



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee members
From: Sorsha Anderson, Senior Staff Associate
Date: November 2, 2022
Subject: Limited-Service Position Request – JFO #3125

Enclosed please find one (1) item, which the Joint Fiscal Office has received from the Administration. *The request is being held for the Joint Fiscal Committee meeting on Wednesday, November 9, 2022.*

JFO #3125 – One (1) limited-service position, Policy Advisor, to Agency of Human Services, Adult Protective Services to review legal procedures and statutory language for the development and review of new and existing program areas within APS. Funded with previously approved grant #2986 through 9/30/2023.

Please review the enclosed materials and notify the Joint Fiscal Office (Sorsha Anderson: sanderson@leg.state.vt.us) if you have questions or concerns.

STATE OF VERMONT Joint Fiscal Committee Review Limited Service - Grant Funded Position Request Form

This form is to be used by agencies and departments when additional grant funded positions are being requested. Review and approval by the Department of Human Resources must be obtained prior to review by the Department of Finance and Management. The Department of Finance will forward requests to the Joint Fiscal Office for JFC review. A Request for Classification Review Form (RFR) and an updated organizational chart showing to whom the new position(s) would report must be attached to this form. Please attach additional pages as necessary to provide enough detail.

Agency/Department: AHS/DAIL Date: 08/01/2022

Name and Phone (of the person completing this request): Liz Perreault 802-798-9198

Request is for:

- Positions funded and attached to a new grant.
- Positions funded and attached to an existing grant approved by JFO # 2986

1. Name of Granting Agency, Title of Grant, Grant Funding Detail (attach grant documents):

Administration for Community Living, American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services.
See attached grant docs

2. List below titles, number of positions in each title, program area, and limited service end date (information should be based on grant award and should match information provided on the RFR) position(s) will be established only after JFC final approval:

<u>Title* of Position(s) Requested</u>	<u># of Positions</u>	<u>Division/Program</u>	<u>Grant Funding Period/Anticipated End Date</u>
Policy Advisor	1	DLP/APS	8/1/2021-9/30/2023

*Final determination of title and pay grade to be made by the Department of Human Resources Classification Division upon submission and review of Request for Classification Review.

3. Justification for this request as an essential grant program need:

This grant has created the opportunity to provide additional program areas within APS that will require internal legal review of procedures and products. This position will engage in APS statutory efforts by assisting in the development of proposed statute language. Additionally this position will conduct legal research and analysis to evaluate and propose statutory and regulatory changes necessary for APS to accomplish its mission and goals, as well as assess legal arguments for and against proposed changes to statute, policies, and protocols.

I certify that this information is correct and that necessary funding, space and equipment for the above position(s) are available (required by 32 VSA Sec 5(b))

Signature of Requester: Monica White Digitally signed by Monica White Date: 2022.08.03 16:09:28 -04'00' 8/3/2022 9/19/2022

Signature of Agency or Department Head: Aimee Pope Date: 2022.09.26 16:15:53 -04'00'

Approved/Denied by Department of Human Resources: Greshin Date: 2022.09.28 09:17:05 -04'00'

Approved/Denied by Finance and Management: Douglas Farnham Date: _____

Approved/Denied by Secretary of Administration: _____ Date: _____

Approved/Denied by Governor (required as amended by 2019 Leg. Session) _____ Date: 10/19/22

Comments: _____

VERMONT DEPARTMENT OF PERSONNEL
**Request for Classification Review
Position Description Form A**

- **This form is to be used by managers and supervisors to request classification of a position (filled or vacant) when the duties have changed, and by managers and supervisors to request the creation of a new job class/title (for a filled, vacant, or new position), and by employees to request classification of their position.**
- This form was designed in Microsoft Word to download and complete on your computer. This is a form-protected document, so information can only be entered in the shaded areas of the form.
- If you prefer to fill out a hard copy of the form, contact your Personnel Officer.
- To move from field to field use your mouse, the arrow keys or press Tab. Each form field has a limited number of characters. Use your mouse or the spacebar to mark and unmark a checkbox.
- Where additional space is needed to respond to a question, you might need to attach a separate page, and number the responses to correspond with the numbers of the questions on the form. Please contact your Personnel Officer if you have difficulty completing the form.
- The form must be complete, including required attachments and signatures or it will be returned to the department's personnel office. All sections of this form are required to be completed unless otherwise stated.

INSTRUCTIONS: Tell us about the job. The information you provide will be used to evaluate the position. It will not be used in any way to evaluate an employee's performance or qualifications.

Answer the questions carefully. The information you give will help ensure that the position is fairly evaluated. Here are some suggestions to consider in completing this questionnaire:

- Tell the **facts** about what an employee in this position is actually expected to do.
- Give **specific examples** to make it clear.
- Write in a way so a person unfamiliar with the job will be able to understand it.
- Describe the job **as it is now**; not the way it was or will become.
- Before answering each question, read it carefully.

To Submit this Request for Classification Review: If this is a filled position, the employee must sign the original* and forward to the supervisor for the supervisor's review and signature. The Personnel Officer and the Appointing Authority must also review and sign this request before it is considered complete. The effective date of review is the beginning of the first pay period following the date the complete Request for Classification Review is date stamped by the Classification Division of the Department of Personnel.

*An employee may choose to sign the form, make a copy, submit original to supervisor as noted above, while concurrently sending the copy to the Classification Division, 144 State Street, Montpelier, with a cover note indicating that the employee has submitted the original to the supervisor and is submitting the copy as a **Concurrent** filing.

If this is a request (initiated by employees, VSEA, or management) for review of all positions in a class/title please contact the appropriate Classification Analyst or the Classification Manager to discuss the request prior to submitting.

