Projected)	135	2,700	58,000

\*Level 1 admissions are defined as those admissions that would have been made to the Vermont State Hospital had VSH remained open after Tropical Storm Irene at the end of August 2011. 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.

The 160 Level 1 admissions in FY 2014 were to the Brattleboro Retreat (BR); Rutland Regional Medical Center (RRMC); the Green Mountain Psychiatric Care Center (GMPCC), in Morrisville, an interim replacement for the Vermont State Hospital until the construction of the Vermont Psychiatric Care Hospital (VPCH), in Berlin, and its opening on July 1, 2014; and the University of Vermont Medical Center (UVMCC), in Burlington. The admissions in FYs 2015 and 2016 were to BR, RRMC, and VPCH.

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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'14 Actual</u>	<u>FY'15 Estimated</u>	<u>FFY'16 Proposed</u>
<u>Goal #1</u>			
To provide comprehensive family planning services.			
	<u>\$304,824</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'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
<u>Goal #1</u>			
<b>Attendant Services Program</b>			
To provide personal care services To people with permanent and Severe physical disabilities.			
	\$ 267,395	\$ 256,304	\$256,304
APPROPRIATION: DAIL Grants			
Number of persons served:	10	10	10
 <u>Goal #2</u>			
<b>Guardianship</b>			
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.			
	\$ 433,101	\$380,108	\$380,108
APPROPRIATION: DAIL Administration			
Number of persons served:	91	93	95

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VERMONT HUMAN SERVICES PLAN - FY 2016

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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'13 Actual</u>	<u>FFY'14 Estimated</u>	<u>FFY'15 Proposed</u>
Goal #3			
<b>Developmental Disabilities</b>			
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.	\$ 308,263	\$ 308,260	\$ 308,260
Number of persons served:	4,105	4,228	4,355
APPROPRIATION: DS Grants			
Grand Total:	\$1, 008,759	\$ 944,672	\$ 944,672

**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'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
-----------------------------------------	--------------------------	-----------------------------	----------------------------

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                      \$ 1,019,814    \$ 1,040,058    \$ 1,040,058

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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VERMONT HUMAN SERVICES PLAN – FY 2016

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Substance Abuse Prevention & Treatment Block Grant

<u>Use of Funds by Goal or Activity</u>	<u>FFY'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 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	\$1,731,424	\$1,885,740	\$1,885,740
--------------------------------------------------------	-------------	-------------	-------------

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'14</u> <u>Actual</u>	<u>FFY'15</u> <u>Estimated</u>	<u>FFY'16</u> <u>Proposed</u>
-----------------------------------------	--------------------------------	-----------------------------------	----------------------------------

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'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
APPROPRIATION: 3420060000	\$6,303,720	\$6,783,428	\$6,783,428
Total	\$9,054,958	\$9,709,226	\$9,709,226
<u>Source of Funds</u>			
SAPT Funds	\$6,032,970	\$ 6,076,965	\$ 6,076,965
State General Funds	\$3,021,988	\$ 3,632,261	\$ 3,632,261
TOTAL	\$9,054,058	\$ 9,709,226	\$ 9,709,226

Block Grant Awards

FFY'14 \$6,032,970  
FFY'15 \$6,076,965  
FFY'16 \$6,076,965

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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

**I. 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: Sarah Clark

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

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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**

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Substance Abuse Prevention & Treatment Block Grant

Form 3

OMB No. 0930-0080

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**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: Hal Cohen**

**Title: Secretary**

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Substance Abuse Prevention & Treatment Block Grant

Narrative<sup>1</sup> Intended use narrative is submitted to Substance Abuse and Mental Health Services Administration (SAMHSA)

**annually**

Copies furnished upon request.

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**STATE PLAN ON AGING  
UNDER TITLE III  
OF THE OLDER AMERICANS 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

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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-

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(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

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(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

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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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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.

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(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

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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

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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

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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)**

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(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

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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.*

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(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

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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

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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)**

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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;*

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(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, 2015 through September 30, 2016.

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

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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.

7/21/15  
(Date)

  
\_\_\_\_\_  
Commissioner, Department of Disabilities,  
Aging and Independent Living

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

\_\_\_\_\_  
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 2016**

**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.

**Principles:**

- Use “best available data” which is understood to be the most recent **Administration for Community Living Special Tabulation of the American Community Survey 5-year Survey estimates. Data is updated annually and available at the Planning Service Area level (equivalent to AAA service areas in Vermont) or town level, producing information by AAA region.**
- **Pursue stability: avoid distributing large number of dollars associated with a small number of people**

**Funding Factors:**

1. **Service Base** distribution of \$531,000, representing 10% of Federal funds available for distribution, is divided equally among the five AAAs (\$106,200 per AAA).
2. **Area Plan Administration** distribution of \$531,000 representing 10% of Federal funds available for distribution, is divided equally among the five AAAs (\$106,200 per AAA).
3. **Distribution by Age:**
  - 15% of the *remaining* funds are distributed based on the 60 – 74 population in each Planning Service Area (PSA) (equivalent to the area served by each AAA)
  - 15% of the *remaining* funds are distributed based on the 75 – 84 population in each PSA
  - 27% of the *remaining* funds are distributed based on the 85+ population in each PSA
4. **Distribution according to age and greatest economic need:** 40% of the *remaining* funds are distributed based on the population in each PSA that is 60+ and at or below 100% of the Federal Poverty Level.
5. **Distribution according to age and social need related to limited English:** 1% of the *remaining* funds are distributed based on the population in each PSA that is 60+ and with limited English proficiency.

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6. **Distribution according to age and social need related to minority status:** 1% of the *remaining* funds are distributed based on the population in each PSA that is 60+ and minority.
7. **Distribution according to age and social need related to living alone:** 1% of the *remaining* funds are distributed based on the population in each PSA that is 60+ and living alone.

Weightings emphasize supporting old-old (85+) and poverty.

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

<u>Area Agency on Aging</u>	<u>FFY'14 Actual</u>	<u>FFY'15 Estimated</u>	<u>FFY'16 Proposed</u>
Central Vermont Council on Aging	1,024,575	960,943	964,885
Champlain Valley Agency on Aging	1,444,584	1,828,350	1,512,661
Northeastern Kingdom Council on Aging	896,544	999,086	783,946
Council on Aging for Southeastern Vermont	968,472	971,988	939,554
Southwestern Vermont Area Council on Aging	941,238	820,599	936,285