VERMONT
HUMAN SERVICES PLAN
FY – 2010

FEDERAL ASSURANCES AND DOCUMENTATION
BLOCK GRANT APPLICATIONS AND REPORT

VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

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VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

PREFACE

This document has been constructed for use with the FY 10 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.

VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

FY-10 Certification Regarding Drug-Free Workplace Requirements

OMB Approval No. 0937-0189
Expiration Date: July 31, 2010

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 -

FY-10 Certification Regarding Drug-Free Workplace Requirements

OMB Approval No. 0937-0189
Expiration Date: July 31, 2010

(l) 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

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick Flood 8/31/09
Signature Date

VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

FY-10 Certification Regarding Lobbying **OMB Approval No. 0937-0189**
Expiration Date: July 31, 2010

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-10 Certification Regarding Lobbying OMB Approval No. 0937-0189
Expiration Date: July 31, 2010

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

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick Flood 8/31/09
Signature Date

VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

FY-10 Certification Regarding Program Fraud Civil Remedies Act (PFCRA)

OMB Approval No. 0937-0189
Expiration Date: July 31, 2010

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

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick Flood
Signature

8/31/09
Date

VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

FY-10 Certification Regarding Debarment and Suspension

OMB Approval No. 0937-0189
Expiration Date: July 31, 2010

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

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

(b) Have not within a three-year period preceding this proposal been convicted of or had a criminal judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

(d) Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

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

Agency of Human Services
Organization Name

Date: 8/31/09

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick F Flood
Signature

VERMONT HUMAN SERVICES PLAN - FY 2010

FEDERAL ASSURANCES & DOCUMENTATION

FY-10 Certification Regarding Environmental Tobacco Smoke

OMB Approval No. 0937-0189
Expiration Date: July 31, 2010

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

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

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

Agency of Human Services
Organization Name

Date: 8/31/09

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick Flood
Signature

G E N E R A L

A S S U R A N C E S

GENERAL ASSURANCES

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

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

A. GENERAL ADMINISTRATION

1. SINGLE STATE AGENCY

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

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

2. COMPLIANCE WITH REQUIREMENTS

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

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

GENERAL ASSURANCES

3. COMPLIANCE BY LOCAL AGENCIES

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

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

4. EFFICIENT ADMINISTRATION

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

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

5. GENERAL ADMINISTRATION AND FISCAL REQUIREMENTS

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

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

GENERAL ASSURANCES

6. TRAINING OF STAFF

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

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

7. MANAGEMENT OF FUNDS

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

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

8. SAFEGUARDING INFORMATION

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

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

GENERAL ASSURANCES

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

9. REPORTING REQUIREMENTS

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

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

10. STANDARDS FOR SERVICE PROVIDERS

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

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

GENERAL ASSURANCES

11. AMENDMENTS TO STATE PLAN

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

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

B. EQUAL OPPORTUNITY AND CIVIL RIGHTS

1. EQUAL EMPLOYMENT OPPORTUNITY

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

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

GENERAL ASSURANCES

2. NON-DISCRIMINATION ON THE BASIS OF HANDICAP

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

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

3. CIVIL RIGHTS COMPLIANCE

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

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

GENERAL ASSURANCES

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

C. PROVISIONS OF SERVICES

1. WRITTEN POLICIES AND PROCEDURES

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

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

2. NEEDS ASSESSMENT

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

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

GENERAL ASSURANCES

3. PRIORITIES

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

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

4. ELIGIBILITY

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

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

5. RESIDENCY

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

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

6. COORDINATION AND MAXIMUM UTILIZATION OF SERVICES

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

GENERAL ASSURANCES

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

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

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

THE APPLICANT HEREBY AGREES THAT IT WILL COMPLY WITH:

A. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R., Part 80), to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.

A. Section 504 of the Rehabilitation Act of 1973 (P.L. 93-112), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 84), to the end that, in accordance with Section 504 of that Act and the Regulation, no otherwise qualified handicapped individual in the United States shall, solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department.

A. Title IX of the Educational Amendments of 1972 (P.L. 92-318), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 C.F.R. Part 86), to the end that, in accordance with Title IX and the Regulation, no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any education program or activity for which the Applicant received Federal financial assistance from the Department.

GENERAL ASSURANCES

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

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

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

Date 8/31/09 Signature Patrick Flood

Patrick Flood, 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 September 16, 2009,

will be provided upon request

COMMUNITY MENTAL HEALTH SERVICES BLOCK GRANT

Community Mental Health Services Block Grant
Department of Mental Health

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #1			
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	$3,227,814	$3,304,268	$3,304,268
State Funds	1,483,555	1,234,845	1,204,781
Additional state funds matched by others	439,637	404,469	382,926
Federal	1,230,723	1,599,126	1,650,733
MH Block	73,899	65,828	65,828
Goal #2			
Services for families with a child or adolescent experiencing a severe emotional disturbance in order to avoid out-of-home placements.			
APPROPRIATION: MH-Respite	$ 866,186	$ 866,513	$ 866,513
State Funds	485,254	485,581	485,581
Federal	0	0	0
MH Block	380,932	380,932	380,932

Community Mental Health Services Block Grant
Department of Mental Health

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #3			
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	$38,233,475	$38,425,670	$38,929,603
State Funds	12,437,589	9,389,102	8,619,659
Federal	25,619,212	28,409,894	30,133,270
MH Block	176,674	176,674	176,674
Goal #4			
To avoid unnecessary institutionalization of acutely mentally ill persons by providing immediate professional evaluation and treatment.			
APPROPRIATION: MH-Emergency	$2,238,020	$2,267,778	$2,267,778
State Funds	1,832,712	1,808,444	1,797,823
Federal	372,211	426,237	436,858
MH Block	33,097	33,097	33,097
Goal #5			
Housing infrastructure funds: consultation, etc. to maintain stable housing in the community.			
Total	$ 26,000	$0	$13,000
State Funds	0	0	0
Federal	0	0	0
MH Block	10,000	$0	13,000

Community Mental Health Services Block Grant
Department of Mental Health

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #6			
Outreach to increase the presence and availability of qualified mental-health professionals to work with adults with severe mental illness in the downtown Burlington/Marketplace area through a community-client liaison.			
Total	$25,000	$25,000	$25,000
State Funds	0	0	0
Federal	0	0	0
MH Block	$25,000	25,000	25,000
Goal #7			
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	$25,000	$22,419	$22,419
State Funds	0	0	0
Federal	0	0	0
MH Block	25,000	22,419	22,419
Goal #8			
Peer-operated initiatives			
Total	$33,605	$30,805	$30,805
State Funds	0	0	0
Federal	0	0	0
MH Block	33,605	30,805	30,805

Community Mental Health Services Block Grant
Department of Mental Health

TOTALS	$44,675,100	$44,942,453	$45,459,386
State Funds	16,239,110	13,367,972	12,107,844
Federal	27,222,146	30,435,257	32,220,861
MH Block	761,207	761,207	747,755
Additional state funds	439,637	378,017	382,926
Matched by others			

Block Grant Awards

FFY06	$789,232
FFY07	$780,471
FFY08	$761,207
FFY09	$761,207

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 Winooski, 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 2006 Actual	9,609
FY 2007 Actual	9,627
FY 2008 Estimated	8,920

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 2008 (July 1, 2007-June 30, 2008), Vermont's designated agencies reported 6,826 episodes of respite services delivered to 364 Children's Services clients experiencing a severe emotional disturbance. The projection for Fiscal 2010 is a comparable figure, funding permitting. Demand for this service continues to be considerably in excess of the resources to provide it.

Goal #3

Goal Description

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

Goal Accomplishment

Some of the indicators of Goal Accomplishment are the census at the Vermont State Hospital (VSH) and adults with severe mental illness receiving services in community programs. The average daily in-house census at VSH in calendar Vermont Fiscal Year 2008 was 44. The number of adults with severe mental illness served in Community Rehabilitation and Treatment (CRT) programs from community mental health centers has been between 3,000 and 3,200 for the past several years.

Community Mental Health Services Block Grant
Department of Mental Health

Goal #4

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 9,500 people in mental-health crises received emergency services from designated agencies in the community in Vermont Fiscal Year 2009; approximately 15,000 units of services were delivered.

Goal #5

Goal Description

Housing infrastructure funding buys such items as software and computer capacity for keeping data on homelessness, a requirement for federal funding; consultation on renovations; assistance in developing applications, which are extremely technical and competitive, to the Department of Housing and Urban Development, and the like.

Goal Accomplishments

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

Community Mental Health Services Block Grant
Department of Mental Health

Goal #6

Goal Description

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

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

Goal Accomplishment

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

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

Goal #7

Goal Description

Vermont Psychiatric Survivors (VPS) offers peer support, information, referral, and networking services to mental-health consumers all over Vermont in addition to technical assistance and a limited amount of funding to local support groups around Vermont. The organization is a partner with one of Vermont's designated agencies and a local chapter of the National Alliance for the Mentally Ill of Vermont (NAMI—VT) in the operation of a safe haven for people who are mentally ill and homeless. In addition VPS administers Vermont's Recovery Education Project, offering the curriculum numerous times a year in several locations; 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; evaluates the recovery orientations of a local psychiatric inpatient unit as well as the Vermont State Hospital; and offers assistance in drafting a durable power of attorney for mental health treatment.

Goal Accomplishment

VPS continued with these activities and similar ones in Fiscal Years 2007 and 2008 and is under contract to do the same throughout Fiscal Year 2009.

Goal #8

Goal Description

Funding for this goal in FYs 2008, 2009, and 2010 goes to a variety of consumer-operated projects scattered around the state. These projects have all been designed to increase consumer empowerment, independence, and ability to support themselves and others in their communities.

Goal Accomplishment

The consumer projects funded in Fiscal Years 2008 and 2009 include the following:

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

Community Mental Health Services Block Grant
Department of Mental Health

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COMMUNITY SERVICES

BLOCK GRANT

FY 2010

Community Services Block Grant

Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

(a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security act (42U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:

(i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act):

(ii) secure and retain meaningful employment;

(iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;

(iv) make better use of available income;

(v) obtain and maintain adequate housing and a suitable living environment;

(vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and

(vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

(b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after school child care programs; and

(c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). ['676(b)(1)]

(2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675(b) of the Act in accordance with the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; ['676(b)(2)]

(3) To provide information provided by eligible entities in the state, including:

(a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C (a) of the Act, targeted to low-income individuals and families in communities within the state:

(b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;

(c) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,

(d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]

(4) To ensure that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low- income individuals. ['676(b)(4)]

(5) That the State and the eligible entities in the state will coordinate, and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services. The State and eligible entities will coordinate the provision of employment and training activities in the state and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; ['676(b)(5)]

(6) To ensure coordination between antipoverty programs in each community in the state, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities. ['676(b)(6)]

(7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]

Community Services Block Grant

(8) That any eligible entity in the state that received funding in the previous fiscal year through a community services block grant under the community services block grant program 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 reduction, subject to review by the Deputy Secretary as provided in Section 678(b) of the act. ['676(b)(8)]

(9) That the State and eligible entities in the state will, to the maximum extent possible, coordinate programs and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]

(10) To require each eligible entity in the state to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(10)]

(11) To secure from each eligible entity in the state, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the state plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs. ['676(b)(11)]

(12) That the state and all eligible entities in the state will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Deputy Secretary facilitated development pursuant to Section 678E(b) of the Act. ['676(b)(12)]

(13) To provide information describing how the State will carry out these assurances. ['676(b)(13)]. (This is the Narrative CSBG State Plan).

Administrative Assurances

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

(1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]

(2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of un-obligated funds outlined below. ['675C(a)(1) and (2)]

Community Services Block Grant

(3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when un-obligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. ['675C(a)(3)]

(4) To spend no more than the greater of $55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]

(5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]

(6) That the lead agency will hold at least one hearing in the state with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the state plan. ['676(a)(2)(B)]

(7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State community services block grant program activities. ['676(a)(1)]

(8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan. ['676(a)(3)]

(9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]

(10) To conduct the following reviews of eligible entities:

(a) full onsite review of each such entity at least once during each three year period.

(b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;

(c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;

(d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. ['678B(a)]

(11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:

(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 Deputy Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;

(d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved.

(e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. ['678(C)(a)]

(12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678(a)(1) and 678D(a)(2) of the Act.

(13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Deputy Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. ['678D(a)(3)]

(14) To participate, and ensure that all-eligible entities in the State participate, in the Results-Oriented Management and Accountability (ROMA) System. ['678E(a)(1)]

(15) To prepare and submit to the Deputy Secretary an annual report on the measured performance of the State and its eligible entities, as described under '678E(a)(2) of the Act.

(16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in section 678(a) of the Act.

Community Services Block Grant

(17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. ['678F(b)]

(18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. ['678F(c)]

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

Community Services Block Grant

Other Administrative Certifications

The State also certifies the following:

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.

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

Patrick Flood

Signature

8/31/09

Deputy Secretary, Agency of Human Services Date

Community Services Block Grant

I. Introduction

In 1981, the Governor of Vermont designated the Office of Economic Opportunity, (hereinafter called OEO), 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 OEO 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.

The plan sets forth the State's policy, goals and objectives for the program, the requirements which sub-grantees must meet to quality for funds, the manner in which the State intends to distribute the block grant and the procedures the State intends to implement in administering the program.

II. Goals and Objectives of the Program

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

1. to provide a range of services and activities having a measurable and potentially major impact on causes and effects of poverty in the community or those areas of the community where poverty is a particularly acute problem;

2. to provide activities designed to assist low-income participants including the elderly poor;

   a. to secure and retain meaningful employment;
   b. to attain an adequate education;
   c. to make better use of available income;
   d. to obtain and maintain adequate housing and a suitable living environment;
   e. to obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs including the need for health services, nutritious food, housing and employment-related assistance;
   f. to remove obstacles and solve problems which block the achievement of self-sufficiency;
   g. to achieve greater participation in the affairs of the community; and
   h. to make more effective use of other programs related to this subtitle;

3. to provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor;

4. to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals;

5. to encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community; and

6. to provide for coordination between anti-poverty programs in each community, where appropriate, with emergency energy crisis programs under Title XXVI of this Act (relating to Low Income Home Energy Assistance) conducted in such community.

III. Distribution of Funds

Funds provided to the State under the HHS CSBG program will be distributed to eligible community action agencies (hereinafter called CAA). The amount to be awarded to each sub-grantee will be determined by the application of the OEO allocation formula. The formula was designed to insure that each sub-grantee would receive an amount sufficient to provide an administrative funding base and, further, to insure that funding to specific areas during subsequent years would correspond to the current economic situation of each area.

Prior to the award of CSBG funds, the OEO will reserve 10 percent of the funds awarded. Fifty-five thousand dollars ($55,000) or 5 percent, whichever is larger, will be used for State administration of the program; and 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. In fiscal year 07, the formula was updated to address the distribution of this statutory 90% to Vermont's five CAAs while allowing for adjustments to be made as current, local poverty data become available.

- The OEO adopts the FY 2006 CAA distributions as the new base levels* for funding.

- In any future year where the state should experience an increase in its overall CSBG award above the FY 06 level, additional funds shall be distributed on the basis of each service territory's share of the state's total eligible population (currently the number of persons at or below 125% of federal poverty level).

- In any future year where the state should experience a decrease in the overall CSBG award below the FY 06 level, a reduction will be applied proportionately to all eligible entities as a percentage reduction to their FY 06 award level.

*Historical note:

The 2006 base was arrived at by distributing $2,051,460 (the FY 93 base) according to:

1. 50% divided equally:
2. 40% on the basis of eligible population:
3. 5% on the basis of per capita income:
4. 5% excess unemployment:
5. Any amount above the base level of $2,051,460 was then distributed to each eligible entity based on the number of people within its respective service area with incomes at or below 125% of the poverty level.

IV. Qualifications and Application for Funds

For Fiscal Year 2010, 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 OEO. An application must be approved by the eligible entity's governing board and signed by the chief governing official of the board.

1. Determination of Needs

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

All eligible entities will be required to submit, as an integral part of their application, a description of the needs assessment process within the service area. Further, OEO perceives the needs assessment to be an ongoing process - needs 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 determination of needs 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. While the OEO does not expect that each sub-grantee will be able to address all the problems that are identified in the determination of needs report, the State does expect that the detailed identification of those problems will ensure: the appropriate targeting of resources; enable sub-grantees to design specific plans to address those problems; and ensure that the highest return possible is realized through the expenditure of federal funds. The OEO requires an updated needs assessment for each new program year.