Request for Classification Review Position Description Form A

For Department of Personnel Use Only

Notice of Action # _____ Action Taken: _____ New Job Title _____ Current Class Code _____ New Class Code _____ Current Pay Grade _____ New Pay Grade _____ Current Mgt Level ____ B/U ____ OT Cat. ____ EEO Cat. ____ FLSA ____ New Mgt Level ____ B/U ____ OT Cat. ____ EEO Cat. ____ FLSA ____ Classification Analyst _____ Date _____ Comments: _____ Willis Rating/Components: Knowledge & Skills: _____ Mental Demands: _____ Accountability: _____ Working Conditions: _____ Total: _____	Date Received (Stamp) Effective Date: _____ Date Processed: _____
--	---

Incumbent Information:

Employee Name: Employee Number:
 Position Number: Current Job/Class Title:
 Agency/Department/Unit: Work Station: Zip Code:
 Supervisor's Name, Title, and Phone Number:
 How should the notification to the employee be sent: employee's work location or other address, please provide mailing address:

New Position/Vacant Position Information:

New Position Authorization: Request Job/Class Title: APS Policy Advisor
 Position Type: Permanent or Limited / Funding Source: Core, Partnership, or Sponsored
 Vacant Position Number: Current Job/Class Title:
 Agency/Department/Unit: AHS/DAIL/APS Work Station: Home Based Zip Code:
 Supervisor's Name, Title and Phone Number: John Gordon, APS Director, 802-241-9014

Type of Request:

- Management:** A management request to review the classification of an existing position, class, or create a new job class.
- Employee:** An employee's request to review the classification of his/her current position.

1. Job Duties

This is the **most critical** part of the form. Describe the activities and duties required in your job, **noting changes (new duties, duties no longer required, etc.) since the last review**. Place them in order of importance, beginning with the single most important activity or responsibility required in your job. The importance of the duties and expected end results should be clear, including the tolerance that may be permitted for error. Describe each job duty or activity as follows:

- **What** it is: The nature of the activity.
- **How** you do it: The steps you go through to perform the activity. Be specific so the reader can understand the steps.
- **Why** it is done: What you are attempting to accomplish and the end result of the activity.

For example a Tax Examiner might respond as follows: **(What)** Audits tax returns and/or taxpayer records. **(How)** By developing investigation strategy; reviewing materials submitted; when appropriate interviewing people, other than the taxpayer, who have information about the taxpayer's business or residency. **(Why)** To determine actual tax liabilities.

1. Conducts legal research and analysis to evaluate and propose statutory and regulatory changes necessary for APS to accomplish its mission and goals.
2. Assesses the legal arguments for and against proposed changes to statute, policies, and protocols.
3. Review investigative products to help identify and address weaknesses.
4. Provide training and support to APS staff.
5. Informs the appropriate leadership on the legal pros and cons of suggested changes to statute, protocols, or policies.
6. Drafts statutory and regulatory initiatives or modifications.

2. Key Contacts

This question deals with the personal contacts and interactions that occur in this job. Provide brief typical examples indicating your primary contacts (**not** an exhaustive or all-inclusive list of contacts) other than those persons to whom you report or who report to you. If you work as part of a team, or if your primary contacts are with other agencies or groups outside State government describe those interactions, and what your role is. For example: you may *collaborate, monitor, guide, or facilitate change*.

APS and Department Staff, partner agencies, legislators

3. Are there licensing, registration, or certification requirements; or special or unusual skills necessary to perform this job?

Include any special licenses, registrations, certifications, skills; (such as counseling, engineering, computer programming, graphic design, strategic planning, keyboarding) including skills with specific equipment, tools, technology, etc. (such as mainframe computers, power tools, trucks, road equipment, specific software packages). Be specific, if you must be able to drive a commercial vehicle, or must know Visual Basic, indicate so.

Considerable knowledge of the principles and practices that guide public administration.
Considerable knowledge of the principles and practices of program and policy planning, evaluation and development.
Ability to provide interpretation of complex regulations and to analyze their impact on

current and proposed programs.
Negotiation and mediation skills.
Ability to communicate complex concepts in plain language effectively, both orally and in writing.
Ability to establish and maintain effective working relationships.
Ability to provide leadership and accountability within the framework of the four key practices of the Agency of Human Services: customer service, holistic service, strengths-based relationships and results orientation.
Working knowledge of the legal landscape that drives the functions and operations of APS programs and services..

4. Do you supervise?

In this question "supervise" means if you direct the work of others where you are held **directly** responsible for assigning work; performance ratings; training; reward and discipline or effectively recommend such action; and other personnel matters. List the names, titles, and position numbers of the classified employees reporting to you:

No

5. In what way does your supervisor provide you with work assignments and review your work?

This question deals with how you are supervised. Explain how you receive work assignments, how priorities are determined, and how your work is reviewed. There are a wide variety of ways a job can be supervised, so there may not be just one answer to this question. For example, some aspects of your work may be reviewed on a regular basis and in others you may operate within general guidelines with much independence in determining how you accomplish tasks.

1. Incumbent will work under the supervision of the Director of APS. The need for independent decisions and initiative will be necessary.
2. Regular supervision and team meetings will be held.
3. Incumbent will collect and document data and report to supervisor on a regular basis.
4. Project documentation and data will be reviewed and evaluated regularly.

6. Mental Effort

This section addresses the mental demands associated with this job. Describe the most mentally challenging part of your job or the most difficult typical problems you are expected to solve. Be sure to give a specific response and describe the situation(s) by example.

- For example, a purchasing clerk might respond: *In pricing purchase orders, I frequently must find the cost of materials not listed in the pricing guides. This involves locating vendors or other sources of pricing information for a great variety of materials.*
- Or, a systems developer might say: *Understanding the ways in which a database or program will be used, and what the users must accomplish and then developing a system to meet their needs, often with limited time and resources.*

Revising statute, policies and protocols will require balancing the needs of APS and the vulnerable adults APS is charged to protect with the wants of stakeholders which will

require incumbant to have the ability to exercise excellent interpersonal skills.

7. Accountability

This section evaluates the job's expected results. In weighing the importance of results, consideration should be given to responsibility for the safety and well-being of people, protection of confidential information and protection of resources.

What is needed here is information not already presented about the job's scope of responsibility. What is the job's most significant influence upon the organization, or in what way does the job contribute to the organization's mission?

Provide annualized dollar figures if it makes sense to do so, explaining what the amount(s) represent.