2. Request for Proposal

Prior to the beginning of Fiscal Year 2003, the OEO developed a Request for Proposal (hereinafter called RFP) package which was distributed to all sub-grantees currently operating programs under the CSBG Act. The RFP outlines broad goals and the general activities allowed under the Act, and will require detailed sub-grantee responses which will delineate specific activities to be undertaken by the sub-grantees in their efforts to achieve the purposes of the Act. The RFP will provide estimates of sub-grantee awards.

The RFP package contains five major components, as described below:

a. Program Design

This section of the RFP will have a detailed, written narrative including:

1) A brief description of the sub-grantee's current mission. This statement includes a combination of basic assumptions about poverty causes and the sub-grantee's anti-poverty strategies to address these problems.

2) A detailed analysis of the sub-grantee's performance during the operation of the CSBG program during the previous fiscal year. The analysis includes a comparison of services actually provided to those planned.

3) A needs assessment involving the identification and ranking of poverty related problems. It also involves the identification and prioritization of program strategies to address these problems.

b. FY 10 ROMA Implementation Plan

The ROMA Implementation Plan (RIP) is a comprehensive management plan that provides for the implementation of the Six National Anti-Poverty Goals, 12 National Indicators and Selected Outcome Measures. The plan provides for the development of activities to achieve the stated outcome measures. The work plan construction involves four interrelated subsections:

1) Allocation: An indication of the allocation of funds towards each of the six National Anti-Poverty Goals.

2) Outcome Measures: A selection of Agency-Specific Outcome Measures in addition to the

23 Statewide Outcome Measures agreed upon.

3) Program: A list of agency programs contributing data towards each Outcome.

4) Poverty Problems Addressed: The statutory poverty problems addressed through the above strategy.

c. Budget/Financial Management

A line item budget is developed to manage the use of the Federal funds. In addition, a financial management plan for utilizing the funds is required.

1) A line item budget is developed, with justification. There is an expenditure plan to coordinate expenditures with the operating plans.

2) A financial management plan is developed which insures the proper management of Federal grant funds. The State requires that sub-grantees develop a financial management plan that adopts and assures compliance with the "Vermont CSBG Uniform Requirement for Grants and Agreement with Non-profit Organizations".

d. Management Administration

Responses to this component will include descriptions of the sub-grantees organizational structure, board structure and composition, job descriptions of employees and the operating procedure by which the sub-grantee identifies eligible clients.

e. Assurances

Responses to the RFP will include a signed "Assurances" section which will delineate all necessary assurances relative to activities undertaken and the expenditures incurred with funds provided under the CSBG Act. These assurances will include:

1) that it will use funds granted as a result of the application to provide a range of services and activities having a measurable and potentially major impact on causes and effects of poverty in the area to be served;

2) that it will provide services and activities to remove obstacles and solve problems which block the achievement of self-sufficiency and other services and activities as appropriate to address identified causes and conditions of poverty;

3) that the CAA meets the requirements of Section 675(c)(3) of the Act relating to board composition. It must provide as an addendum to the application a current list of board members with the groups, organizations or sectors they represent;

4) that it will not undertake any political activities prohibited by the Act with these funds including, but not limited to, transportation of voters to the polls, voter registration activity, partisan political activity, or lobbying the congress;

5) that it will coordinate its activities with emergency Energy Crisis programs operated in the community pursuant to the Low-Income Home Energy Assistance Program;

6) that it will ensure that financial management systems utilize the standards prescribed in the "Vermont CSBG Uniform Requirements for Grants and Agreements with Non-profit Organizations".

7) that it will ensure the cooperation of staff and availability of all records, pertaining to the CSBG, to representatives of the OEO, the office of the State Auditor and Federal officials charged with monitoring the use of the funds provided;

8) that it will cooperate with Federal investigations undertaken in accordance with Section 679 of the Act;

9) that it will comply with the nondiscrimination provisions in Section 677 of the Act;

10) that it has adopted and implemented bylaws for itself and sub-grantee policies relative to travel, personnel and other areas as appropriate, consistent with Federal and State laws and regulations. The reimbursement rates for travel and related expenses will be set locally by the boards but may not exceed the State limits. Fiscal management policies and procedures must have been approved and be located in separate volume.

3. Uses of the RFP

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

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

b. OEO - Contracts for the Provisions of Services

Responses to the RFP 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 RFP will be considered.

Once acceptable proposals have been evaluated, representatives of the prospective sub-grantees will be invited to negotiate a contract 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 RFP and the goals of the program.

Once agreement has been reached in regards to program approach and line item budgets, the OEO will award contracts.

Community Services Block Grant

V. State Monitoring of Program

1. Reporting Requirements

a. Programmatic

1) The OEO, in conjunction with CAAs, has developed a simplified client information system to provide access to data on programs operated and clients served. OEO will use the information to develop a demographic profile of the clients served and types of services provided. Summary reports on the number of, and the characteristics of, clients served will be submitted to OEO on a quarterly basis, defined in the individual contracts with the local sub-grantees.

2) A Quarterly Work Plan Progress Narrative Report will be submitted which details the progress the CAA has made on each of the Six National Goals and the selected outcomes.

b. Financial

1) The OEO has developed a financial report – Invoice/Financial Statement – which is designed to facilitate the reporting of financial data on a monthly and cumulative basis.

Financial information, 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

The report forms have been designed to consolidate financial and programmatic information and to incorporate expenditure and service goals established by, and presented in, the contracts entered into between the OEO and sub-grantees. This format presents a ready means of assessing contractor performance and further 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

OEO 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 contracts between OEO and the sub-grantee, rules and policies will be issued in the form of numbered policy memoranda to all contracting sub-grantees on an "as needed" basis with a timely effective date. The provisions of such memoranda will be binding for CSBG sub-grantees. The provisions of "Vermont CSBG Uniform Requirements for Grants and Agreements with Non-profit Organizations" and the "Vermont CSBG Cost Principles for Non-Profits" will apply to the administration of the program.

4. Audit Requirements

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

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

5. State Responsibilities and Services

The OEO is accountable to the Governor, AHS Secretary, Legislature, HHS 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 contracted 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 contracted goals and will enable the OEO to provide assistance or initiate the necessary action as necessary to remedy the situation. The OEO will provide a wide range of technical assistance to the sub-grantees to assist them in provision of services to clients.

Additionally, all sub-grantee recipients of CSBG funds will receive on-site visits by OEO 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 Director of the OEO. The Director of the OEO will, where appropriate and necessary, initiate corrective action measures detailing the specific steps that must be taken in order to achieve compliance with contracted goals and standards. Such corrective measures will be communicated to the Executive Director of the particular agency, who will be responsible for implementing the required action.

VI. Use, Suspension or Termination of Funds

I. Use of Funds

Funds given to grantees pursuant to this plan must be used in furtherance of the goals and objectives set forth in Section II above and will be governed by a contract between OEO and the sub-grantee as well as this plan and applicable law. The contract shall be based on the sub-grantee's application for funding as approved. OEO may condition the sub-grantee's

receipt of the block grant funds on such terms as OEO 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 contract executed with the OEO.

Subsequent transmittals of cash shall be made in quarterly cash advances.

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, OEO expects agencies to establish reasonable levels of administrative cost.

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

3. Suspension or Termination of Funds

The OEO 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, contract requirements, generally accepted accounting procedures or fiscal control procedures.

VII. Public Participation

The State supports maximum feasible participation of all interested persons and groups in the development and implementation of CSBG programs at the state and local level, in an advisory capacity. Therefore, it expects local agencies to continue meaningful participation of the public, private and low-income sectors in the planning and operation of programs under the CSBG.

Copies of the plan will be distributed to the affected sub-grantees (CAAs) at a meeting of the Vermont Community Action Directors Association. Limited purpose sub-grantees and other interested parties are invited to attend the public hearing which will review this plan. In addition, copies of the plan will be available for public inspection from the OEO.

Fiscal Year: 2010

Annual Amount Proposed: $3,730,00

Public Law Citation: Omnibus budget Reconciliation Act of 1981, P.L. 97-35; and Human Services

Community Services Block Grant

Reauthorization Act of 1984, P.L. 98-558, P.L. 99-425, and P.L. 101-501, and P.L. 103-252 COATS Human Services Reauthorization Act of 1998, and the Omnibus Consolidated Appropriation Act of 2000, Public Law 106-113.

A. Statement of Assurances/Certification

1. Certifications

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

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

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

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

675(c)(1)(C) provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor;

675(c)(1)(D) coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals; and

675(c)(1)(E) encourage the use of entities in the private sector of the community in efforts to ameliorate poverty in the community;

675(c)(2)(A) use, for FY85 and for each subsequent fiscal year, not less than 90 percent of the funds allotted to the State under Section 674 to make grants to use for the purpose described in clause (1) to eligible entities (as defined in Section 673(1) or to organizations serving seasonal or migrant farm workers, except that no more than 7 percent of the funds available for this sub-clause shall be granted to organizations which were not eligible entities during the previous fiscal year;

Community Services Block Grant

2. Assurances/Provisions to Insure Compliance

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

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

(i) providing training and technical assistance to those entities in need of such assistance and such activities will not be considered administrative expenses;

(ii) coordinating State-operated programs and services targeted to low-income children and families with services provided by eligible entities funded under this subtitle, including out posting appropriate State or local public employees into entities funded under this subtitle to ensure increased access to services provided by such State or local agencies;

(iii) supporting statewide coordination and communication among eligible entities;

(iv) Administrative expenses at the State level, including monitoring activities, but not more than $55,000 or 5 percent of its allotment under section 674; and

(v) considering the distribution of funds under this subtitle within the State to determine if such funds have been targeted to the areas of greatest need.

Provision:

Upon notification of its CSBG allocation, the State prepares a plan for the use and distribution of funds. The plan includes a formula for the distribution of funds to ensure funds have been targeted to areas of greatest need (see page B-3 Vermont State Plan). The plan also includes a reserve $186,500 or 5 percent of the funds for the State's administration. All other funds are awarded for discretionary projects to eligible entities based on a grant proposal to this Office. Discretionary funds are used for: training of eligible entity staff and Boards, purchase of computer software and hardware to ensure accurate data collection, assistance in the delivery of services to victims of domestic violence, and services to low income Vermonters.

In addition, the State Office coordinates and convenes various task forces to ensure communication among eligible entities and other State and local service providers. Task forces include: homelessness, hunger and housing as well as Family Economic Development.

Assurance:

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

(i) one-third of the members of the board are elected public officials, currently holding office, or their representatives, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive public officials may be counted in meeting such one-third requirement;

(ii) at least one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; and

(iii) the remainder of the members are officials or members of business, industry, labor, religious, welfare, education, or other major groups and interests in the community, and

(B) in the case of a public organization receiving funds under this subtitle, such organization either establish -

(i) a board of which at least one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; or
(ii) another mechanism specified by the State to assure low-income citizen participation in the planning, administration, and evaluation of projects for which such organization has been funded.

Provision:

In order to insure that the board of directors of the community action agencies are constituted in accordance with Section 675(c)(3), the Request for Proposal package to which community action agencies must respond to receive funds includes a section that requires community action agencies to submit the names, addresses, and phone numbers of all board members and requires each CAA 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 CAA is required to denote the offices held and by whom and committee assignments. Further, contracts 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.

Assurance: Section 675(c)(4)

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

agency which did receive funds in the fiscal year preceding the fiscal year for which the determination is made.

Provision:

The State awards funds only to community action agencies that were receiving funds under Federal anti-poverty programs on the date of enactment of the Act. The State plan for the distribution of funds, which is made available to the public and is subject to a public hearing, specifies that funds will be distributed to community action agencies.

Assurance: Section 675(c)(5)

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

Provision:

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

Assurance: Section 675(c)(6)

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

Assurance: Section 675(c)(7)

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

Provision:

Contracts for the provision of services contain a clause which prohibits the use of any funds provided under the CSBG for any political activities. Monitoring of community action agencies' activities insures continued compliance.

Assurance: Section 675(c)(8)

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

Community Services Block Grant

Provision:

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

Assurance: Section 675(c)(9)

The State will provide fiscal control and will establish fund accounting procedures as may be necessary to assure the proper disbursal of and accounting for Federal funds paid to the State under this subtitle including procedures for monitoring the assistance provided under this subtitle; and it will provide for an independent financial and compliance audit of this grant to meet the requirements as set out in Section l745 of the Omnibus Reconciliation Act;

Provision:

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

Assurance: Section 675(c)(l0)

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

Provision:

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

Assurance: Section 675(c)(ll)

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

Community Services Block Grant

(A) For purposes of making a determination with respect to a funding reduction, the term "cause" includes:

(I) a statewide redistribution of funds under this subtitle to respond to:

(aa) the results of the recently available census or other appropriate data;
(bb) the establishment of a new eligible entity;
(cc) severe economic dislocation; and

(ii) the failure of an eligible entity to comply with the terms of its agreement to provide services under this subtitle."

(B) For purposes of making a determination with respect to a termination, the term 'cause' includes the material failure of an eligible entity to comply with the terms of its agreement and community action plan to provide services under this subtitle.

Provision:

All Vermont CSBG program operators are community action agencies which received funding under the Act in the previous fiscal year. Only current CSBG program operators are recipients of the Request for Proposal contract package for FY '10, and all funds provided (except for State administration and the Discretionary pool) for the CSBG in FY '10 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, contractual obligations to the State, and comply with

State and Federal laws and regulations, and Uniform Administrative Requirements prescribed by OMB.

All community action agencies in Vermont that have received funds in the previous fiscal year will be notified as soon as practical, but no less than thirty days before the new fiscal year of status of funding for the upcoming fiscal year. If the State determines that for some substantiated reason that a CAA is not meeting its contractual obligation, the State will notify the CAA in writing of its determination and utilize the thirty day contract cancellation clause. This written notice will be the last resort after all reasonable attempts have been made to resolve and rectify the contractual noncompliance.

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

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

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

Community Services Block Grant

Assurance: Section 675(c)(12)

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

Assurance: Section 675(c)(13)

(13) secure from each eligible entity as a condition to its receipt of funding under this Act a community action plan (which shall be available to the Deputy Secretary for inspection) that includes –

(A) a community needs assessment (including food needs);

(B) a description of the service delivery system targeted to low-income individuals and families in the service area;

(C) a description of how linkages will be developed to fill identified gaps in services through information, referral, case management, and follow-up consultations;

(D) a description of how funding under this Act will be coordinated with other public and private resources; and

(E) a description of outcome measures to be used to monitor success in promoting self-sufficiency, family stability, and community revitalization.

Provision:

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

Community Services Block Grant

COMMUNITY SERVICES BLOCK GRANT

REQUEST FOR PROPOSAL

FOR THE PERIOD

OCTOBER 1, 2009----------SEPTEMBER 30, 2010

STATE OFFICE OF ECONOMIC OPPORTUNITY
103 SOUTH MAIN STREET
WATERBURY, VERMONT
05671-1801

Community Services Block Grant

I. INTRODUCTION

A. PROGRAM PURPOSE

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

B. BACKGROUND INFORMATION

The State of Vermont accepted administrative responsibility for the CSBG as of October 1, 1981. The State Office of Economic Opportunity (hereinafter called OEO) 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.

C. PURPOSE OF THE REQUEST FOR PROPOSAL (RFP)

The RFP system is a standard and widely used method for securing goods or services through competitive negotiated procurement. The RFP outlines the broad goals and objectives of the program, specifies activities allowable under the Act, and establishes specific requirements of the State for agencies awarded funds under the Act.

The State is seeking a comprehensive program developed by the Community Action Agency (CAA) to meet the purpose of the CSBG Act. The RFP provides a method for the State to review each agency's plan to provide services with CSBG funds.

D. STRUCTURE OF THE RFP

The RFP 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 the six National Goals.

The RFP package consists of four major components as follows:

1. Program Design

    a. Agency Mission Statement identifies the purpose and focus of the CAA in dealing with poverty.

    b. FY 2010 Needs Assessment involves the identification of needs and issues in your service area and the connection with your ROMA Implementation Plan.

2. Completed FY 2010 Results Oriented Management and Accountability (ROMA) Implementation Plan. (A blank template of Vermont's ROMA Plan is attached to this RFP.)

The ROMA Implementation Plan is the management tool that provides for the implementation of the agency's efforts toward each of the six National Goals. The document identifies the developed strategies to meet the National Goals and utilizes Outcome Measures and Performance Indicators to measure progress toward those goals. Management functions which support the identified outcome measures are included here.

3. 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 2009 i.e. $3,730,000 for FY 2010

CSBG. The agency should develop a line item budget that reflects the CSBG contribution to operating programs based on the number specified on page eight.