For example:

- A social worker might respond: *To promote permanence for children through coordination and delivery of services;*
- A financial officer might state: *Overseeing preparation and ongoing management of division budget: \$2M Operating/Personal Services, \$1.5M Federal Grants.*

Assist in updating the APS Statute language to better serve the needs of individuals with vulnerabilities by providing legal consultation.

Produce APS procedures and products that will hold up to legal scrutiny.

Assesses the legal arguments for and against proposed changes to statute and policies.

Drafts statutory and regulatory initiatives or modifications.

Conducts risk analysis of current and proposes actions to APS and to the APS participants.

Negotiates with internal and external stakeholders on the development and/or implementation of new APS policies.

8. Working Conditions

The intent of this question is to describe any adverse conditions that are routine and expected in your job. It is not to identify special situations such as overcrowded conditions or understaffing.

- a) What significant mental stress are you exposed to? All jobs contain some amount of stress. If your job stands out as having a significant degree of mental or emotional pressure or tension associated with it, this should be described.

Type	How Much of the Time?
Uncertainty of proper course of action, no manual for specific implementation	30%
Differences in opinion, strained relationships, highly emotional topics to be addressed	50%

- b) What hazards, special conditions or discomfort are you exposed to? (Clarification of terms: **hazards** include such things as potential accidents, illness, chronic health conditions or other harm. Typical examples might involve exposure to dangerous persons, including potentially

violent customers and clients, fumes, toxic waste, contaminated materials, vehicle accident, disease, cuts, falls, etc.; and **discomfort** includes exposure to such things as cold, dirt, dust, rain or snow, heat, etc.)

Type	How Much of the Time?
Duties are performed primarily in standard office settings.	

c) What weights do you lift; how much do they weigh and how much time per day/week do you spend lifting?

Type	How Heavy?	How Much of the Time?

d) What working positions (sitting, standing, bending, reaching) or types of effort (hiking, walking, driving) are required?

Type	How Much of the Time?
Sitting/Standing	95%
Walking/Driving	5%

Additional Information:

Carefully review your job description responses so far. If there is anything that you feel is important in understanding your job that you haven't clearly described, use this space for that purpose. Perhaps your job has some unique aspects or characteristics that weren't brought out by your answers to the previous questions. In this space, add any additional comments that you feel will add to a clear understanding of the requirements of your job.

Employee's Signature (required): _____ Date: _____

Supervisor's Section:

Carefully review this completed job description, but **do not** alter or eliminate any portion of the original response. Please answer the questions listed below.

1. What do you consider the most important duties of this job and why?

Evaluation and advice on proposed statutory and regulatory changes to help APS accomplish it's mission and goals.

2. What do you consider the most important knowledge, skills, and abilities of an employee in this job (not necessarily the qualifications of the present employee) and why?

Having knowledge of legal language and policy.

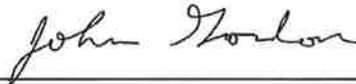
3. Comment on the accuracy and completeness of the responses by the employee. List below any missing items and/or differences where appropriate.

N/A

4. Suggested Title and/or Pay Grade:

APS Policy Advisor/ PG 27

Supervisor's Signature (required):



Date: 7/27/22

Personnel Administrator's Section:

Please complete any missing information on the front page of this form before submitting it for review.

Are there other changes to this position, for example: Change of supervisor, GUC, work station?

Yes No If yes, please provide detailed information.

Attachments:

- Organizational charts are **required** and must indicate where the position reports.
- Draft job specification is **required** for proposed new job classes.

Will this change affect other positions within the organization? If so, describe how, (for example, have duties been shifted within the unit requiring review of other positions; or are there other issues relevant to the classification review process).

Suggested Title and/or Pay Grade:

Personnel Administrator's Signature (required): _____ Date: _____

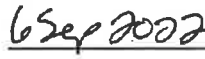
Appointing Authority's Section:

Please review this completed job description but **do not alter** or eliminate any of the entries. Add any clarifying information and/or additional comments (if necessary) in the space below.

Suggested Title and/or Pay Grade:



Appointing Authority or Authorized Representative Signature (required)



Date

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Administration for Community Living

Availability of Program Application Instructions for Adult Protective Services Funding

Title: American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services.

Announcement Type: Initial.

Statutory Authority: The statutory authority for grants under this program announcement is contained in the Elder Justice Act Section 2042(b) of Title XX of the Social Security Act [Pub. L. 74-271] [As Amended Through Pub. L. 115-123, Enacted February 9, 2018] as referenced in Section 9301 of the American Rescue Plan Act of 2021 (Pub. L. 117-2).

Catalog of Federal Domestic Assistance (CFDA) Number: 93.747.

DATES: The deadline date for the submission of the American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services Letter of Assurance is 11:59 p.m. June 28, 2021.

I. Funding Opportunity Description

The Administration for Community Living (ACL) is establishing the "American Rescue Plan Act of 2021: Grants to Enhance Adult Protective Services" funding opportunity in accordance with Section 2042(b) of Subtitle B of Title XX of the Social Security Act, otherwise known as the Elder Justice Act (EJA) as authorized and funded through the American Rescue Plan Act of 2021 (Pub. L. 117-2). In accordance with these statutes, the purpose of this opportunity is to enhance and improve adult protective services provided by states and local units of government. Funds awarded under this opportunity will provide Adult Protective Services (APS) programs in the states and territories with resources to enhance, improve, and expand the ability of APS to investigate allegations of abuse, neglect, and exploitation. Examples of activities consistent with the purposes of the statute include:

- Establishing or enhancing the availability for elder shelters and other emergency, short-term housing and accompanying "wrap-around" services for APS clients;
- Establishing, expanding, or enhancing state-wide and local-level elder justice networks for the purpose of removing bureaucratic obstacles and improving coordination across the many state and local agencies interacting with APS clients who have experienced abuse, neglect, or exploitation;

- Working with tribal adult protective services efforts, such as conducting demonstrations on state-Tribal APS partnerships to better serve tribal elders who experience abuse, neglect, and exploitation, partnering with Tribes within the state to include tribal elder abuse data in the state's National Adult Maltreatment Reporting System (NAMRS) reporting, and undertaking demonstrations to better understand elder abuse experienced by tribal individuals living in non-tribal communities and served by state APS programs;