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

4. Reporting Requirements (Data Collection/Monitoring)

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. The "TRACKER V" data collection system is capable of providing all necessary data to this office (reference is made to Letter Series 92-3). Agencies moving toward a new data collection system should continue to collect and report their data in a format as close to the "TRACKER V" as possible.

Outcome Measures and Performance Indicators are being required by the Office of Community Services (OCS) and are now part of the CSBG statute. The outcome measures and indicators attached to this RFP are measures agreed upon by the five Community Action Agencies. Any additional agency-specific measures are welcome.

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 of the RFP. The acceptable proposal submitted will be negotiated by the staff at OEO. 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 and to meet the requirements of the RFP.

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

F. GENERAL INSTRUCTIONS

1. General Information Section I of the RFP package is for information and assistance in preparing the grant proposal.

2. Instructions for Grant Sections II through VI contain the specific instructions for completing the grant proposals. The responses to these sections will comprise the actual grant narrative and budget.

Community Services Block Grant

3. Assembly of Application Grant sections are listed below and should be specifically marked within the body of the offered proposal. Grant sections should be numbered using the following pagination format in the upper right corner of the document page:

Example: Original Document
Document B Page 1 of 6
Date

To facilitate review and processing of the application, please assemble the materials as follows:

a. 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.

b. Document A. Allowable Activities (Document provided)

c. Document B. Monthly Expenditure Plan

d. Document C. Budget

e. Document D. ROMA Implementation Plan

f. Document E. Program Design

g. Document F. Financial Management

h. Document G. Management/Administration

i. Document H. Reporting Requirements (Document provided)

j. Document I. Definitions and Conditions (Document provided)

DUE DATES

Proposals must be submitted to the following on or before September 15, 2009 and must include the original and **one copy:**

Tony Morgan, Director
State Office of Economic Opportunity
103 South Main Street
Waterbury, Vt. 05671-1801

On or before September 18, 2009, the proposal will be reviewed by the Office of Economic Opportunity and on or before September 25, 2009 offerors will meet with OEO 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, 2009. The award of funds is contingent upon a Congressional appropriation to operate the program.

II. PROGRAM DESIGN

NOTE: This section will be incorporated into the proposal as Document E:

A. Agency Mission Statement

Provide a brief description of the agency's current mission. This statement should include 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 overall mission statement 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 2010 Needs Assessment

The needs assessment involves the identification of the needs of the low income population and communities you serve. It also involves the identification of your strategies 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 needs assessments; we are asking that you utilize those in your proposal, to the extent possible, rather than undertaking an in depth analysis as your own agency 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 needs assessment, relative to your service area, that drives your plan.

Describe the process used to apply the needs, as identified in the needs assessment, to the development of your plan to address those needs within the six National Goals.

Include your needs assessment and any strategic planning documents or related documents that support your plan.

The definition of poverty problems that will be used in the needs assessment and work plan are based on the CSBG Act as amended 2000. The poverty areas identified in the law are:

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

With a completed needs assessment, the development of the ROMA implementation plan is the next step.

III. FY 2010 ROMA IMPLEMENTATION PLAN

The ROMA Implementation Plan is a comprehensive management tool that provides for the implementation of the six National goals through selected National Indicators and Outcome Measures. The plan provides for the development of activities to achieve the stated goals, and aims at achieving full agency ROMA implementation through the identification of other agency funds dedicated to achieving the goal.

Community Services Block Grant

ROMA IMPLEMENTATION PLAN (Document D)

1. National Goal: One of the six goals identified by the National Task Force on Monitoring and Assessment

2. CSBG funds dedicated to meet the goal

3. Other Agency funds dedicated to meet the goal in concert with CSBG

4. Performance Indicators: The mutually-agreed upon National Indicators in bold font, along with any agency-specific Indicators, including "target" information where appropriate, and a grid for Outcome data which will need to be updated quarterly throughout the course of the fiscal year.

5. Agency Programs: A list of the agency programs that will be contributing outcome data towards the indicators for this goal.

6. Strategy: The strategy that will be used to address the goal listed will be entered here. A strategy is simply an approach to problem solving, i.e. the "what" of what you're going to do (provide budget counseling, job placement, etc.) and will "mirror" those in your Needs Assessment.

7. Poverty Problems Addressed: The statutory poverty problems addressed through the combined strategies toward the goal.

IV. BUDGET/FINANCIAL MANAGEMENT

A line item budget is the instrument which needs to be developed to manage the use of federal funds. In addition, a financial management plan for utilizing the funds will be required. This section of your proposal will be incorporated into the proposal as DOCUMENT C.

1. General

In the absence of firm budget figures, we are proceeding on the assumption that the State's award will be $3,730,000. Allocations have been developed by applying the formula prescribed in the FY 2007 CSBG State Plan again using the percent share of persons under 125% of poverty, as reported by the 2000 census. Using those factors, the formula is then applied to the 90% statutory pass-through to community action agencies, that the State will ultimately receive.

The budget developed for this proposal should be developed in such a way that if Congress does significantly alter the level of funds, the agency can rework the work plan

with the least amount of disruption to the provision of services as possible.

Below are the Anticipated Grant Awards Amounts

2. CSBG Allocations

Anticipated Award Amounts

BROC	$597,926
CVCAC	$638,933
CVOEO	$983,118
NEKCA	$615,535
SEVCA	$521,488

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.

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.

Based on the foregoing, prepare a line item budget for the planned expenditure of funds. The budget must equal to the CSBG amount assigned to the goals in the ROMA Implementation Plan and ultimately, the Other Funds assigned to the goals would equal the Agency annual budget.

B. Financial Management

NOTE: This section will be incorporated into the proposal as Document F.

To ensure the proper management of federal grant funds, the State requires the CAA to

develop a financial management plan that adopts and assures compliance with the Vermont CSBG Uniform Requirements for Grants and Agreements with Nonprofit Organizations.

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

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

1. Cash Receipts: CSBG cash advances and other CSBG related receipts, if appropriate. Discuss the process for recording receipt, verifying relationship between check amount remittance voucher, timing of bank deposit, position responsible for making deposit, etc.

2. Cash Payments: Provide a description of the process whereby payments for goods and services are initiated, including documentation required to make payment, positions authorized to sign checks and the number of signatures required to validate checks.

3. Bank Reconciliations: Describe the procedure utilized to compare cash recorded, per the accounting records, with cash reported by the bank. Note the frequency with which bank reconciliations are conducted and indicate the position responsible for ensuring the process is completed.

4. Payroll System: Describe the items of control (i.e., time sheets) and procedure utilized (i.e., supervisory review/signature) to ensure the validity and accuracy of payments under the payroll system.

C. Management and Admnistration

NOTE: This section will be incorporated into the proposal as Document G.

1. Board Operations

a. 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.

b. Provide a list of names and addresses of current members and indicate which sector each represent. Also please include the dates of each board member's term of office.

c. Indicate the current chairperson.

d. Indicate each member's committee responsibility(ies).

e. Provide the bylaws and a description of the board's function, frequency of meetings of the general assembly and frequency of committee meetings.

2. 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.

3. Job Descriptions

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

4. Operating Procedures

a. Describe the procedure your agency uses to identify eligible clients.

b. 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.

c. Describe your agency's policy with respect to those applicants who are members of minority populations.

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

5. Evaluation and Control Systems:

a. Provide a description of the system you will use to perform an on going evaluation of the effectiveness of programs and activities operated under the CSBG.

b. 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.

Community Services Block Grant

V. REPORTING REQUIREMENTS DOCUMENT H

Document H is included as an attachment and for the purpose of this proposal, need only be inserted as its own Document following Document G. All Outcome Measures will be reported quarterly.

Additionally, Grantee will provide one narrative each quarter that focuses on an agency program or initiative. This narrative will:

- Highlight a program (anything under the agency umbrella, not just outreach activity.)
- Reference the poverty problem(s) addressed.
- Mention the population served and cite the need.
- Mention any partners and cite all funding sources.
- Mention the specific role of CSBG within the program. If CSBG dollars were used, then how?
- Ideally, the narrative should tie back to a needs assessment or some recent change in the community.
- Quantify the success/effect. What's the outcome?

The reporting system will start anew on October 1, 2009 (FFY 2010). All CSBG clients will require new intakes or recertification to certify their eligibility.

Community Services Block Grant

DOCUMENT H
CSBG REPORTING REQUIREMENTS

CSBG Report Form	Due Date
CSBG-0001 Invoice/Financial Statement	Monthly, due at SOEO the **15th** of the month following the report month.
CSBG-0002 Request for Cash Advance	Quarterly, due at SOEO the **15th** of the month, following the report period.
"TRACKER" General Client/Services Report	Quarterly, due at SOEO the **30th** of the month, following the report period.
"TRACKER" Homeless Client/Services Report	Quarterly, due at SOEO the **30th** of the month, following the report period.
Agency ROMA Report/National Performance Indicators. Reporting on Agency progress made toward the six National Goals.	Quarterly, due at SOEO the **30th** of the month, following the report period.
Narrative account highlighting a successful agency program or initiative.	Quarterly, due at SOEO the **30th** of the month, following the report period.

Community Services Block Grant

III FY 10 WORK PLAN (RIP)

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

The RIP is a comprehensive management tool that provides for the implementation of agency programs. The work plan provides for the development of the six National goals, consisting of 12 National Indicators. The plan provides for the development of activities to achieve the stated goals and outcome measures. The RIP construction will involve developing four interrelated subsections:

1. Allocation: An indication of the allocation of funds towards each of the six National Anti-Poverty Goals.

2. Outcomes/Indicators: A selection of Agency-Specific Outcome Measures in addition to the 23 Statewide Outcome Measures agreed upon. (See section on Outcome Measures, below).

3. Programs: A list of agency programs contributing data towards each Outcome.

4. Poverty Problems Addressed: The statutory poverty problems addressed through the above strategy.

OUTCOME MEASURES / NATIONAL INDICATORS

Since federal fiscal year 2007, Vermont's eligible entities have reported quarterly Outcome data for each of the national indicators to the Vermont Office of Economic Opportunity. Each entity shall report, at minimum, on 23 Outcome Measures agreed upon at the statewide ROMA meeting of June 2nd, 2006. In addition, each agency may choose additional Outcome Measures from the national list, or develop agency-specific measures pertinent to the anti-poverty efforts of the Community Services Block Grant. The selected National Outcome Measures will be included in the Request for Proposal. Additional or agency-specific outcome measures will be submitted by each eligible entity in their CSBG proposal. The finalized list is then to be incorporated in the grant agreement between the Office of Economic Opportunity and the eligible entity.

The complete list of National Indicators is appended below, with the 23 State-wide Outcome Measures displayed in bold font.

Community Services Block Grant

Name of Agency Reporting: _____

The ROMA Implementation Plan (RIP) consists of six poverty goals. Each combines four elements: a section on Allocation of Funds towards the goal; a section on Outcomes developed from the National Indicators; a listing of Agency Programs involved in reporting those outcomes; and a list of the Poverty Problems Addressed by this strategy. Each plan is a joint effort between the State and the Community Action Agency, and serves as an agreement on how funding and programs are to be translated into quantifiable improvements for the people and communities we serve.

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

Total CSBG Dollars Dedicated towards Goal 1: $_____ CSBG

Other Agency Funds Dedicated towards Goal 1: $_____ FEDERAL

$_____ STATE

$_____ PRIVATE

$_____ **TOTAL**

National Performance Indicator 1.1 Employment The number and percentage of low-income participants in community action employment initiatives who get a job or become self-employed as measured by one or more of the following:	Number of Participants Enrolled in Program(s) (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Percentage Achieving Outcome in Reporting Period (%)
A. Unemployed and obtained a job				
B. Employed and obtained an increase in employment income				
C. Achieved "living wage" employment and benefits				

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

Community Services Block Grant

National Performance Indicator 1.2 Employment Supports The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from community action as measured by one or more of the following:	Number of Participants Enrolled in Program(s) (#)	Number of Participants Achieving Outcome in Reporting Period (#)
A. Obtained pre-employment skills/competencies required for employment and received training program certificate or diploma		
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, in order to gain or maintain employment		
E. Obtained care for child or other dependant in order to gain or maintain employment		
F. Obtained access to reliable transportation and/or driver's license in order to gain or maintain employment		
G. Obtained health care services for themselves or a family member in support of family stability needed to gain or retain employment		
H. Obtained safe and affordable housing in support of family stability needed to gain or retain employment		
I. Obtained food assistance in support of family stability needed to gain or retain employment		

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

Community Services Block Grant

National Performance Indicator 1.3 Economic Asset Enhancement and Utilization The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of community action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:		Number of Participants Enrolled in Program(s)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Percentage Achieving Outcome in Reporting Period (%)	Aggregated Dollar Amounts (Payments, Credits or Savings) ($)
ENHANCEMENT	1. Number and percent of participants in tax preparation programs who identify any type of Federal or State tax credit and the aggregated dollar amount of credits					
	2. Number and percentage obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments					
	3. Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings					

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

Community Services Block Grant

	National Performance Indicator 1.3 (Continued) Economic Asset Enhancement and Utilization	Number of Participants Enrolled in Program (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Percentage Achieving Outcome in Reporting Period (%)	Aggregated Dollar Amounts (Payments, Credits or Savings) ($)
UTILIZATION	1. Number and percent demonstrating ability to complete and maintain a budget for over 90 days					
	2. Number and percent opening an Individual Development Account (IDA) or other savings account and increased savings, and the aggregated amount of savings					
	3. Of participants in a community action asset development program (IDA and others):					
	a. Number and percent capitalizing a small business with accumulated savings	a.				
	b. Number and percent pursuing post-secondary education with savings	b.				
	c. Number and percent purchasing a home with accumulated savings	c.				

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

Agency Programs Involved with Goal 1:

Poverty Problems Addressed through this strategy:

Community Services Block Grant

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

Total CSBG Dollars Dedicated towards Goal 2: $_____ CSBG

Other Agency Funds Dedicated towards Goal 2: $_____ FEDERAL

$_____ STATE

$_____ PRIVATE

$_____ TOTAL

National Performance Indicator 2.1 Community Improvement and Revitalization Increase in, or safeguarding of threatened opportunities and community resources or services for low-income people in the community as a result of community action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:	Number of Projects or Initiatives (#)	Number of Opportunities and/or Community Resources Preserved or Increased (#)
A. Accessible "living wage" jobs created or saved from reduction or elimination in the community		
B. Safe and affordable housing units created in the community		
C. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by community action activity or advocacy		
D. Accessible and affordable health care services/facilities for low-income people created or saved from reduction or elimination		
E. Accessible safe and affordable child care or child development placement opportunities for low-income families created or saved from reduction or elimination		
F. Accessible before school and after school program placement opportunities for low-income families created or saved from reduction or elimination		
G. 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		
H. 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 space below, please include any additional indicators that were not captured above.

Community Services Block Grant

National Performance Indicator 2.2 Community Quality of Life and Assets The quality of life and assets in low-income neighborhoods are improved by community action initiative or advocacy, as measured by one or more of the following:	Number of Program Initiatives or Advocacy Efforts (#)	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 space below, please include any additional indicators that were not captured above.

Agency Programs Involved with Goal 2:

Poverty Problems Addressed through this strategy:

Community Services Block Grant

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

Total CSBG Dollars Dedicated towards Goal 3: $_____ CSBG

Other Agency Funds Dedicated towards Goal 3: $_____ FEDERAL

$_____ STATE

$_____ PRIVATE

$_____ **TOTAL**

National Performance Indicator 3.1 Civic Investment The number of volunteer hours donated to Community Action.	Total Number of Volunteer Hours (#)
Total # of hours volunteered to community action *	

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

* Please report the number found in Part I: Section F, Subsection IV (g) of the CSBG/IS Survey.

National Performance Indicator 3.2 Community Empowerment Through Maximum Feasible Participation The number of low-income people mobilized as a direct result of community action initiative to engage in activities that support and promote their own well-being and that of their community as measured by one or more of the following:	Number of Low-Income People (#)
A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy setting through community action efforts	
B. Number of low-income people acquiring businesses in their community as a result of community action assistance	
C. Number of low-income people purchasing their own homes in their community as a result of community action assistance	
D. Number of low-income people engaged in non-governance community activities or groups created or supported by community action	

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

Agency Programs Involved with Goal 3:
Poverty Problems Addressed through this strategy:

Community Services Block Grant

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

Total CSBG Dollars Dedicated towards Goal 4: $_____ CSBG

Other Agency Funds Dedicated towards Goal 4: $_____ FEDERAL

$_____ STATE

$_____ PRIVATE

$_____ TOTAL

National Performance Indicator 4.1 Expanding Opportunities Through Community-Wide Partnerships The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.	Number of Organizational Partnerships (#)	Number of These Partnerships That Were With Faith-Based Organizations (#)
Number of organizations community action agencies work with to promote family and community outcomes		

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

Agency Programs Involved with Goal 4:

Poverty Problems Addressed through this strategy:

Community Services Block Grant

Goal 5: Agencies increase their capacity to achieve results.

Total CSBG Dollars Dedicated towards Goal 5: $_____ CSBG

Other Agency Funds Dedicated towards Goal 5: $_____ FEDERAL

$_____ STATE

$_____ PRIVATE

$_____ TOTAL

National Performance Indicator 5.1 Broadening the Resource Base The number of dollars mobilized by community action, including amounts and percentages:*	Dollars Mobilized ($)	Percentage Of Total (%)
A. Community Services Block Grant (CSBG)		
B. Non-CSBG Federal Programs		
C. State Programs		
D. Local Public Funding		
E. Private Sources (including foundations and individual contributors, goods and services donated)		
F. Value (at Federal minimum wage) of Volunteer Time		
TOTAL		100%

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

* Please report using the totals found in Part I: Section F, Subsection I - IV of the CSBG/IS Survey.

Agency Programs Involved with Goal 5:

Poverty Problems Addressed through this strategy:

Community Services Block Grant

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

Total CSBG Dollars Dedicated towards Goal 6: $_____ CSBG

Other Agency Funds Dedicated towards Goal 6: $_____ FEDERAL

$_____ STATE

$_____ PRIVATE

$_____ TOTAL

National Performance Indicator 6.1 Independent Living The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services:	Number of Vulnerable Individuals Living Independently (#)
A. Senior Citizens	
B. Individuals with Disabilities	

In the space below, please include any additional measure that was not captured above.

National Performance Indicator 6.2 Emergency Assistance The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:	Unit of Measurement	Number Seeking Assistance (#)	Number Receiving Assistance (#)	Percentage Achieving Outcome in Reporting Period (%)
A. Food – Indicate your state's unit of measurement, such as bags, packages, cartons, families, individuals, etc.	"Times" (Number of Foodshelf assists)			
B. Emergency Vendor Payments, including Fuel and Energy Bills and Rent/Mortgage Payments	Households			
C. Temporary Shelter	Households			
D. Emergency Medical Care	Households			
E. Protection from Violence	Households			

Community Services Block Grant

F. Legal Assistance	Households				
G. Transportation	Households				
H. Disaster Relief	Households				
I. Clothing	Households				

In the space below, please include any additional indicators that were not captured above (please include the type of unit being reported).

National Performance Indicator 6.3 Child and Family Development The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs that achieve program goals, as measured by one or more of the following:		Number of Participants Enrolled in Program(s) (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Percentage Achieving Outcome in Reporting Period (%)
INFANTS & CHILDREN	1. Infants and children obtain age appropriate immunizations, medical and dental care	1				
	2. Infant and child health and physical development are improved as a result of adequate nutrition	2				
	3. Children participate in pre-school activities to develop school readiness skills	3				
	4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade	4				

YOU	1. Youth improve physical health and development	1				
	2. Youth improve social/emotional development	2				
	3. Youth avoid risk-taking behavior for a defined period of time	3				

Community Services Block Grant

TH	4.Youth have reduced involvement with criminal justice system	4				
	5.Youth increase academic, athletic or social skills for school success by participating in before or after school programs	5				
ADULTS	1. Parents and other adults learn and exhibit improved parenting skills	1				
	2. Parents and other adults learn and exhibit improved family functioning skills	2				

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

Family Maintenance:(specify outcome)				
Family Maintenance:(specify outcome)				

Agency Programs Involved with Goal 6:

Poverty Problems Addressed through this strategy:

Community Services Block Grant

Use of Funds by Community Action Agency	FFY '08 (Actual)	FFY '09 (Estimated)	FFY '10 (Proposed)
BROC – Community Action In Southwestern Vermont	$ 553,671	$ 597,926	$ 597,926
Central Vermont Community Action Council Inc.	$ 595,630	$ 638,933	$ 638,933
Champlain Valley Office of Economic Opportunity Inc.	$ 901,747	$ 983,118	$ 983,118
North East Kingdom Community Action Inc.	$ 580,321	$ 615,535	$ 615,535
Southeastern Vermont Community Action Inc.	$ 487,702	$ 521,488	$ 521,488
CAA Total	$ 3,119,071	$ 3,357,000	$ 3,357,000
State Administration	$ 173,282	$ 186,500	$ 186,500
Community Food & Nutrition Program	$ -	$ -	$ -
Special Grants	$ 173,282	$ 186,500	$ 186,500
Total Federal Funds	$ 3,465,635	$ 3,730,000	$ 3,730,000

FFY 2008	$3,465,635		
FFY 2009		$3,730,000	
FFY 2010			$3,730,000

Section 675(d)(2)

Each plan or revision under paragraph (l) shall be made available for public inspection within the State in such a manner as will facilitate review of and comment on the plan.

Community Services Block Grant

Appendix to CSBG State Plan

COMMUNITY FOOD AND NUTRITION PROGRAM (CFNP)

Contingent upon the appropriation of federal funds for the Community Food and Nutrition Program, the State of Vermont plans to sub-grant the entire amount of its CFNP formula grant to the Vermont Campaign To End Childhood Hunger, Inc. The Campaign is a statewide, private, nonprofit organization whose mission is well-suited to the legislatively-mandated purposes of the CFNP.

GOAL: To increase public awareness of and responsiveness to poverty-related issues affecting the nutritional status of children.

CFNP Purpose: *To coordinate private and public food assistance resources, where coordination is inadequate, in order to better serve low income populations.*

- The Campaign will identify factors contributing to poor nutrition among low income Vermonters and ways for the public and private sectors to jointly coordinate and expand resources to address those issues. The Campaign will maintain a representative board of directors to involve public agencies, faith based and other community groups, businesses, and private citizens in this effort.

CFNP Purpose: *To assist low income communities to identify potential sponsors of children nutrition programs and to initiate such programs in underserved or unserved areas.*

- The Campaign will conduct statewide public education and outreach activities to increase public awareness of the causes and effects of poverty-related hunger. The Campaign will promote the availability of child nutrition programs, such as school meal programs, Summer Food Service Program, and Child and Adult Care Food Program.

- In collaboration with the Vermont Foodbank, the Campaign will implement an annual Hunger Awareness Day during the Legislative session. Concerned citizens will be encouraged to participate in this event to educate the public and policy makers about the issue of hunger among Vermont children and families. The event will highlight available resources that are not being used, and actions that can be taken at the local level to make such resources available to low income children in their communities. Particular emphasis is placed on initiating or expanding participation in federal child nutrition programs in towns where those resources are nonexistent or underutilized.

ASSURANCES: The State of Vermont will adhere to the following assurances in administering CFNP funds:

- that CFNP funds awarded by the State to any public or private agency will be used to support the legislatively designated purposes;
- that funds will be used for sub-grants to eligible agencies to support programs that are statewide in scope and represent a comprehensive and coordinated effort to alleviate hunger within the State;

- that funds will be subject to the annual audit requirements under the Single Audit Act of 1984, Public Law 98-502 and the Office of Management and Budget Circulars A-128 and A-133; and

- that the State will comply with Departmental reporting requirements and general requirements for the administration of grants under 45 CFR Part 92.

ATTACHMENT 3

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

DETAILED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2010

GRANTEE STATE of VERMONT

EIN: 1-036000274-A8

ADDRESS 103 South Main Street

Waterbury, VT 05671-5501

NAME OF LIHEAP COORDINATOR Richard Moffi, Fuel Assistance Program Chief

EMAIL: richard.moffi@ahs.state.vt.us

TELEPHONE: 802-241-1097 FAX: 802-241-4327

PLEASE CHECK ONE: TRIBE _____ STATE X INSULAR AREA _____

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

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

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

GRANTEE State of VERMONT FFY 2010

Assurances

The State of Vermont agrees to:
(Grantee Name)

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

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

(B) intervene in energy crisis situations;

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

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

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

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

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

(i) assistance under the State program funded under part A of title IV of the Social Security Act;
(ii) supplemental security income payments under title XVI of the Social Security Act;
(iii) food stamps under the Food Stamp Act of 1977; or now known as SNAP
(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 125 percent of the 2009 poverty level for such State for seasonal fuel assistance ; or
(ii) an amount equal to 150 percent of the 2009 poverty level for such State for crisis fuel assistance;

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 disbursal of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

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

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

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

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

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

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

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

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

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

Signature: Patrick Flood

Title: Patrick Flood, Deputy Secretary, Vermont Agency of Human Services

Date: 8/31/09

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

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

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

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

statutory references

2605(a)
2605(b)(1) Please 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.)

(use of funds)		Dates of Operation
	X heating assistance	11/1/2009 to 4/30/2010
	___ cooling assistance	_____
	X crisis assistance	11/30/2009 to 4/30/2010
	X weatherization assistance	10/1/2009 to 9/30/2010

2605(c)(1)(C) Please 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%.

(use of funds)

67.92 % heating assistance

N/A % cooling assistance

10.0 % crisis assistance

2605(k)(1) 1.0 % weatherization assistance

10.0 % carryover to the following fiscal year

2605(b)(9) 10.0 % administrative and planning costs

2605(b)(16) 1.0 % services to reduce home energy needs including needs assessment (assurance 16)

0.08 % used to develop and implement leveraging activities (limited to the greater of 0.08% or $35,000 for States, the greater of 2% or $100 for territories, tribes and tribal organizations).

100.0% **TOTAL**

statutory references

2605(c)(1)(C)

(alternate use of crisis assistance funds)

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

_____ heating assistance:

_____ cooling assistance

_____ weatherization assistance

__X__ Other(specify): crisis assistance until April 30

Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served? (This is required by the statute.)

Yes __X__ No _____

2605(b)(2)
2605(c)(1)(A)

(eligibility)

What are your maximum eligibility limits?
(Please check the components to which they apply.)
Current year guidelines must be used.

__X__ 150% of the poverty guidelines:
heating _____ cooling _____ crisis __X__ wx __

__X__ 125% of the poverty guidelines:
heating __X__ cooling _____ crisis _____ wx

_____ 110% of the poverty guidelines:
heating _____ cooling _____ crisis _____ wx _____

_____ 60% of the State's median income:
heating _____ cooling _____ crisis _____ wx

__X__ Other (specify for each component)
200% of poverty for weatherization

__X__ Households automatically eligible if all members of the household are receiving
__X__ TANF, __X__ SSI/AABD, _____ Food Stamps, _____ Certain means-tested veterans programs (heating _____ cooling _____ crisis wx _____)

statutory references

2605(c)(1)(A)
2605(b)(2)
(eligibility)

Do you have additional eligibility requirements for:
HEATING ASSISTANCE X Yes _____ No)

	Yes	No
Do you use:		
Assets test?	X	
Do you give priority in eligibility to:		
Elderly?	X	
Disabled?	X	
Young children?		X
Other: (If Yes, please describe)		

statutory references

2605(c)(1)(A)
2605(b)(2)

Do you have additional eligibility requirements for:
COOLING ASSISTANCE (____ Yes ____ No) **N/A**

(eligibility)

Do you use:	Yes	No
Assets test?	_____	_____
Do you give priority in eligibility to:		
Elderly?	_____	_____
Disabled?	_____	_____
Young children?	_____	_____
Other: (If Yes, please describe)	_____	_____

statutory references

2604(c)
2605(c)(1)(A)

Do you have additional eligibility requirements for:
CRISIS ASSISTANCE (X Yes ____ No)

(eligibility)

	Yes	No
Do you use:		
Assets test? Limited resources are allowed for elderly or disabled	X	
Must the household have received a shut-off notice?	X	
Must the household have exhausted regular benefit?	X	
Must the household have received a rent eviction notice?		X
Must heating/cooling be medically necessary?		X
Other (Please explain): May receive crisis assistance when at or below ¼ of a tank. Elderly or disabled may apply by phone and not in person. Area agency on aging case manager may represent an elderly client	X	

What constitutes a crisis? (Please describe)
An extenuating or unpredictable circumstance(s) that result in lack of heating capacity for the household (out of home heating fuel or electric service disconnection when electricity is required to run the heating system)

statutory references

2605(c)(1)(A)

Do you have additional eligibility requirements for:
WEATHERIZATION (X Yes ___ No)

(eligibility)

	Yes	No
Do you use:		
Assets test?	____	X
Priority groups? (Please list) Households with members elderly, disabled or under the age of 6 Lowest income households served first	X	____
Are you using Department of Energy (DOE) Low Income Weatherization Assistance Program (LIWAP) rules to establish eligibility or to establish priority eligibility for households with certain characteristics?	X	____
If Yes, are there exceptions? Please list below.	____	X

statutory references

2605(b)(3)
2605(c)(3)(A)

(outreach)

Please check the outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

__X__ provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).

__X__ place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.

__X__ 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.

__X__ make mass mailing to past recipients of LIHEAP.

__X__ inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.

__X__ execute interagency agreements with other low-income program offices to perform outreach to target groups.

__X__ other (Please specify):

Regulated utility companies include a fuel assistance announcement in bill stuffers or as a notice on bills

Statewide training for advocates and community partners prior to the July start of the fuel season.

statutory references	
2605(b)(4)	Please describe how you will assure that LIHEAP is coordinated with similar and related programs. The description provided applies to all components unless specifically noted.
(coordination)	Coordination of activities is accomplished within normal and existing relationships established by virtue of the State Office of Economic Opportunity, Department of Disabilities and Independent Living and the Department for Children and Families all being part of the Vermont Agency of Human Services; reliance upon the SDX and Bendex for communication with the Social Security Administration; and through a referral arrangement with the State Office of Economic Opportunity to meet Vermont's statutory requirement that, as a condition of eligibility, all recipients of seasonal fuel assistance consent to receive services through the Weatherization assistance program.
2605(b)(5) 2605(b)(2) 2605(b)(8A)	The statute requires that there be no difference in the treatment of households eligible because of their income and those eligible because they receive benefits under TANF, Food Stamps, SSI, or certain means-tested veterans programs ("categorically eligible"). How do you ensure there is no difference when determining eligibility and benefit amounts? This applies to all components unless specifically noted below.
(benefit levels)	Vermont's benefit levels for the Seasonal Fuel Assistance component of the program increase as the household income decreases, taking household size into account. Payment to households is based on annual cost of heating fuel or energy. Grants under the Crisis Fuel Assistance component are made in the amount necessary to alleviate the crisis following careful assessment of the individual circumstances on a much broader basis. Whether or not a household meets the criteria of section 2506(b)2(A) if not a consideration.

statutory references

HEATING COMPONENT

2605(b)(5) Please check the variables you use to determine your benefit levels (check all that apply):

(determination of benefits)

X income
X family (household) size
X home energy cost or need
X fuel type
climate/region
individual bill
X dwelling type
energy burden
(% of income spent on home energy)
X energy need
X other (describe)
Dwelling size by number of bedrooms

Estimated consumption based on fuel type, dwelling type and dwelling size taken from standard heating cost tables (Vermont Fuel Rules 2906.4)

2605(b)(5)
2605(c)(1)(B)

Describe how you will assure that the highest benefits go to households with the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size.

(benefit levels)

Please describe benefit levels or attach a copy of your payment matrix.

See Section 2906.3 Fuel Program Tables of the Vermont Fuel Rules previously submitted

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

___ Yes X No If Yes, please describe.

statutory references

2605(b)(5)
2605(c)(1)(B)

(determination of benefits)

COOLING COMPONENT

Please check the variables you use to determine your benefit levels (check all that apply):

N/A

____ 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)

2605(b)(5)
2605(c)(1)(B)

(benefit levels)

Describe how you will assure that the highest benefits will go to households with the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size. Please describe benefit levels or attach a copy of your payment matrix.

Do you provide in-kind (e.g. fans) and/or other forms of benefits?

___ Yes ___ No If Yes, please describe.

statutory references

2605(b)(5)
2605(c)(1)(B)

CRISIS COMPONENT

(determination of benefits)

How do you handle crisis situations?

X separate component _____ other (please explain)

If you have a separate component, how do you determine crisis assistance benefits?