- Improving or enhancing existing APS processes for receiving reports, conducting intakes and investigations, planning/providing for services, making case determinations, documenting and closing cases, and continuous quality improvement;
- Improving and supporting remote work, such as the purchase of communications and technology hardware, software, or infrastructure in order to provide adult protective services;

- Improving data collection and reporting at the case worker, local-, and state-levels in a manner that is consistent with the National Adult Maltreatment Reporting System (NAMRS);

- Costs associated with establishing new, or improving existing processes for responding to alleged scams and frauds;
- Costs associated with community outreach;
- Costs associated with providing goods and services to APS clients;
- Acquiring personal protection equipment and supplies;
- Paying for extended hours/overtime for staff, hiring temporary staff, and associated personnel costs;
- Training costs;
- Costs associated with assisting APS clients secure the least restrictive option for emergency or alternative housing, and with obtaining, providing, or coordinating with care transitions as appropriate.

In addition, grantees will be required to create a 3-5 year plan for improving and enhancing their APS system at the state and local level, and submit it to ACL within 6-months of the award date. ACL will provide all grantees with in-depth technical assistance and tools to support grantees in planning for and developing the plans.

Awards authorized under the EJA Section 2042(b) shall be provided to the agency or unit of state government having the legal responsibility for providing adult protective services within the state. Funding under this opportunity may be used to serve any

APS client who meets their state's statutory or regulatory criteria for client eligibility for APS services in the state. This funding must supplement and not supplant existing funding for APS provided by states and local units of government. Additionally, award recipients will be required to submit semi-annual federal financial reports and annual program reports related to the activities performed.

II. Award Information

A. Eligible Entity

The eligible entity for these awards is the agency or unit of state government legally responsible for providing adult protective services in each state and territory (EJA Section 2042(b)(3)(B)).

B. Funding Instrument Type

These awards will be made in the form of formula grants to the agencies and units of state government with the legal responsibility to provide adult protective services.

C. Anticipated Total Funding per Budget Period

Under this program announcement, ACL intends to make grant awards to each state, territory, and the District of Columbia. Funding will be distributed through the formula identified in Section 2042(b) of the Elder Justice Act. The amounts allocated are based upon the proportion of elders living in each state and territory, as defined in statute, and will be distributed based on the formula. There are no cost-sharing nor match requirements.

Awards made under this announcement have an estimated start date of August 1, 2021 and an estimated end date of September 30, 2023. The total available funding for this opportunity is \$86,060,000. Below are the projected award amounts:

State/territory	Projected amount
Alabama	\$1,253,632
Alaska	645,450
Arizona	1,865,376
Arkansas	761,967
California	8,687,314
Colorado	1,274,252
Connecticut	937,381
Delaware	645,450
Dist. of Columbia	129,080
Florida	6,321,959
Georgia	2,283,242
Hawaii	645,450
Idaho	645,450
Illinois	3,047,328
Indiana	1,618,610
Iowa	811,164
Kansas	704,707
Kentucky	1,115,193
Louisiana	1,110,372

State/territory	Projected amount
Maine	645,450
Maryland	1,440,997
Massachusetts	1,735,714
Michigan	2,629,735
Minnesota	1,376,357
Mississippi	722,828
Missouri	1,569,549
Montana	645,450
Nebraska	645,450
Nevada	729,486
New Hampshire	645,450
New Jersey	2,201,359
New Mexico	645,450
New York	4,864,372
North Carolina	2,579,576
North Dakota	645,450
Ohio	3,042,896
Oklahoma	937,536
Oregon	1,111,411
Pennsylvania	3,520,052
Rhode Island	645,450
South Carolina	1,366,031
South Dakota	645,450
Tennessee	1,688,868
Texas	5,659,858
Utah	645,450
Vermont	645,450
Virginia	2,021,926
Washington	1,799,233
West Virginia	645,450
Wisconsin	1,517,845
Wyoming	645,450
American Samoa	86,060
Guam	86,060
Northern Marianas	86,060
Puerto Rico	951,354
Virgin Islands	86,060

III. Submission Requirements

A. Letter of Assurance

A *Letter of Assurance* is required to be submitted by the eligible entity in order to receive an award. The Letter of Assurance must include the following:

1. Assurance that the award recipient is the agency or unit of state government legally responsible for providing adult protective services in each state and territory.

2. Assurance that funds will supplement and not supplant existing APS funding.

3. Assurance the grantee will reserve a reasonable portion of the funds to create a 3–5 year plan for improving and enhancing their APS system at the state and local level, and that the completed plan will be submitted to ACL within the first 6 months of award.

4. Assurance that funds will be spent in ways consistent with the Elder Justice Act Section 2042(b); Section 9301 of the American Rescue Plan Act of 2021; and guidance provided by ACL, including the examples of activities consistent with the purposes of the authorizing legislation contained in the **Federal Register Notice**:

- Establishing or enhancing the availability for elder shelters and other emergency, short-term housing and accompanying “wrap-around” services;
 - Establishing, expanding, or enhancing state-wide and local-level elder justice networks;
 - Working with tribal adult protective services efforts;
 - Improving or enhancing existing APS processes;
 - Improving and supporting remote work;
 - Improving data collection and reporting at the case worker, local-, and state-levels in a manner that is consistent with the National Adult Maltreatment Reporting System;
 - Establishing new, or improving existing processes for responding to alleged scams and frauds;
 - Community outreach;
 - Providing goods and services to APS clients;
 - Acquiring personal protection equipment and supplies;
 - Paying for extended hours/over-time for staff, hiring temporary staff, and associated personnel costs;
 - Training;
 - Assisting APS clients secure the least restrictive option for emergency or alternative housing, and with obtaining, providing, or coordinating with care transitions as appropriate.
5. Assurance to provide semi-annual federal financial reports and annual program reports related to the activities performed.