X amount to resolve crisis, up to maximum

_____ other (please describe)

(benefit levels)

Please indicate the maximum benefit for each type of crisis assistance offered.

heating	$ *	maximum benefit
cooling	$ N/A	maximum benefit
year-round	$ N/A	maximum benefit

* Typical dollar payment necessary for 125 gallons of liquid fuel, one ton of coal, or one cord of firewood, plus applicable special trip charges. If a utility disconnect, the minimum amount necessary to remove customer from disconnect status.

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

___ Yes X No If Yes, please describe.

statutory references

2605(b)(5)
2605(c)(1)
(B) & (D)

WEATHERIZATION & OTHER ENERGY RELATED HOME REPAIR AND IMPROVEMENTS

What LIHEAP weatherization services/materials do you provide? (Check all categories that apply.)

(types of assistance)

_____ Weatherization needs assessments/audits.
_____ Caulking, insulation, storm windows, etc.
_____ Furnace/heating system modifications/repairs
_____ Furnace replacement
_____ Cooling efficiency mods/repairs/replacement
__X__ Other (Please describe)
The five Vermont community action agencies that administer the Crisis component of LIHEAP, determine the eligibility for Weatherization's Emergency Home Heating System grant program (repair and replacement of heating systems).

(benefit levels)

Do you have a maximum LIHEAP weatherization benefit/expenditure per household? _____ Yes __X__ No
If Yes, what is the maximum amount? $_____

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

(types of rules)

____ Entirely under LIHEAP (not DOE) rules
____ Entirely under DOE LIWAP rules
____ Mostly under LIHEAP rules with the following DOE LIWAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply):
_____ Weatherize buildings 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 (Please describe)
_____ Mostly under DOE LIWAP rules, with the following LIHEAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply.)
_____ Weatherization not subject to DOE LIWAP maximum statewide average cost per dwelling unit.
__X__ Other (Please describe.)
State Weatherization is administered separately from LIHEAP

2605(b)(6) The state or tribe administers LIHEAP through the following local agencies:

(agency designation)

_____ county welfare offices
_____ community action agencies (weatherization component only)
__X__ community action agencies (heating, cooling or crisis)
_____ charitable organizations
__X__ not applicable (i.e. state energy office)
_____ tribal office
_____ other, describe:

* The Seasonal Fuel Assistance component is administered centrally through the Office of Home Heating Fuel Assistance in the Department for Children and Families. The Crisis Fuel Assistance component is administered through the five community action agencies.

Have you changed local administering agencies from last year?
_____ Yes ___X___ No

If Yes, please describe how you selected them.

What components are affected by the change?

2605(c)(1)(E) Please describe any additional steps (other than those described elsewhere in this plan) that will be taken to target assistance to households with high home energy burdens. (This applies to all components. If all steps to target households with high home energy burdens are described elsewhere in the plan, no further information is required here.)

(targeting of assistance)

Described elsewhere in the plan.

Seasonal fuel assistance households are required as a condition of receipt of benefits to accept Weatherization services. Wx offices have access to fuel consumption records to target highest consumption households.

statutory references

2605(b)(7) (energy suppliers)

Do you make payments directly to home energy suppliers?

Heating X Yes _____ No

Cooling _____ Yes _____ No

Crisis X Yes _____ No

If Yes, are there exceptions? X Yes _____ No
If Yes, please describe.

The exception for Seasonal Fuel Assistance is for benefits paid to households who have their home heat included in their housing rental payment. Heated renters receive a benefit equal to 30 percent of the benefit the household would have received if the household were purchasing heating fuel directly, or $50 whichever amount is greater. Roomers receive an annual benefit in the amount of $50. Households in public, assisted or Section 8 housing where heat is included in the rent receive an annual benefit in the amount of $5.

2605(b)(7)(A)

If you make payments directly to home energy suppliers, how do you notify the client of the amount of assistance paid? (Please describe)

Seasonal Fuel Assistance: client is notified in writing at the time the benefit is paid to the client's fuel supplier.

Crisis Fuel Assistance: client is notified at the time the grant is made, either in person or over the telephone.

2605(b)(7) (B) & (C)

How do you make sure the home energy supplier performs what is required in this assurance? If vendor agreements are used, they may be attached. Indicate each component for which this description applies.

Seasonal Fuel Assistance: vendor certification agreement – see Fuel Rules 2912

Crisis Fuel Assistance: vendor certification agreement also covers crisis component of program.

For both components, also through direct contact with supplier and client.

statutory references

2605(b)(8)(B) Is there any difference in the way owners and renters are treated? If Yes, please describe.

(owners and renters)

HEATING ASSISTANCE

_____ Yes __X__ No

COOLING ASSISTANCE

_____ Yes _____ No

CRISIS ASSISTANCE

__X__ Yes _____ No

Only relating to crisis furnace repairs or replacement, where the liability for system repair or replacement between a landlord and tenant must be determined, otherwise there is no difference in the way owners and renters are treated.

WEATHERIZATION

__X__ Yes ____ No

For renters, the landlord is required to make a financial contribution toward the work.

statutory references

2605(b)(10)

(program, fiscal monitoring, and audit)

How do you ensure good fiscal accounting and tracking of LIHEAP funds? (Please describe. Include a description of how you monitor fiscal activities.)

The Economic Services Division of the Vermont Department for Children and Families together with the business/accounting office of the Agency of Human Services monitor the LIHEAP funds. This dual process is a way of providing checks and balances on the account.

All expenditures, check returns and refunds are recorded on a daily basis. The program benefit financial status is known daily. Monthly, these accounts are balanced against the monthly statement from the State Finance Department and 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.

How do you monitor program activities? (Please be sure to include a description of how you monitor eligibility and benefit determination.)

The Seasonal Fuel Assistance component is administered by the Office of Home Heating Assistance in the Department for Children and Families. Supervisory review of fuel cases, similar to reviews of all programs administered by the Department, occurs regularly, with more intensive review of complicated or problematic cases.

The five Community Action Agencies (CAPs) who administer the Crisis Fuel Assistance component under grant agreements are monitored on a regular basis throughout the Crisis component period. This includes: site visits, inspection of files, attendance at intakes, coordination of information regarding program requirements and common problems, regular meetings with CAP representatives, and annual training. All denied crisis cases are advised of the reason for denial and the right to appeal the decision.

Contractors providing outreach and assistance in the application process are audited as part of the single state audit and are required to submit an annual report which includes numbers contacted and specifics about how the contract money is spent. The outreach staff also attend the annual advocate trainings provided by the Office of Home Heating Fuel Assistance.

Specific monitoring and coordination is accomplished by a review after each

seasonal benefit issuance for the status of applications, grants, denials, pending cases and dollars granted by the program administrator, with follow-up as necessary. Throughout the program year, periodic reviews of the program are conducted by joint meetings of the Commissioner, Deputy Commissioner, Fuel Program Administrator, and fiscal, program and evaluation staff.

How is your LIHEAP program audited?

Under the Single Audit Act? _X_ Yes _____ No
If not, please describe:

For States and Territories:

Is there an annual audit of local administering agencies? _X_ Yes ___ No

If not, please explain.

statutory references

2605(b)(12)

(timely and meaningful public participation)

How did you get timely and meaningful public participation in the development of the plan? (Please describe.)

A public hearing is held by the Vermont Agency of Human Services subject, date, time and location is advertised in Vermont daily newspapers at least two weeks prior to the hearing. The hearing for this plan will be held on September 16, 2009. .

2605(a)(2)

(public hearings)

Did you conduct public hearings on the proposed use and distribution of your LIHEAP funds? When and where?

__X___Yes ____No
(Not required for Tribes and tribal organizations)

When changes are made to program policy, Vermont follows the State Administrative Procedures Act, or follows expeditious rule-making procedures as authorized by the State Legislature. This involves statewide advertising of the proposed policy, a public hearing conducted by the Economic Services Division of the Department for Children and Families, consideration of written and oral comments, submission of proposed final policy to the Legislative Committee on Administrative Rules, and following review and approval by this committee, the final policy is filed with the Secretary of State

statutory references

2605(b)(13)

(fair hearings)

Describe your fair hearing procedures for households whose applications are denied or not acted on in a timely manner. When are applicants informed of these rights?

Denials and Grants
Applications Not Acted On In a Timely Manner

All applications for fuel assistance are entitled to a fair hearing before the Human Service Board under the same rules currently in use for administrative hearings for all programs administered by the Economic Services Division of the Department for Children and Families (TANF, Food Stamps, Healthcare, General Assistance/Emergency Assistance, Essential Person). In addition, for the Crisis Fuel Assistance component, procedures have been established to provide a faster hearing at the local level with an appeal to the Director when the crisis nature of the application calls for faster action. A request for an expedited hearing does not preclude a regular hearing and decisions from such hearings may be appealed to the Human Service Board via a request for a fair hearing. (See Fuel Rules 2910 – Seasonal Fuel; 2957 – Crisis Fuel)

Applicants are informed in writing of these rights both on applications for assistance and at the time an eligibility decision is made.

statutory references

2605(b)(15)

For States and Puerto Rico only (not applicable to Tribes and tribal organizations, or to territories whose annual regular LIHEAP allotments are $200,000 or less):

Does the State agency that administers the following LIHEAP component also administer the State's welfare program?

(alternate outreach and intake)

HEATING ASSISTANCE

__X__ Yes _____ No

If Yes, describe alternate process for outreach and intake:

The Economic Services Division of the Department for Children and Families completes agreements with the Department of Aging and Independent Living (DAIL) and the State Office of Economic Opportunity (OEO) to have Area Agencies on Aging (AAA's) and Community Action Agencies (CAP's) perform outreach. The Department for Children and Families contracts with DAIL, which in turn contracts with five AAA's, to provide intensive outreach to households with elderly and disabled people, provide intake and referral activities and assist in preparing applications for fuel assistance.

The Department for Children and Families also contracts with OEO, which in turn contracts with five CAP's, to provide outreach activities. These activities include the following: provide public information about the Home Heating Fuel Assistance Program within each service area; provide transportation and referral activities to assure access to program benefits; and to analyze problems and seek resolutions for home heating crises which will result in improved living standards and avoidance of future heating crisis situations for the households.

COOLING ASSISTANCE

_____ Yes _____ No

If Yes, describe alternate process for outreach and intake:

CRISIS ASSISTANCE

_____ Yes __X__ No

If Yes, describe alternate process for outreach and intake:

statutory references

2605(b)(16)

Do 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? (This assurance refers to activities such as needs assessments, counseling, and assistance with energy vendors.)

X Yes _____ No

If Yes, please describe these activities.

Vermont Sustainable Heating Initiative to install pellet stoves in the homes of LIHEAP seasonal fuel assistance recipients.

Button Up Vermont workshops to provide households with low- or no-cost techniques for reducing their home heating energy burden.

If Yes, how do you ensure that you don't use more than 5% (statutory ceiling) of your LIHEAP funds for these activities?

Budget review, coordination and oversight by the Department for Children and Families business office.

statutory references

2607A (leveraging)

Please describe leveraging activities planned for the fiscal year. (This entry is optional.*) Complete this entry if you plan to apply for LIHEAP leveraging incentive funds and to include in your leveraging report resources/benefits provided to low income households this fiscal year under criterion (iii) in 45 CFR 96.87(d)(2). Provide the following information for each:

(1) Identify and described each resource/benefit;
(2) Identify the source(s) of each resource; and
(3) Describe the integration/coordination of each resource/benefit with the LIHEAP program, consistent with 1 or more of conditions A-H in 45 CFR 96.87(d)(2)(iii).

1) WARMTH Criteria (iii)
Based on contacts made and issues raised at Vermont's Fuel Policy Advisory Committee (PAC) meetings, a partnership was formed between participating energy suppliers and Vermont Community Action Agencies to deal with crisis situations that did not specifically fit the Department guidelines. Community Action Agencies administer a full spectrum of services to households with an energy crisis including financial assistance, advocacy, negotiations with fuel providers, budget counseling and conservation advice. The financial assistance is funded through customer donations to participating utilities. The utilities turn the money over to the Community Action Agencies who distribute the benefits to income eligible households. Program administration receives financial support from corporate sponsors and the Department for Children and Families.

2) SHAREHEAT Criteria (iii)
Based on contacts made and issues raised at Vermont's Fuel Policy Advisory Committee (PAC) meetings, a partnership was formed between Central Vermont Public Service Corporation and Vermont Community Action Agencies to deal with that suppliers' income eligible customers, when they do not fit the Department guidelines. Community Action makes payments for energy and minor repairs for eligible households experiencing a crisis. The financial assistance is funded through customer and employee donations with a corporate match. A prescribed amount of the total donation is allowed for administration.

3) GENERAL ASSISTANCE Criteria (iii)
Benefits are provided from State funds to pay for some heating energy costs for households not eligible under any other Department program. The income eligibility guidelines are more stringent than those for LIHEAP. For metered delivery, payment for a current billing period may be authorized provided that certain conditions are met, and payment for bulk delivery may be authorized when there is less than 72 hours supply on hand or less than a one week supply when in the worker's judgment conditions mandate such a decision.

4) HEATING SYSTEM REPLACEMENTS Criteria (iii)
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 Trust 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.

5) FIREWOOD PROJECT Criteria (i) and (ii)
In the Northeast area of Vermont served by the St. Johnsbury District Office, households whose primary source of heat is wood have the option to receive their benefit in the form of a delivered wood supply. Households that select the option of a wood supply will receive the amount of wood that can be purchased with their annual benefit, but purchased at a negotiated rate lower than the going market price. This means a larger wood supply is leveraged under the agreement than could be purchased at market prices with the same fuel assistance benefit. The purchase and delivery of the wood is administered by Vermont's Department of Corrections under an agreement with the Department for Children and Families, as provided for in Section 2605(b)(6) of LIHEAP Act.

6) and 7) DONATED OIL AND PROPANE Criteria (ii)
At the suggestion and request of the Department, heating oil vendors who have membership in the oil vendors trade association, (The Vermont Fuel Dealers Association) and propane vendors trade association (VT Propane Gas Dealers) have donated amounts of heating oil or propane to be delivered at no cost to crisis eligible households, as determined by the Department's Office of Home Heating Fuel Assistance or the Community Action Agencies that administer the crisis fuel assistance component. The delivery also includes any start-up or special trip charges.

8) PRIVATE DONATIONS Criteria (ii)
The Department, through its Office of Home Heating Fuel Assistance or the Community Action Agencies that administer the crisis fuel assistance component has agreements with several private philanthropic organizations to earmark some of their charitable fund money for use for the Department's crisis program. The money is requested and distributed at the discretion of the Department's Office of Home Heating Fuel Assistance or the Community Action Agencies that administer the crisis fuel assistance component.

9) BULK FUEL DISCOUNT Criteria (ii)
Through the Department's fuel supplier certification agreement, a discount is required on #2 heating oil, propane, kerosene and ULSD fuels purchased with LIHEAP funds through benefit payments for eligible fuel program recipients. The discount is applied to the LIHEAP benefit payment leveraging a greater quantity of bulk fuel for the recipient.

10) ARREARAGE FORGIVENESS Criteria (ii)
The Department will cooperate with any energy provider who chooses to operate an arrearage forgiveness program by receiving the application, determining eligibility and providing those eligible with a voucher to present to the energy provider for arrearage forgiveness up to the energy provider's specified limit.

11) CLEAN AND TUNE-UP PROGRAM Criteria (iii)
Users of fuel oil or kerosene heating systems may have their furnaces cleaned and tuned-up at no cost. Access occurs through the local Weatherization Program and this service is available to the first 200 households who sign up. The Vermont Office of Economic Opportunity administers the program, with funding provided by the Vermont Department of Public Service and assistance with planning and mailings provided by the Economic Services Division of the Department for Children and Families

12) POWER PARTNERS PROGRAM Criteria (iii)
Green Mountain Power (GMP) Corporation's Power Partners Program is designed to assist low-income customers in paying the past due amount of their electric bill during the period of the year when there are no other emergency funds available. GMP customers with an electric service disconnection notice are assisted through one of the state's five Community Action Agencies. Cash assistance is not to exceed 25 percent of the customer's disconnection amount.

13) VENEZUELAN OIL DISCOUNT PROGRAM
The Venezuelan Oil Discount Program is a partnership between Citgo, Citizens Energy Corporation of Massachusetts, and Vermont's Community Action Programs. This program allows low-income Vermonters to purchase up to 200 gallons of fuel oil at a 40 percent discount. Recipients of seasonal LIHEAP benefits are automatically eligible for the program. Others apply through the local community action agencies.