B. Initial Spend Plan

An *Initial Spend Plan* must be submitted along with the Letter of Assurance. The Initial Spend Plan should outline how the state/territory intends to spend their allotment in response to the needs and challenges to their APS program. The plan should be consistent with the purpose of the authorizing legislation and the description and examples outlined above. The Initial Spend Plan submitted in response to this opportunity is considered a preliminary framework for how the state/territory will plan to spend these funds. The Initial Spend Plan should have the following format: 3–5 pages in length, double-spaced, with 12 pt font and 1” margins, with a layout of 8.5” x 11” paper.

C. DUNS Number

All grant applicants must obtain and keep current a D–U–N–S number from Dun and Bradstreet. It is a nine-digit identification number, which provides unique identifiers of single business entities. The D–U–N–S number can be obtained from: <https://www.dnb.com/duns-number.html>.

D. Intergovernmental Review

Executive Order 12372, Intergovernmental Review of Federal Programs, is not applicable to these grant applications.

IV. Submission Information

A. Submission Process

To receive funding, eligible entities must provide a *Letter of Assurance* and an *Initial Spend Plan* containing all the information outlined in Section III A. & B. above.

Letters of Assurance and the Initial Spend Plan should be addressed to: Alison Barkoff, Acting Administrator and Assistant Secretary for Aging, Administration for Community Living, 330 C Street SW, Washington, DC 20201.

Letters of Assurance and the Initial Spend Plan should be submitted electronically via email to aps@acl.hhs.gov.

B. Submission Dates and Times

To receive consideration, Letters of Assurance and the Initial Spend Plan must be submitted by 11:59 p.m. Eastern Time on June 28, 2021. Letters of Assurance and the Initial Spend Plan should be submitted electronically via email to aps@acl.hhs.gov and have an electronic time stamp indicating the date/time submitted.

VII. Agency Contacts

A. Programmatic Issues/Questions

Direct programmatic inquiries to: Stephanie Whittier Eliason, Email: stephanie.whittiereliason@acl.hhs.gov, Phone: 202.795.7467.

B. Fiscal Issues/Questions

Direct fiscal inquiries to: Gina Matrassi, Email: gina.matrassi@acl.hhs.gov, Phone: 202.795.7439.

C. Submission Issues/Questions

Direct inquiries regarding submission of the Letters of Assurance of Initial Spend Plan to aps@acl.hhs.gov. ACL will provide a response within 2 business days.

Dated: May 24, 2021.

Alison Barkoff,

Acting Administrator and Assistant Secretary for Aging.

[FR Doc. 2021–11343 Filed 5–27–21; 8:45 am]

BILLING CODE 4154–01–P

Notice of Award**Title of Program: (APC6) American Rescue Plan (ARP) for APS under SSA Title XX Section 2042(b)****Award Authority: P.L. 117-2 under P.L. 115-123 (SSA)****Grantee:**
Vermont
Vermont Agency for Human Services
103 South Main Street
WATERBURY, VERMONT 05671**Date:** August 3, 2021**Grant No.:** 2101VTAPC6-00
Award Instrument: Grant (Formula)
Project Period: 08-01-2021 - 09-30-2023
Budget Period: 08-01-2021 - 09-30-2023**EIN:** 1036000264D4
DUNS#: 809376155**CFDA:** 93.747**Object Class Code:** 41.15

Appropriation	CAN	Award This Action	Cumulative Grant Award to Date
75-X-0142	2021,299C6J1	\$645,450.00	\$645,450.00
	Total	\$645,450.00	\$645,450.00

ACL Contact Information:Please find your assigned ACL programmatic and fiscal contacts on ACL's website at <https://www.acl.gov/grants/acl-mandatory-grants-programmatic-and-fiscal-contacts>.**Emmanuel Ekwo**
ACL Grants Officer**Terms and Conditions:**

1. This grant is issued under the authority of the American Rescue Plan Act of 2021 (P.L. 117-2) for activities authorized under the Elder Justice Act Section 2042(b) of Title XX of the Social Security Act [Public Law 74-271] [As Amended Through P.L. 115-123, Enacted February 9, 2018]. The terms and conditions of this Notice of Award (NoA) and other requirements have the following order of precedence: (1) statute; (2) executive order; (3) program regulation; (4) administrative regulation found in 45 CFR Part 75; (5) agency policies; and (6) Any additional terms and conditions and remarks on NoA.

Please visit ACL's website at <https://www.acl.gov/grants/managing-grant> to view some of these terms and conditions such as:

- Prohibition on certain telecommunications and video surveillance services or equipment

ACL Title of Program: American Rescue Plan (ARP) for APS under SSA Title XX Section 2042(b)

Grant No.: 2101VTAPC6-00

Date: August 3, 2021

- SAM.gov / DUNS Requirement
- National Policies including Trafficking Victims Protection Act, Whistleblower Protections, and DOMA: Implementation of Same-Sex Spouses/Marriages
- Federal Funding Accountability and Transparency Act (FFATA)
- Federal Awardee Performance and Integrity Information System (FAPIS)

2. By requesting or receiving funds under this award, the recipient assures that it will carry out the project/program described in its letter of assurance and will comply with the terms and conditions and other requirements of this award.

3. **SF-425 Financial Reporting:** Grantee is required to submit SF-425s on a semi-annual basis. The SF-425 shall be submitted using the HHS' Payment Management System (PMS). PMS website is located at: <https://pms.psc.gov>. Reports are due within 30 days for the periods ending September 30 and March 31 (i.e., due October 30 and April 30), through September 30, 2023. The first SF-425 report should be submitted for 8 months, covering the period from August 1, 2021 to March 31, 2022. A final PMS drawdown and a final SF-425 are due within 120 days after September 30, 2023 (i.e., due January 31, 2024). If a final SF-425 report will be submitted January 31, 2024, a semi-annual report is not required to be filed for report ending September 30, 2023.

4. **Federal Cash Reporting:** On the SF-425 form, lines 10 a. through c. are reported on a quarterly calendar year basis (for the periods ending 12/31, 3/31, 6/30, 9/30) at the HHS' Payment Management System (PMS). PMS website is located at: <https://pms.psc.gov>. Reconciliation of advances and disbursements is required for each quarter and the report must be completed within 30 days of the end of each quarter (i.e., by 1/30, 4/30, 7/30, 10/30). This reporting requirement is separate from completing the entire SF-425 as denoted in the financial reporting term.

Remarks:

1. The grant award for this program to your state has been approved for the project period August 1, 2021 - September 30, 2023 after review of the letter of assurance and initial spending plan submitted. The period for liquidation of the obligations is through December 31, 2023, 90 days after the project end date.

2. Payment under this award will be made available through the HHS Departmental Payment Management System (PMS). PMS provides instructions for making withdrawals of Federal funds. When requesting payment from PMS, please use your P account login and reference the Grant No. listed above for payment. Instructions regarding payments can be obtained at <https://pms.psc.gov/training/pms-user-guide.html#Request>, or contact your PSC Account Liaison; 1-877-614-5533; PMSSupport@psc.gov.

3. This Notice of Award provides one time funding to support enhancing and improving adult protective services provided by states and local units of government, as outlined in the American Rescue Plan Act of 2021 (P.L. 117-2).



Adult Protective Services Technical Assistance Resource Center

enhancing effectiveness of APS programs

APS Program Planning Template: State/Territory/District-Specific Focus

State/Territory/District	Vermont
Contact	John Gordon
SME liaison	Kathryn Sapp
Budget Allocation	\$1,995,000 (estimated total of ARPA I and ARPA II)
Timeline	<p>AMERICAN RESCUE PLAN ACT (ARPA) OF 2021- Grant 1 August 2021 – September 2023</p> <p>AMERICAN RESCUE PLAN ACT OF 2021 - Proposed Grant 2 August 2022 – September 2024</p>
<p>1) Vision 2025</p> <p>The Vision clarifies what your ARPA Grant 1 Program aspires to become and to achieve. It is designed to inspire by providing a picture of where the program is heading in 3-5 years.</p> <p>Note: If you are a part of a larger organization, does it have its own future vision? If so, you may want to adapt it to your own program.</p>	<p>We will use the ARPA funds to shape APS to better reflect today’s reality of individuals with vulnerabilities living in the community, from statue revision to differentiated response during investigations.</p>

2) Mission Statement

Mission and Values statements can be an effective tool to educate the public; state and local government officials; state government agencies; provider agencies; and service recipients as to what the Adult Protective Services is and how they do business.

Mission Statements answer four key questions about your APS Program:

- Who do we serve?
- What needs do they have that we can fulfil?
- How do we meet those needs? How do we make the clients' lives better?
- Does it link directly to the Vision Statement?

Note: if you are a part of a larger organization, does it have its Mission Statement? If so, you may want to adapt it for your own program.

Vermont APS Mission

To stop maltreatment of vulnerable adults through investigations and by provision of protective services.

3) Guiding Principles / Core Values

Guiding Principles or Core Values guide internal processes and client interactions for your APS Program.

Note: if you are a part of a larger organization, does it have its own set of Guiding Principles or Core Values? If so, you may want to adapt it for this program.

Division philosophy:

Balanced and assertive regulation of health care organizations ensure that vulnerable Vermonters receive care with dignity, respect, and independence. When vulnerable Vermonters are maltreated, there should be an effective investigation and protective services put in place to prevent additional harm.

APS principles:

- Protection of vulnerable adults whose health of welfare is threatened
- Provide for a safe and nurturing environment
- Minimally intrusive intervention
- Maintaining self-determination of Alleged Victim

4) Environmental Scan

An environmental scan is a description of your environment. It could be in narrative form or could be summarized in a chart that looks at your program's strengths and weaknesses as well as the threats and opportunities created by factors in the external environment that you do not control.

Tell us what is going on in your operating environment that caused you to choose the targeted improvements in #6. Provide Context and Justification for each improvement.

The PESTEL model is used to evaluate the external environment of your program by breaking down the opportunities and risks into Political, Economic, Social, Technological, Environmental, and Legal factors. These will include: national, state and local trends that are likely to impact your APS program.

After describing the general environment in which you are operating, describe the specific trends or factors that caused you to choose the targeted improvements in #6. into Political, Economic, Social, Technological, Environmental, and Legal factors. These will include: national, state and local trends that are likely to impact your APS program.

PESTEL Factors: Political, Economic, Social, Technological, Environmental, Legal

SWOT

Internal	Strengths <ul style="list-style-type: none"> ● Committed staff ● Ability to investigate ● Willingness to initiate contact in the community with vulnerable adults and others ● Commitment to collaborate with community partners ● Willingness to try new things ● Strong procedures and updating processes 	Weaknesses <ul style="list-style-type: none"> ● Statute disconnected from current needs and priorities ● Number of staff on the ground is too low ● Lack of authority ● Information System not user-friendly ● Information silos within department ● Lack of opportunities for professional consult ● Low numbers/percentage of substantiations ● Lack of data on effectiveness of registry ● Community expectations beyond capability ● Lack of training specific to investigations and protective services ● Lack of capacity organize fundamental changes
External	Opportunities <ul style="list-style-type: none"> ● Collaborate with community partners to enhance education about APS and improve ability to respond ● Outreach to other programs and professionals and public ● Data sharing within AHS ● Update statute ● Broaden range of response available to APS beyond registry 	Threats <ul style="list-style-type: none"> ● Aging population increasing demand ● Covid decreasing oversight in general leading to higher risks to vulnerable adults and less/less accurate reporting ● COL increases making vulnerable adults less secure ● Interpretation of preponderance of evidence ● Lack of resources in small communities ● Lack of control/discretion over workload ● Lack of resources to determine decisional capacity ● Increasing frequency, toll, and sophistication of scams and financial exploitation

Additional Information

SWOT analysis was developed following a survey of staff, internal partners, and external partners. The SWOT analysis reflects a categorization of collective survey responses.

5) Goals for Program Improvement

These are goals to be obtained in order to move your APS program from current practices to your Vision.

Now that you have new funds targeted for your work with APS, what can be enhanced or improved in your current program? These goals must meet the APS Formula Grant requirements. It is recommended these goals become SMART goals (specific, measurable, actionable, and timely).