* Leveraged resources/benefits that are counted under criterion (iii) in 45 CFR 96.87(d)(2) must be identified and described in the grantee's LIHEAP plan and distributed as indicated in the plan. In addition, leveraging resources/benefits that are counted under criterion (ii) must be carried out under one or more components of the grantee's regular LIHEAP program.

statutory references	
2605(b) (performance) goals and measures)	Please describe performance goals and measures planned for the fiscal year. (This entry is optional.)

ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

* Lobbying certification, which must be filed by all States and territories. If applicable, Form LLL, which discloses lobbying payments, must be submitted. (Tribes and tribal organizations are EXEMPT.)

* Debarment and suspension certification, which must be filed by all grantees.

* Drug-free workplace requirement certification, which must be filed by all grantees, unless the grantee has filed a statewide certification with the Department of Health and Human Services. STATES ONLY: If you have filed a statewide certification for the drug-free workplace requirement, please check here: X

* One of the requirements included in the 1994 reauthorization of the statute is that state grantees must include in their annual application for funds a report on the number and income levels of households applying for and receiving LIHEAP assistance, and on the number of recipient households that have members who are elderly, disabled, or young children.

  All Tribes and those territories with allotments of less than $200,000 need only submit data on the number of households served by each component (heating, cooling, weatherization and crisis). The approval for the collection of information contained in the LIHEAP Household Report is covered by OMB approval number 0970-0060.

* Though not a part of this application, the report on funds to be carried over or available for reallotment as required by section 2607(a) for the preceding year must be submitted by August 1 of each year. A grant award for the current fiscal year may not be made until the carryover/reallotment report is received. The approval for the collection of information contained in the LIHEAP Carryover and Reallotment Report is covered by OMB approval number 0970-0106.

VERMONT LIHEAP Block Grant	FFY2008 Actual	FFY2009 Estimated	FFY2010 Proposed
Goal #1 Home heating energy cost supplement to needy low income households, including the use of program funds for services to inform and assist persons to apply.	$12,940,272	$33,826,500	$12,976,000
Goal #2 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.	$2,616,026	$2,313,000	$2,000,000
Goal # 3 Administrative expense containment Within the 10% maximum allowed.	$1,937,050	$2,156,000	$1,324,000
Transfer to Weatherization	$ -0-	$250,000	$ - 0 -
Source of Funds			
LIHEAP Block Grant Award	$11,746,617	$25,596,268	$13,248,000
Supplemental LIHEAP Award	$7,623,880	$13,073,937	$ - 0 -
LIHEAP Leverage Award	$0	$49,577	$52,000
Total LIHEAP Spending:	$17,493,348	$38,554,500	$16,300,000

NOTE: 1 + 2 + 3 + Wx equals Total Spending. Total spending may not equal the listed "Sources of Funds" as the Source list does not include prior year's carryover and other LIHEAP funds not listed.

NOTE: The sources for this sheet are Federal LIHEAP dollars only – State funds are NOT included.

Vermont Contact Person: Richard Moffi, Fuel Assistance Program Chief 802-241-1097

MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT

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 (l) 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

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) (ll) (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.

Maternal and Child Health Services Block Grant

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #1 Component A: preventive and primary care services for pregnant women, mothers, and infants up to age one.	$ 156,894	$ 176,518	$ 176,518
APPROPRIATION: Public Health			
Goal #2 Component B: preventive and primary care services for children.	$1,989,440	$1,879,080	$1,879,080
APPROPRIATION: Public Health			
Goal #3 Component C: family-centered, community based, coordinated care for children with special health care needs and the development of community-based systems of care for children with special health care needs and their families.	$2,424,862	$1,649,510	$1,649,510
APPROPRIATION: Public Health			

Maternal and Child Health Services Block Grant

Use of Funds by Goal or Activity	FFY'08 Actual	FY'09 Estimated	FFY'10 Proposed
Less: Medicaid Receipts	$(1,568,411)	$(1,340,692)	$(1,340,692)
Total Expenditures:	$ 3,002,784	$ 3,705,108	$ 3,705,108
Federal MCH Block	$ 1,691,011	$ 1,694,536	$ 1,694,536
State Share	$ 1,311,773	$ 2,010,572	$ 2,010,572
Total	$ 3,002,784	$ 3,705,108	$ 3,705,108

Block Grant Awards

FFY 2007	$1,705,272
FFY 2008	$1,691,011
FFY 2009	$1,694,536

Maternal and Child Health Services Block Grant

Title V Plan submitted to the Maternal and Child Health Bureau
on July 15, 2009
Copies furnished upon request.

PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT

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.

Use of Funds by Goal or Priority Area	FFY'08 Actual	FY'09 Estimated	FY'10 Proposed
Education and Community Based Services To increase the years of healthy life to at least 65 years. Innovative support services to help manage chronic disease. Approp: Public Health	$200,705	$ 0	$ 0
Town Health officer Education To support innovative training program to ensure THO competence in priority areas including safe drinking water and Radon testing and surveillance. Approp: Public Health	$0,0	$34,000	$34,000
Domestic Violence Education, Recognition, Inquiry, Referral, and Transition to Services DVERRT: Train WIC staff in essential areas of competence to Support victims of domestic violence. Approp: Public Health	$0	$10,000	$10,000
Breast Feeding Peer Counseling: To expand highly successful BF Peer Counseling Program to Franklin and Grand Isle Counties. Approp: Public Health	$0	$41,000	$41,000
Incident Reporting System For EMS to enhance incident reporting and program planning among local EMT Units, Hospital ER's, and Public Health EMS Planners. Approp.: Public Health	$617,744	$91,902	$91,902

Oral Health Reduce dental caries among children through programs of water fluoridation. Approp: Public Health	$81,410	$57,000	$57,000
Nutrition Chief To ensure coordinated nutrition planning Across public health programs. Approp: Public Health	$0	$15,000	$15,000
Sexual Assault Prevention To reduce sexual assault and provide support to victims of sexual assault. Approp: Public Health	$0	$14,909	$ 14,909
Injury Prevention Work with hospitals to implement Programs to prevent falls among the Elderly. Approp: Public Health	$4,600	$0	$0
Cardio stroke Community-based activities in Collaboration with the American Heart Association directed toward stroke reduction.	$0	$0	$0
Latent TB Outreach and education to refugee immigrant Population to detect (and treat) latent TB Approp: Public Health	$0	$0	$0
Childhood Lead Monitor lead levels in at-risk housing to Reduce incidence of childhood lead poisoning	$0,0	$0	$0
Total Expenditures-Gross for fy08	$899,860	$263,811	$263,811

Preventive Health and Health Services Block Grant

Source of Funds	FFY'08 Actual	FY'09 Estimated	FFY'10 Proposed
PHHS Block	$263,811	$263,811	$263,811
State General Funds	$4,929	$ 0	$ 0
Total	$268,740	$263,811	$263,811

Block Grant Awards

FFY 2007	$267,593
FFY 2008	$263,811
FFY 2009	$276,282
FFY 2010	$263,811

PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT

Document will be submitted via

electronic filing.

SOCIAL SERVICES

BLOCK GRANT

Social Services Block Grant

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

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

SERVICE PLAN

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

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

AMENDMENTS TO THE PLAN

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

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

Social Services Block Grant

AUDIT

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

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

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

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

- If you are currently receiving ANFC or SSI you are income eligible for all services listed in this document.

- If you are in need of protection from others or yourself, you may be eligible, without regard to income, for counseling and intervention, child care, and legal services.

- Anyone who requests and is determined eligible for services offered by the Child Welfare and Youth Justice.

- If you need family services, you may receive them without regard to income. Depending on your net income, you may be required to pay a fee according to Fee Schedule D.

- If you are developmentally delayed, you are eligible for Assessment Placement and Monitoring Services.

- If your gross monthly income does not exceed those on Table A you are eligible for adoption, counseling and intervention for the elderly, personal services, residential treatment for the handicapped or disabled.

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.

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

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

Social Services Block Grant
TABLE C

CHILD CARE FEE SCHEDULE

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

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

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

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

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

Social Services Block Grant

ADOPTION

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

ASSESSMENT, PLACEMENT AND MONITORING

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

COUNSELING, REFERRAL AND INTERVENTION

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

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

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

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

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

Preventive and reunification services may include:

A. 24-hour emergency caretaker, and homemaker services;

B. child care;

C. crisis counseling;

D. individual and family counseling or casework services;

E. emergency shelter;

F. procedures and arrangements for access to available emergency financial assistance;

G. arrangements for the provision of temporary child care to provide support to the child and family for a brief period, as part of a plan for preventing children's removal from home;

H. other services which the agency identifies as necessary and appropriate such as home-based family services, self-help groups, services to unmarried parents, provision of or arrangements for mental health, drug and alcohol abuse counseling, vocational counseling or vocational rehabilitation; and

I. post-adoption services.

DAILY LIVING SKILLS

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

Social Services Block Grant

CHILD CARE

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

DAY WORK ACTIVITY

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

FAMILY PLANNING

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

LEGAL SERVICES

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

PERSONAL SERVICES

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

RESIDENTIAL TREATMENT FOR THE HANDICAPPED OR DISABLED

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

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

There is a public meeting scheduled by the Agency on September 16, 2009 to be held in the Lincoln Conference room at the State Complex located at 103 S Main St., Waterbury 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.

Social Services Block Grant

Distribution by Department	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Secretary's Office	$ 1,138,184	$ 1,656,526	$ 1,656,526
Family Services	$6,322,488	$8,592,667	$8,592,667
Health Department	$ 672,324	$ 749,680	$ 749,680
Dept. of Disabilities, Aging and Independent Living	$ 906,120	$ 1,027,909	$ 1,001,825
Total Social Services Expend.	$ 9,039,116	$ 12,035,474	$ 12,025,522
Source of Funds			
Federal Funds	$ 3,522,813	$ 3,522,813	$ 3,522,813
Overclaim/State General Funds	$ 780,985	$3,777,343	$ 3,767,391
TANF Transfer	$ 4,735,318	$ 4,735,318	$ 4,735,318
Total	$ 9,039,116	$ 12,035,474	$ 12,025,522

Block Grant Awards

FFY 2007	$3,553,433
FFY 2008	$3,522,813
FFY 2009	$3,481,978
FFY 2010	$3,481,978

Social Services Block Grant

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
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.	$351,715	$367,254	$367,254
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.	$786,469	$680,923	$680,923
APPROPRIATION: AHS Sec. Office Human Svc. Bd. DCF Admin. Dpt. DAIL Admin Mental Health CMR CMH Central Office			
Total Expenditures:	$1,138,184	$1,048,177	$1,048,177

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.

Social Services Block Grant

Department for Children and Families: Family Services Division

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #1			
To assure that legislative mandates and departmental policies are implemented for foster care programs.	$ 18,802	$1,114,782	$1,114,782
Goal #2			
To ensure the safety and welfare of children and youth who are abused, neglected, or abandoned, or whose behaviors bring them into conflict with the law and their own best interests.	$ 5,380,062	$ 5,355,601	$ 5,355,601
Goal #3			
To provide social services and mental health treatment programs for children in custody and children and families at risk of substitute care placements.	$ 861,911	$ 1,418,936	$ 1,418,936
Goal #4			
To promote the developmental well-being of children in low income families and to support parental participation in work or education leading to employment.	$ 61,713	$ 703,348	$ 703,348
Total Expenditures	$6,322,488	$8,592,667	$8,592,667

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 397 and it is estimated that staff will serve a client caseload of approximately 7,600 in FY 10.

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 1,700 children are expected to receive adoption subsidy in FFY'10.

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 7,900 children in FY'09. Approximately 800 of the total number of children enrolled in the child care assistance program, at any given time, are children who have been abused or neglected or who are at risk for being abused. Child Care Services are provided through center based community early childhood and after school programs and family child care homes. The services support the positive developmental growth and well-being of the children in care, support parents in their parenting role and allows low income families to be gainfully employed or enrolled in school.

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Health Department

Use of Funds by Goal or Activity	FFY'08 Actual	FY'09 Estimated	FFY'10 Proposed
Goal #1 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: ~~#3420070200~~	$336,602	$448,804	$448,804
Goal #2 To provide comprehensive family planning services.			
APPROPRIATION: #342~~0040200~~	$335,722	$300,876	$300,876
Total Expenditures:	$672,324	$749,680	$749,680

GOAL ACCOMPLISHMENT

Goal #1

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

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Health Department

Goal #1

	VSH Admissions	No. CRT Clients Served	Days of Housing and Home Support
FY2006 (Actual)	200	3,145	46,117
FY2007 (Estimated)	c. 206	3,328	65,901
FY2008 (Projected)	-	3,000-3,500	50,000-65,000

Goal #2

The major activities undertaken to accomplish goal #2 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.

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Department of Disability, Aging & Independent Living

Use of funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #1			
Attendant Services Program			
To provide personal care services To people with permanent and Severe physical disabilities.	$ 334,633	$ 309,589	$301,732
APPROPRIATION: DAIL Grants			
Number of persons served:	25	23	25
Goal #2			
Guardianship			
To provide guardianship Services to mentally disabled persons 60 years of age or older for whom the probate court is unable to appoint a guardian from the private sector. To utilize guardianship for mentally disabled persons only as necessary to promote the well being of the individual and to protect the individual from violations of his or her human and civil rights.	$329,423	$396,645	$386,581
APPROPRIATION: DAIL Administration			
Number of persons served:	73	79	85

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Department of Disability, Aging & Independent Living

Use of funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Goal #3			
Developmental Disabilities To increase the abilities of persons with developmental disabilities to function in community settings with the greatest possible independence from the mental health and human services system by providing community-based support.	$ 242,064	$ 321,675	$ 313,512
Number of persons served:	3,447	3,645	3,745
APPROPRIATION: DS Grants			
Grand Total:	$ 906,120	$ 1,027,909	$1,001,825

SUBSTANCE ABUSE PREVENTION & TREATMENT BLOCK GRANT

Substance Abuse Prevention & Treatment Block Grant

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
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	$ 1,002,160	$ 973,367	$ 973,367
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			

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
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	$1,644,556	$1,134,812	$1,134,812
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			

Substance Abuse Prevention & Treatment Block Grant

and shelter

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
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

Substance Abuse Prevention & Treatment Block Grant

Use of Funds by Goal or Activity	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Alcohol Treatment	$3,462,553	$3,869,424	$3,869,424
Drug Treatment	$3,462,553	$3,869,424	$3,869,424
APPROPRIATION: 3420060000	$6,925,108	$7,738,849	$7,738,849
Total	$9,571,824	9,847,028	9,847,028

Source of Funds			
SAPT Funds	$5,088,950	$ 5,261,374	$ 5,261,374
State General Funds	$4,482,874	$ 4,585,654	$ 4,585,654
TOTAL	$9,571,824	$ 9,847,028	$ 9,847,028

Block Grant Awards

FFY'08 $5,088,950
FFY'09 $5,261,374
FFY'10 $5,261,374

Substance Abuse Prevention & Treatment Block Grant

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

State Name: VERMONT

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

Agency Name: AGENCY OF HUMAN SERVICES

Organizational Unit: DIVISION OF ALCOHOL AND DRUG ABUSE PROGRAMS

Street Address: DEPARTMENT OF HEALTH, 108 CHERRY STREET

City: BURLINGTON Zip Code: 05402

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

Name: Jim Giffin

Agency Name: AGENCY OF HUMAN SERVICES

Street Address: 103 SOUTH MAIN STREET

City: WATERBURY Zip Code: 05671-1701

Telephone: 802-241-2950 FAX: 802-241-1200

III. STATE EXPENDITURE PERIOD

From: 10-1-09 To: 9-30-10

IV. DATE SUBMITTED

Date: X Original _ Revision

V. CONTACT PERSON RESPONSIBLE FOR APPLICATION SUBMISSION

Name: CHRISTOPHER CUMMINGS Telephone: 802-651-1670

Substance Abuse Prevention & Treatment Block Grant

Form 3 OMB No. 0930-0080

FY 2010 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**

V. 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).

Substance Abuse Prevention & Treatment Block Grant

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: Robert Hofmann

Title: Secretary

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

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."

Substance Abuse Prevention & Treatment Block Grant

Narrative [i]

Goal #1: Intended Use

The primary goal is to ensure substance abuse treatment services are available and accessible to all Vermont residents in need of, and wishing to participate in, these services. Preference for treatment services will be given to the following in order of priority: pregnant injecting drug uses, pregnant substance abusers, injecting drug users, persons in need of immediate services as determined by DSM-IV criteria for dependence.

In addition to meeting the primary goal of providing services, ADAP plans to:

- Develop co-occurring treatment capacity. Infrastructure work to support this change will be funded in part through the Co-Occurring State Incentive Grant.
- Continue to address adolescent-specific treatment capacity issues through the adolescent grant initiative. Expand Student Assistance Programs.
- Increase opiate treatment capacity by 50 or more slots.
- Improve transitional housing programs
- Add outpatient, case management and transitional housing capacity to address high-risk women exiting corrections.
- Improve data quality as required by SOMMS data quality requirements and NOMS reporting.

Goal # 2: Intended Use

Healthy Vermonters 2010:

- Reduce alcohol-related motor vehicle deaths
- Increase percent of primary care providers who screen and refer patients for alcohol and other drug problems
- Reduce percent of youth age 12 to 17 who used alcohol, marijuana and cocaine in past month
- Reduce percent of high school seniors who engage in heavy drinking
- Reduce percent of college students who engage in heavy drinking

- Increase percent of worksites with policies on alcohol and other drugs

Projected Statewide numbers to be Served, all Objectives:

Information Dissemination:	9,500
Education:	10,000
Alternatives:	20,000
Environmental:	140,000
Problem ID and Referral:	500
Community-Based Process:	7,000

Statewide System of Service Delivery

Vermont's Substance Abuse Prevention System programs are comprised of:

- Prevention Services provided by ADAP staff, including a network of 10 regional Prevention Consultants (PCs) (Note: regions referred to below are the 10 regional prevention consultant's regions. At time of grant submission there are 2 regional vacancies and Dept of Health is in process of recruitment. It is the Department's intention that all 10 regions of the state will have access to a full time consultant throughout most of FFY10).

- New Directions Coalitions Grants

- Statewide Community Grants to organizations and agencies

- Prevention materials and publications distributed via the Vermont Alcohol and Drug Information Clearinghouse

- Enforcing Underage Drinking Program grants to support compliance checks and Stop Teen Alcohol Risk Teams

Objective 1: The state will increase participation of community members in implementing evidence-based substance abuse prevention plans

Education Strategy

Universal Target Group

Ten regional prevention consultants (PCs) in 10 out of 10 regions will provide trainings

to coalitions, families, community groups, and local agencies on alcohol and drug prevention issues. Target groups of highest priority in **FY10**: parents of middle school students, mentors and volunteers, youth, and local coalition coordinators seeking to change community norms around ATOD. **Target Area:** Statewide
Completed by: Ongoing
Number to be served: 3,000

Community Grants will partially fund up to 10 prevention professionals attending the New England School of Prevention Studies, sponsored by NE Institute of Addiction Studies and CSAP.
Service area: Statewide
Completed by: September 2006

New Directions Coalition grants will support evidence-based family education curricula in 10 out of 10 regions.
Target Area: Statewide
Completed by: November 2007

Community Grants will support the Middle School Teen Institute prevention training for youth ages 12 to 14 in 10 out of 10 regions. (This grant will be blended with Tobacco Settlement funding and the institutes will provide training on alcohol, tobacco, other drug prevention and nutrition.) Participants will implement action plans in their communities as a component of program.
Service area for SAPT funded: Statewide, non-Tobacco Settlement funded regions are the highest priority
Completed by: December 2007
Anticipate number served: 350

Selected Target Group

Project Rockinghorse Circle of Support Groups will provide educational support to low income pregnant or parenting women who are at risk for substance abuse or experiencing the effects of a partner's substance abuse.
Service area: 8 out of 10 regions, based on readiness
Completed by: December 2007
Anticipate number served: 200

Community Grants will support provision of training and supervision to up to 30 Rockinghorse Circle of Support Group facilitators, and evaluation of program outcomes. This evaluation will include participation in CSAP Service to Science Initiative.
Completed by: Ongoing

Community Grants will fund the Nurturing Parent Program, targeted to at least 60

parents and their children, ages 5-12.
Target area: 2 out of 10 regions; communities not currently funded by New Directions highest priority for community grants
Completed by: January 2007

Alternative Strategy

Universal Target Group

Regional Prevention Consultants will provide training and TA to after school programs, teen centers and other alternative programs upon request RE: ATOD issues and integration of ATOD prevention strategies into alternatives.
Target area: 10 out of 10 service regions
Completed by: Ongoing

Community and/or New Directions Grants will support alternatives as augmentations to research-based educational and environmental strategies.
Target area: 10 out of 10 regions
Completed by: September 2007

Selected Target Group

New Directions Grants will continue to support mentoring programs.
Target area: Up to 14 communities statewide
Completed by: September 2006

Community-Based Process

Universal Audience

Ten regional PCs and central office staff will provide consultation, facilitation services and training scholarships to coalitions, partnerships, groups and agencies on planning and implementing substance abuse prevention and early intervention strategies. Up to 35 local and statewide partnerships and coalitions will be served. Of highest priority in **FY07** will be consultations related to the Strategic Prevention Framework, including assessment of regional needs, resources and level of readiness to carry out evidence-based prevention plans.
Service area: 10 out of 10 regions
Completed by: November 2007

New Directions Grants will fund community coalitions to implement: (a) coalition

development; (b) an evidence-based practice or program targeted to 12 to 17 year-olds; and (c) public information strategies such as awareness campaigns and dialogue nights with youth and adults. Consistent with the Strategic Prevention Framework, grantees will conduct local needs assessments and select the evidence-based program or practice based on that needs assessment. These may include: family education; mentoring; or classroom curricula.
Target area: 14 communities in 8 out of 10 regions
Complete by: September 2007
Anticipated number served through activities a – c above: 145,000 adults and youth

Block Grant funds support statewide coordination and evaluation of New Directions grants, as well as training, TA services and 2 networking meetings to all community substance abuse prevention coalitions regardless of funding source for specific local coalitions (i.e., funded via Drug Free Communities Support Program, SAPT Block Grant, Tobacco Settlement, other State or foundation funding). Approximately 30 coalitions (defined as town, supervisory union, county or region) in 10 out of 10 regions.
Complete by: October 2007.

Environmental

Prevention consultants will provide linkage between local coalitions, SAP's and local Stop Teen Alcohol Risk Teams (START). STARTs are law enforcement and juvenile justice professionals who are organized to reduce underage drinking parties. (START is funded through the OJJDP Underage Drinking Grant.)
Service area: 10 out of 10 regions
Complete by: Ongoing

ADAP staff will work with VT Criminal Justice Training Center to implement a joint training for New Directions Coalitions and STARTs. Anticipated outcome is increased collaboration between law enforcement and other community groups on policy awareness and enforcement to reduce access to underage drinking.
Service area: 10 out of 10 regions
Anticipated number served: 60
Complete by: July 2007

Objective 2: The state will strengthen its implementation of the Substance Abuse Prevention Plan by forming strategic partnerships with statewide organizations and state agencies.

Education

Universal Target Group

Ten regional prevention consultants will disseminate information about effective curricula, link schools with community-based substance abuse prevention initiatives, and provide training for school staff. Services will be provided in all ten regions, prioritized by prevalence and community readiness. ADAP staff will work with VT DOE staff on revision of Act 51 Training curriculum (required ATOD prevention training for public school educators).
Service area: Each of 60 Supervisory Unions in state
Completed by: Ongoing

Statewide Community Grant will fund Department of Education's Health Education Resource Centers increase availability of evidence-based classroom curricula to K-12 Schools.
Service area: Each of 60 Supervisory Unions in State
Completed by: December 2007

Community-based Process

Community Grants will support statewide coalitions dedicated to serving underserved populations through ATOD resource information and networking opportunities. Priority for **FY07** will be: Vermont College Alcohol Network and the Vermont Coalition on Substance Abuse and Older Vermonters.
Service area: Statewide
Anticipated number served: 50 service providers and advocates

Environmental

Universal Target Group

Central Staff funded through the Block Grant will conduct work on development of Vermont's Strategic Prevention Framework. Activities will include: organization of task forces on underage drinking and prevention infrastructure; focus groups with grantees and partners; collection of data from grantees; and development of recommendations for the Strategic Prevention Framework Advisory Council to consider within planning process.
Service Area: Statewide
Completed by: October 2007

ADAP staff will work with other Department of Health prevention programs to implement Vermont H.881, section 321, Coordinated Community Wellness grants (CHAMPPS). A coordinated granting process will be developed and piloted. Process may impact Department policies on grants and the support of prevention training systems. This process will be coordinated with and be informed by the Strategic Prevention Framework.

Objective 3: The State will improve its capacity for disseminating information about alcohol and drug issues and current prevention strategies.

Information Dissemination

Universal Target Group

ADAP and Office of Tobacco Control will support a media specialist to develop a communications plan in support of objectives of Strategic Prevention Framework., including the identification of up to 2 key messages to be integrated into all prevention programs. Highest priority will be development of communications on reduction and prevention of alcohol use prior to age 21. ADAP staff and Coalition coordinators will participate in training on and implement focus groups as part of formative research.

The Vermont Alcohol and Drug Abuse Information Clearinghouse will distribute print materials and videotapes. Highest priorities for service are parents, groups served by prevention consultants, student assistance counselors and New Directions Coalitions. Priority projects will include: Enforcing Underage Drinking Laws; the Vermont Methamphetamine Initiative; and the NE Inhalant Prevention Initiative.
Service area: Statewide
Completed by: Ongoing

ADAP staff will participate on NE Inhalant Coalition, and continue to develop strategies for infusing inhalant use prevention messages into existing prevention systems.

ADAP staff and Vermont State Police will implement public awareness campaign, consistent with Vermont legislation H.480, Act relating to Precursor Drugs of Methamphetamine. Materials and public information kits on state and federal law, the dangers of methamphetamine, and need to restrict public access to precursors, will be developed and distributed. A joint Department of Health and Public Safety press conference will be held to inform the public of the new law. Additional information will be provided via Information Clearinghouse, Department of Health website and Vermont 211 Information line.
Service area: Every retailer and community coalition in the State

Anticipated number served: Direct: 300; indirect: 300,000
Completed by: January 2007

ADAP staff will produce PowerPoint presentation on the Methamphetamine precursor law, the dangers of methamphetamine and community resources. Regional Prevention Consultants will provide the Vermont Methamphetamine Initiative curriculum via workshops with businesses, educators, parents.
Service area: 10 out of 10 regions
Anticipated number served: 1,000
Completed by: October 2007

Education Strategy

Universal Target Group

Regional PCs will deliver ATOD Prevention 101 - orientation to professionals and volunteers interested in delivering prevention services. Priority groups in **FY07** will be ADAP grantees, Americorps volunteers and the Safe & Dug Free Schools Consultation Team.
Service area: 10 out of 10 regions
Anticipated number served: Up to 1,500
Completed by: October 2007

ADAP staff will coordinate with the NE Center for the Application of Prevention Technology and the Vermont Consortium
Of Addiction Training to maximize access to training on evidence based prevention practices.
Service area: Statewide
Completed by: Ongoing

ADAP PCs and regional public Health District Directors will participate in TOT's related to implementation of Strategic Prevention Framework planning at the regional level.
Service area: 10 out of 10 regions
Completed by: September 2007

Environmental

ADAP will provide staff support to the Vermont Methamphetamine Policy Council. Council will assure coordinated methamphetamine prevention, intervention, treatment and enforcement strategy and report to Vermont legislature by January 2007 on progress and needed policy enhancements. Information Dissemination strategies described above will be guided by this body to assure a comprehensive approach to the issue.

Substance Abuse Prevention & Treatment Block Grant

Service Area: Statewide
Completed by: Ongoing

Objective 4: The State will improve its capacity for gathering needs assessment, process and outcome data targeted to the improvement of prevention systems

Other Strategy

Prevention Management Information data collected for services provided by Regional Prevention Consultants.
Service area: Statewide
Completed by: Ongoing

ADAP staff responsible for collecting data on block grant funded programs will work with Strategic Prevention Framework data analyst and contractors to develop system for collecting National Outcome Measures. They will attend training and TA sessions, gather ideas from grantees and communicate changes in reporting requirements to funded prevention programs.
Completed by: July 2007

ADAP will monitor prevention grants via narrative reports, site visits and data collection.
Service area: Statewide
Completed by: Ongoing

ADAP staff will work with SPF staff and contractors to conduct resource, capacity and readiness assessments. Of highest priority for SAPT Block grant supported prevention staff will be capacity assessment and plan for regional Prevention Consultant System; Public Awareness/Communications.
Service area: Statewide
Completed by: Ongoing

Goal #3: Intended Use

Twelve out of 12 Vermont districts will support a community response team for wrap around services by May 2007. There is a goal of physician participation on 1/3 of these teams for pregnant and parenting, substance abusing women.

Continuity of care will be introduced through policy and procedural development for high risk pregnant and parenting women, resulting in hospital based treatment regardless of point of entry. This process will be a collaborative effort involving multiple agencies and recording best practices to be distributed through VCHIP and VDH/ADAP by June 2007.

Medical and human service agencies will identify and be trained in gender responsive substance abuse screening instruments.

VDH/ADAP will continue to work with the Women's Substance Abuse Statewide Advisory Group and examine best practices for future implementation of gender responsive practices in Vermont..

Technical assistance will be generated internally and externally with evidence based trainers to promote relationships among substance abuse treatment providers and medical care resources and services. (i.e., prenatal care, pharmacological treatment and drug court initiatives) for pregnant and parenting women.

Goal # 4: Intended Use

Objective 1: Intravenous drug users will start treatment within five days of the request except when the program is at capacity. The following "Activities" were used in **FY08** and **FY09** and proved to be successful. These "Activities" will be continued in **FY10**.

Activities: All treatment providers will submit a monthly report to the Division of Alcohol and Drug Abuse Programs containing (1) the number of people waiting for treatment, (2) each person's time on the list, and (3) whether those on the waiting lists are pregnant women, women, or needle users. ADAP will use these reports and site visits conducted by our compliance staff, as needed, to ensure that all programs meet State and Federal requirements pertaining to intravenous drug users:

- Treatment provision fulfilling the 90% capacity reporting and the 14 to 120 day performance requirements will continue to be enforced.
- Injection drug users on a waiting list will continue to be given priority status for admission to treatment.
- Interim services will continue to be available and provided for those on waiting lists longer than five days.
- Outreach services for injection drug users will continue to be provided.

In **FY07**, we estimate that there will be 1400 (15% of unduplicated admissions) needle users admitted for treatment in Vermont.

GOAL # 5: Intended Use

Objective 1: All clients admitted for treatment will be provided education, counseling, and referral services with respect to tuberculosis (TB).

Activities: Providers are required to establish, and update as needed, a protocol with their local office of the Vermont Department of Health to facilitate referral of clients for immunization, tuberculosis, and HIV screening.

For **FY10**, Vermont is not expected to be a designated State for tuberculosis. Estimates are that between 6 and 9 cases of TB will be reported in 2007 and Vermont will spend approximately $4,500 on treatment for substance abusers with TB.

GOAL # 6: Intended Use

Objective 1: In those areas of Vermont having the greatest need for HIV services, the State will make early intervention services available at locations where these individuals are being treated for substance abuse problems.

Activity 1: VDH/ADAP will continue to work with the HIV/AIDS Division within the Vermont Department of Health, the Vermont AIDS Coalition and community AIDS service organizations (ASO's) to provide ongoing training for substance abuse treatment programs to do HIV/AIDS risk assessments with clients. In addition, programs will be monitored to ensure that risk assessments are included in each client record.

Activity 2: VDH/ADAP will continue to sponsor educational events and provide technical assistance to any community group or state agency requesting assistance with regard to HIV/AIDS and substance abuse.

For **FY10** Vermont is not expected to be a designated State for HIV. It is estimated that 2.5 cases per 100,000 will occur in Vermont. In conjunction with the Department of Health HIV/AIDS Division, ADAP will co-sponsor HIV/AIDS training with the HIV Division granting for that service.

GOAL # 7: Intended Use

VDH/ADAP closed the Recovery Home Loan Program in **FY03**, after five years of inactivity. It is anticipated that there will be increased interest in the use of both transitional and group home.

Goal #9: Intended Use

VDH/ADAP will continue to monitor waiting lists at all funded/approved substance abuse treatment providers as it has in past years. This monitoring system has proven to be useful in identifying issues and getting pregnant and post-partum women into treatment within 24 hours, in most cases. Admissions must be within 5 days of request for Medicaid clients, per Vermont statute.

GOAL # 10: Intended Use

Objective 1: The State will improve the process for referring individuals to the treatment modality that is most appropriate for the individual by working with treatment providers

on policies and procedures for screening and referring clients.