Using the results of your Environmental Scan, identify key issues that need to be addressed during this planning cycle.

These are goals to move your APS Program from current practices to your Vision #1.

- Update statute to better reflect values
- Enhance training on determining decisional capacity
- Increase field assessment capability
- Improve legal strength of investigative reports
- Enhance technology to assist communication when close contact needs to be avoided
- Develop forensic accounting capability
- Improved speed of response to reports of maltreatment
- Improved access to information for staff in the field

<p>6) Targeted Improvement Projects</p> <p>Using the results of your Environmental Scan and PESTEL, describe the targeted improvements and enhancements needed for this planning cycle.</p> <p>Your improvements should be concrete, measurable, and complete.</p> <p>WHY is this improvement needed? What Purpose or NEED will it fill? What RESOURCES will be used? What ACTIVITIES will it entail? What are the direct OUTPUTS of the activities? What are the intended results and how will clients benefit?</p> <p><i>See example on next page.</i></p>	<ul style="list-style-type: none">• Project 1 - Statute revisions that reflects needs and realities of vulnerable adults in VT experience today. Procedures and products that stand up to legal scrutiny• Project 2 - Management of grant projects and improvement initiatives• Project 3 - More field assessment to increase field presence, capture more direct information, and conduct more outreach• Project 4 - Improved ability to assess decisional capacity in the field• Project 5 - Improved ability to recognize and address financial exploitation in the field• Project 6 – Improved ability to communicate with individual while maintaining distance and reduce documentation time• Project 7 – Greater resources to address financial exploitation• Project 8 – Greater Central office capacity to improve intake responsiveness and assist in data transitions to improve access to data from the field• Project 9 – Greater investigator capacity
---	--

EXAMPLE: Illustrate targeted improvements using a Logic Model Framework

Purpose/Needs to be filled by ARPA Funds	Inputs (Resources Deployed)	Activities	Outputs from Investment	Short-Term Outcomes	Long-Term Outcomes
<p>Based on the results of your Environmental Scan and PESTEL, what <i>needs</i> of your APS Program will be served by the ARPA funds?</p> <p>Should be a clear "connection" with the Environmental Scan items.</p>	<p>People, financial, organizational, or community resources Directed toward doing the activity.</p>	<p>Improvement Projects</p> <p>Identify the "What" for each targeted improvement, with enough context and information to explain.</p>	<p>Direct products of program activities. May include types, levels, and targets of services to be delivered by the program.</p> <p>Examples include number of people served, number of events held, and number of units of service provided.</p>	<p>Specific changes in behavior, knowledge, skills, status, or level of functioning in 1 year.</p> <p>Internal Benefits.</p>	<p>Specific changes in behavior, knowledge, skills, status, or level of functioning.</p> <p>Long-Term outcomes should be achievable within the 2-to-5-year timeframe of grants.</p> <p>Benefits to your Clients.</p>
<p>Project 1 - Statute revisions that reflects needs and realities of vulnerable adults in VT</p>	<p>Starting summer 2022, funding to hire a temporary position with legal credentials to research and develop</p>	<p>Hire staff for development of proposed statute language and provide legal consultation of</p>	<p>Proposed statute language to submit to legislature</p> <p>Review and advice on policies and procedures</p>	<p>Statutory, policy and procedural review considering guiding principles, current environment, state of art and best practices</p>	<p>Updated state statute which drives and supports APS operations in service to vulnerable adults in VT</p>

<p>experience today.</p> <p>Procedures and products that stand up to legal scrutiny</p>	<p>proposed statute language and provide internal legal review of procedures and products</p>	<p>procedures and products</p>			<p>Investigator products that stand up to legal scrutiny</p>
<p>Project 2 - Management of grant projects and improvement initiatives</p>	<p>Starting spring 2022 funding to hire a temporary position to manage projects, source equipment, and acquire and coordinate trainings</p>	<p>Hire staff to manage and track various grant initiatives</p>	<p>Develop or acquire and deploy trainings on capacity assessment, vulnerability, financial exploitation, etc. Develop structures and contract to access forensic accounting</p>	<p>Contract structure to deliver trainings. Procedures developed and updated to support maintenance of expertise</p>	<p>Trainings developed (or acquired), delivered, and captured. Procedures updated and structures developed to support staff new found higher level of expertise.</p>
<p>Project 3 - More field assessment to increase field presence, capture more direct information, and conduct more outreach</p>	<p>Starting fall 2021 funding to hire three service navigator positions who will conduct outreach, field assessment, and in-person referrals</p>	<p>Continue funding of positions hired under CRSA to maintain enhanced outreach and field assessment capability</p>	<p>More field presence. Enhances ability to assess individuals in the field and assist with in-person referrals and service applications</p>	<p>More vulnerable adults served. Pressure removed from over-taxed investigators who had been conducting field screens previously. Ability to provide in-person service coordination and referral in cases where maltreatment potential is minimal</p>	<p>More vulnerable adults served. Investigator able to specialize on more complicated cases. Ability to provide in-person service coordination and referral in cases where maltreatment potential is minimal</p> <p>Enhance staff knowledge and skills level to focus resources on high-risk clients and reduce incidents of maltreatment and recidivism</p>

<p>Project 4 - Improved ability to assess decisional capacity in the field</p>	<p>Project manager to develop options, funding to access training and license products, staff time to engage in training</p>	<p>Identify, select and acquire training and material to assist in determination of decisional capacity in the field</p>	<p>Improve consistency and documentation of evaluation of decision making</p>	<p>Training conducted Tools deployed Staff have improved ability to recognize weaknesses in decisional capacity</p>	<p>Staff have the resources and ability to more consistently assess and document clients' decisional capacity in the field</p>
<p>Project 5 - Improved ability to recognize and address financial exploitation in the field</p>	<p>Project manager to develop options, funding to access training and license products, staff time to engage in training</p>	<p>Identify, select and acquire training and material to assist in addressing financial exploitation</p>	<p>Improve consistency and documentation of identification description of financial exploitation leading to intervention and prosecution</p>	<p>Training conducted Tools deployed Staff have improved awareness of financial exploitation and when to involve other parties.</p>	<p>Staff have the resources and ability to consistently identify and address financial exploitation in the field resulting in better protection of clients</p>
<p>Project 6 – Improved ability to communicate with individual while maintaining distance and reduce documentation time</p>	<p>Investment for tablets, app integration to information system and related training.</p>	<p>Buy tablets for field investigators to enable communication while maintaining distance and reduce time spent on capturing evidence and documentation</p>	<p>Increase safety of interactions for both parties by decreasing exposure. Decrease time needed to capture and document evidence.</p>	<p>Each field investigator has a tablet and is trained to use it.</p>	<p>Investigators can use tablets to interact with clients when it is necessary to maintain distance thus decreasing close contact and increasing safety. Tablets integrate with information system to allow for quick capture of evidence and information. More time available for client interaction.</p>

Project 7 – Greater resources to address financial exploitation	Arrangement to contract with forensic accountant as needed for complex financial exploitation cases	Identify and select forensic accountant Establish relationship to contract accountant as needed	Increase ability to ascertain outcomes and provide evidence in cases of financial exploitation	Vendor identified and billing arrangements established	Investigator are able to access forensic accounting to analyze complex financial information and inform recommendations and interventions
Project 8 – Greater Central office capacity to improve intake responsiveness and assist in data transitions to improve access to data from the field	Funding to hire a temporary position assist in data migration, file digitization, and intake backup	Hire temporary staff to bolster central office and intake capacity	Increased access to digital files. Faster response time of intake	Position approved Temporary staff selected	Intake is more responsive. Field staff have greater access to past case information.
Project 9 – Greater investigator capacity	Funding to hire a temporary position to supplement investigator capacity	Hire temporary staff to bolster investigator capacity	Increased number of investigations initiated and completed within project period	Position approved Temporary staff selected	Faster response time. Increased number of investigations initiated and completed within project period

7) Budget / Spending Plan for ARPA funds – Semi-annually for 3 to 5 years

Budget/Spending Plan will be used to enhance, improve, and expand the ability of APS workers to investigate allegations of abuse, neglect, and exploitation. Be sure to use separate line items for each major improvement project.

Operational Plan Submission due by January 31, 2022.

ARPA 1- First Grant Allocation - August 2021 - September 2023

	Description	2022 Period 1	2022 Period 2	2023 Period 1	2023 Period 2	Total
Project 1	Legal support		40000	80000	75450	195450
Project 2	Project Manager		50000	50000	50000	150000
Project 3	Service navigators			150000	150000	300000
Total			90000	280000	275450	645450

ARPA 2- Second Grant Allocation - August 2022 September 2024

	Description	2023 Period 1	2023 Period 2	2024 Period 1	2024 Period 2	Total
Project 1	Legal support		4550	80000	80000	164550
Project 2	Project Manager			50000	50000	100000
Project 3	Service navigators			150000	150000	300000

Project 4	Training – Decisional capacity		100000				100000
Project 5	Training – Financial exploitation				95000		95000
Project 6	Mobile Technology	50000	20000				70000
Project 7	Forensic accounting	20000	20000	20000	20000		80000
Project 8	Temp Program Specialist	50000	50000	50000	50000		200000
Project 9	Temp Investigator	60000	60000	60000	60000		240000
Total		180000	254550	505000	410000		1349550

Summary of ARPA 1 + ARPA 2 Expense

	2022 Period 1	2022 Period 2	2023 Period 1	2023 Period 2	2024 Period 1	2024 Period 2	Total
Summary	0	90000	460000	530000	505000	410000	1995000

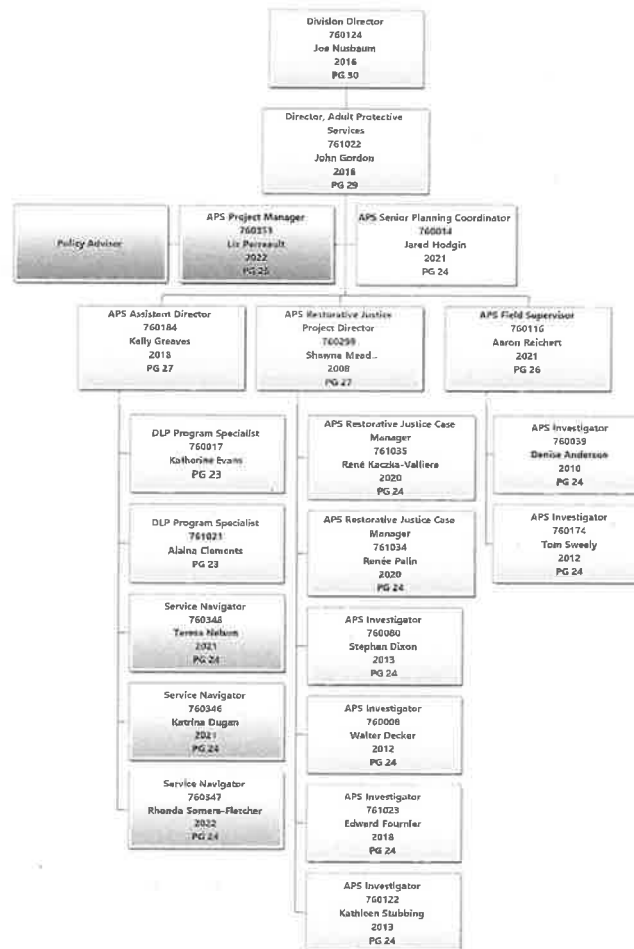
Categories *may* include:

- Development Operational Plan
- Staffing (include FTE or Consulting Agreements)
- Training

- Technology Upgrade
- Equipment
- Administrative Costs
- Transportation
- Wrap-around services

**Department of Disabilities, Aging,
and Independent Living
Division of Licensing and Protection
June 17, 2022**

- Directors
- Project Managers
- Supervisors
- Nurse Surveyors
- APS Investigators
- Service Navigators
- Support Staff



Vacant Positions:

- APS Investigator
790013
Vacant
PG 24
- APS Investigator
760310
Vacant
PG 24
- APS Investigator
760311
Vacant
PG 24