Activity: VDH/ADAP will work with treatment providers to further improve policies and procedures for prescreening and referring clients to appropriate levels of care: outpatient, intensive outpatient, and residential treatment. Training and other technical assistance will be offered to assist programs in further establishing the use of the GAIN tool, as well as the ASI and others. The ASAM patient placement criteria (PPC-2) to ensure patients are appropriately matched with treatment services will continue to be the norm for the State of Vermont.

Goal # 11: Intended Use

The State will continue to provide individuals and agencies in the alcohol and drug abuse treatment and prevention fields opportunities to improve competence through continuing education. In addition to assigning education and technical assistance responsibilities to Prevention and Treatment Program Specialists and ADAP Medical Director, ADAP will maintain the Vermont Addiction Education Center to disseminate information regarding substance abuse treatment, intervention, prevention, and recovery and will develop statewide and regional trainings/conferences for professional substance abuse education. Trainings and conferences offering continuing education will be designed to meet Goal 2 (Prevention); Goal 3 (Services to Pregnant Women and Women with Dependent Children); Goal 4&6 (HIV Early Intervention Services); Goal 5 (Tuberculosis Services) objectives.

ADAP will continue to sponsor other relevant conference offerings and will continue to participate in the annual New England Institute for Addiction Studies Summer Schools by providing staff and scholarships. The ADAP Substance Abuse Workforce Development Committee will continue to meet to expand internship and educational possibilities for treatment providers and colleges; to investigate loan forgiveness for Vermonters desiring ways to enter the substance abuse treatment field and to sponsor a College Consortium to order to grow VT's treatment workforce.

GOAL # 12: Intended Use

Objective 1: The State will coordinate substance abuse prevention and treatment services with the provision of other appropriate services.

Activity 1: VDH/ADAP will represent alcohol, tobacco and other drug issues on the Children and Family Council for Prevention Programs and The Vermont Substance Abuse Coalition. These organizations oversee and coordinate statewide prevention initiatives. VDH/ADAP staff will coordinate with the Vermont Safe and Drug Free Consultation Team on the provision of training and facilitation services to community coalitions.

Activity 2: VDH/ADAP will work with the Department of Corrections, the Division of Vocational Rehabilitation, and the Department of Employment and Training, and the Department of Aging and Independent Living (DAIL) for the provision of ancillary services to alcohol and drug dependent clients.

Activity 3: VDH/ADAP will sponsor joint training events for substance abuse prevention, intervention and treatment professionals and volunteers. (Information Dissemination Strategy)

Activity 4: VDH/ADAP will further refine and revise as necessary the Standards for Substance Abuse Treatment Programs which require that treatment plans identify client needs in five areas (family, vocational, legal, health, and mental health), and include appropriate actions for each identified need. The "peer review" process will monitor compliance with these standards.

Activity 5: Regional and Statewide Prevention Unit staff will provide information on funding and training opportunities to the statewide and local Substance Abuse Prevention Coalitions so they may have the opportunity to participate.

Activity 6: VDH/ADAP will maintain and revise, as needed, its Prevention Management Information System in the 10 Regional Offices.

Activity 7: VDH/ADAP will regularly report activities to, and seek guidance from, the Vermont Drug and Alcohol Coalition on its prevention, treatment and recovery programs, findings and needs.

Activity 8: In **FY10**, VDH/ADAP estimates it will screen 2,600 first offenders convicted of driving under the influence for substance abuse problems, and of those 2,500 will complete a driver rehabilitation and education program.

Goal # 13: Intended Use

Objective 1: ADAP will continue to use the National Survey on Drug Use and Health (NSDUH) and will refer to data collected as part of the treatment (270-97-7035) and Prevention (277-97-6002) Needs Assessment contracts where appropriate; to measure treatment and prevention need in Vermont.

Activities: ADAP plans to use the NSDUH to help with resource allocation and strategic planning.

Objective 2: Use the data from the Vermont Youth Risk Behavior Survey (YRBS) to assess need for prevention, intervention and treatment services for Vermont adolescents.

Activities: The 2008 YRBS will be administered during **FY08**; data will be collected and reports will be written. State agencies and community organizations are expected to use the results from this YRBS for planning. YRBS data will be a critical part of the discussions and strategic planning of the Epidemiology Workgroup and the Advisory Council of the Strategic Prevention Framework State Incentive Grant (SPF-SIG) that Vermont recently received.

Goal # 14: Intended Use

The State will maintain its current restrictions on the use of Federal funds, specifically the ban on the provision of hypodermic needles and syringes. All providers will be required to sign assurances that funds will not be used for this purpose. The Division of Alcohol and Drug Abuse Programs will investigate any report of the distribution of needles or syringes.

Goal # 15: Intended Use

Objective 1: The State will continue to assess and improve the quality and appropriateness of treatment services delivered by providers that receive funds from the SAPT Block Grant.

Activity 1: All Vermont substance abuse treatment programs will continue to be approved by VDH/ADAP and either CARF or JCAHO. CARF and JCAHO utilize an independent peer review process from which recommendations will be made to VDH/ADAP. For those programs that are not accredited by CARF or JCAHO a similar independent peer review process will be established to match the process utilized by CARF/JCAHO. All providers will be reviewed at least every three years, unless a shorter approval period has been authorized.

Activity 2: Four VDH/ADAP Program Coordinators will monitor programs for quality, appropriateness of treatment services, and compliance with all applicable Federal and State requirements.

Activity 3: VDH/ADAP will review and amend, where necessary, its own standards for treatment providers to reflect all applicable Federal and State requirements. In addition, the State will continue to improve its data collection system for monitoring utilization. All providers are required to maintain high utilization rates under threat of penalty.

GOAL # 16: Intended Use

Objective 1: The State will maintain a system to protect client records from inappropriate disclosure.

Substance Abuse Prevention & Treatment Block Grant

Activities: VDH/ADAP will continue to: (a) offer an annual workshop on confidentiality for staff at state supported treatment facilities; (b) review confidentiality policies and procedures at all treatment programs at least once every three years through the approval/peer review process, and monitor programs' compliance with Federal Confidentiality regulations (HIPPA).

Goal # 17: Intended Use

Objective 1: The State will continue to seek partners from religious organizations who are willing to provide treatment and/or prevention services to all persons in need.

SUBSTANCE ABUSE PREVENTION AND TREATMENT BLOCK GRANT

Plans are being developed for electronic filing

of this document.

[i] Narrative based on 2007 SABG application document.

VERMONT

Department for Children and Families

Family Services Division
Child and Family Services Plan

July 1, 2010 - June 30, 2014

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FAMILY SERVICES MISSION STATEMENT

We are committed to protect children and strengthen families, in partnership with families and communities.

FAMILY SERVICES CORE PRACTICE PRINCIPLES

The Family Services Division (FSD) of the Department for Children and Families (DCF) partners with families and the community to promote safety, permanency, well-being and law abidance for children. Our work is guided by these core practice principles.

SAFETY: CHILDREN ARE SAFE FROM ABUSE

- Keeping children safe is our primary concern and we address it in every intervention, every plan and every contact. Child safety is a collaborative effort; we engage families and community members to find safe solutions for children.

- We ensure ongoing safety through frequent meaningful contact with children and their caregivers.

PERMANENCY: CHILDREN HAVE ENDURING RELATIONSHIPS WITH HEALTHY NURTURING FAMILIES

- Permanency planning for children is considered at every stage of decision making.

- When children can not live safely with their families, the first consideration for placement will be with kinship connections capable of providing a safe and nurturing home.

- Life-long connections are critical for children. We will strive to promote and preserve family, kinship, sibling and community connections for each child.

- Permanency is best achieved through a legal relationship such as reunification with parents, adoption or guardianship.

WELL-BEING: CHILDREN ARE SUCCESSFUL IN FAMILY, SCHOOL AND COMMUNITY

- We recognize that all families have strengths and deserve a voice in decisions regarding their children. We serve families from diverse backgrounds in a responsive manner.

- We recognize that families and individuals have the capacity to make positive changes in their lives.

- Family members and state and community partners are engaged to inform case planning and service delivery to maximize the opportunities for success.

- Casework practice is informed by strengths based assessments and research findings pertinent to critical questions and situations addressed each day in deciding what the best intervention is for a children and families.

LAW ABIDANCE: YOUTH ARE FREE FROM CRIMINAL BEHAVIOR

- Youth on probation receive professional and consistent services based on best practice; customer service; holistic and collaborative family-based approaches; principles of strength-based assessment; balanced and restorative justice and progressive responses.

- We are committed to work in partnership with communities and families to improve community safety by decreasing risk; to provide supervision levels that are commensurate with risk; and to match placement and services to meet the needs of families and youth.

STAFF SUPPORT AND DEVELOPMENT: STAFF ARE SUPPORTED, VALUED AND RECEIVE ONGOING TRAINING

- We are responsible for creating and maintaining a supportive working and learning environment with open communication and accountability at all levels.

- Our staff is our most important asset. Children and families deserve trained skillful staff to engage and assist them. Our training focuses on building specific skills for engaging, assessing, planning, monitoring plans and creating permanency.

TRANSFORMING SERVICES FOR FAMILIES

The Family Services Division published a strategic plan in January of 2008 entitled Transforming Family Services. The plan lays out an ambitious agenda for change that focuses on family engagement, front loading of services, and utilization of natural supports to increase family capacity to provide a safe environment for all of their members.

The plan is published on our public web site at:

http://dcf.vermont.gov/sites/dcf/files/pdf/fsd/FSD_Transformation_Plan.pdf

An important part of our transformation plan has been an examination of the values that underpin our work with children and families. Following a dialog with field staff that occurred over a period of several months, the division has adopted the following values, which align with our core practice principles:

- All people are capable of growth and change. In our work, we are informed by knowledge of past behavior, but do not assume that it is a perfect predictor of their future.
- When circumstances require us to choose among competing interests, we will elevate the child's need for safety and permanency over the needs of involved adults.
- It is our responsibility to focus not only on immediate safety, but on the long term wellbeing of the children and families we serve. Lifelong connections are a key ingredient to wellbeing, both in childhood and into adulthood.
- To be effective over time, our social workers have regular contact with children and families, where they live. Respectful, engaged relationships with children and families hold the greatest promise for positive change.
- We are aware of the power entrusted to us, and use it responsibly.
- We believe that families have expertise about their own lives. We use a variety of ways to engage families and mobilize their resources to promote safety and wellbeing of their members.
- Risk is inherent in all of the work we do and the decisions we make, and cannot be entirely eliminated. Our job is to recognize risks and build safety around them, making full use of the protective factors families and communities have.
- We assume that separation of children from their families will be traumatic.
- When separation must occur, we will preserve the continuity of supportive relationships for the child.
- When children must be separated from their families, we do all we can to help families to safely reunify. This includes a plan for parent-child contact that is supportive and educational.
- In communicating with our staff and the public, we clearly articulate our values and practice model.
- We strive to build a workforce that works in alignment with our core values and our practice model – and to support them through open dialogue, clear policy, excellent training and supervision, formal and informal performance evaluation and appropriate resource allocation.
- We believe that no one social worker or supervisor should shoulder the burden of critical decisions related to the safety and wellbeing of children. Our practice incorporates teamwork and, whenever possible, shared responsibility and accountability for decision-making.
- When a tragedy happens, we will strive to find the learning in that experience, and apply that learning to our future practice.

The division has formed a Transformation Steering Committee to guide and integrate the work of a number of committees that are working on aspect of transformation plan

implementation. Overall, this committee is attending to change management within the division.

In addition, during the 2008 Legislative session, the Legislature passed two bills that together, completely changed the legal landscape of our work. In the midst of budget crisis, they passed a budget that left our budget largely intact. In fact, they left a surplus created by a reduction in the number of children in custody, with the instructions that we were to invest funds to promote the goals of the CFSR.

The two substantive bills passed by the legislature create a statutory framework that strongly reinforces our goals to transform our practice to a more family-engaged model, with much greater emphasis on front-end services that will keep families intact. The first bill comprehensively revised statutes in place since 1967 that guide dependency and delinquency proceedings. This statute was effective on 1/1/2009. The second created enabling legislation for the development of a differential response system, to be implemented no later than 7/1/09.

GOALS OF FIVE-YEAR PLAN

The goals and objectives of this plan address the following areas:

- The well-being of children and families;
- The needs of children and families; and
- The nature, scope, and adequacy of existing child and family and related social services.

Principles of child and family services, as articulated in 45 CFR 1355.25 continue to guide us in developing, operating, and improving the continuum of child and family services.

a. The safety and well-being of children and of all family members is paramount. When safety can be assured, strengthening and preserving families is seen as the best way to promote the healthy development of children. One important way to keep children safe is to stop violence in the family including violence against their mothers.

b. Services are focused on the family as a whole; service providers work with families as partners in identifying and meeting individual and family needs; family strengths are identified, enhanced, respected, and mobilized to help families solve the problems which compromise their functioning and well-being.

c. Services promote the healthy development of children and youth, promote permanency for all children and help prepare youth emancipating from the foster care system for self-sufficiency and independent living.

d. Services may focus on prevention, protection or other short or long-term interventions to meet the needs of the family and the best interests and need of the individual(s) who may be placed in out-of-home care.

e. Services are timely, flexible, coordinated, and accessible to families and individuals, principally delivered in the home or the community, and are delivered in a manner that is respectful of and builds on the strengths of the community and cultural groups.

f. Services are organized as a continuum, designed to achieve measurable outcomes, and are linked to a wide variety of supports and services which can be crucial to meeting families' and children's needs, for example, housing, substance abuse treatment, mental health, health, education, job training, child care, and informal support networks.

g. Most child and family services are community-based, involve community organizations, parents and residents in their design and delivery and are accountable to the community and the client's needs.

h. Services are intensive enough and of sufficient duration to keep children safe and meet family needs. The actual level of intensity and length of time needed to ensure safety and assist the family may vary greatly between preventive (family support) and crisis intervention services (family preservation), based on the changing needs of children and families at various times in their lives. A family or an individual does not need to be in crisis in order to receive services.

ORGANIZATION AND FUNCTION OF THE TITLE IV-B AGENCY

The Agency of Human Services (AHS) has the widest reach in state government and a critical mission: to improve the conditions and well-being of Vermonters and protect those who cannot protect themselves. The Department for Children and Families (DCF) is the largest department in AHS. DCF consists of the following:

The **Commissioner's Office** provides general policy direction for the department operating programs as well as a focus on legislative and political advocacy.

The **Economic Services Division** is responsible for overall policy, planning and regulatory services for economic and health benefits, including TANF, SNAP, Emergency Assistance, Fuel Assistance and Medicaid. In addition, the division oversees all welfare-to-work supports delivered through the district offices.

The Child Development Division oversees all early childhood services formerly scattered across various AHS departments.

This includes the child care financial assistance program, child care referral, child care licensing, child care workforce development, Head Start, Healthy Babies, Kids and Families; Family Infant and Toddler Program; Early Childhood Mental Health programs, etc.

Disability Determination handles eligibility determination for Vermont applicants for Supplemental Security Income (SSI).

The **Office for Child Support** oversees all aspects of child support, including the child support, medical support and child support enforcement.

The **Office of Economic Opportunity** through contracts with local Community Action Agencies provides supports to Vermonters to be financially independent. They also fund homeless shelters and low income weatherization services.

The **Business Office** assists in budget development, pays all bills, completes cost allocation, submits federal claims, manages space and telecommunications, etc. The various divisions' Business Offices may undergo some consolidation over the next year.

The **Information Services Division Agency** is responsible for managing the department's management information and office automation systems, and for producing data to support the department's functions.

The **Family Services Division** is the division responsible for the delivery of child protection, child welfare, adoption and permanency planning and youth justice services. Family Services is the division responsible for implementation of this plan.

Like most states, Vermont has suffered positions loss over the past 18 months, due to state budget concerns. In the Family Services Division, we have been fortunate that the administration recognized the critical nature of our work, and did not require us to cut social work staff. Required position cuts have been taken in our central office.

CONTINUUM OF SERVICES

The Family Services Division delivers child protection, child welfare (including adoption and independent living) and youth justice services to Vermonters. These services are fully coordinated, delivered from the same sites, by the same staff, and administered by a single administrative structure.

Over the last fifteen years, the Vermont Agency of Human Services, with its partner the Vermont Department of Education (DOE), has devoted considerable time and energy to building partnerships to improve the coordination of services to children and their families. Linkages have been built not only among state departments, but also with community service providers, parents and consumers of services.

The primary objective of the AHS/DOE partnership has been to improve outcomes for all children and their families in Vermont by developing a system of community supports and services that:

- Help prepare all children for successful participation in school;
- Ensure education stability when children are in state's custody;
- Strengthen family capacities to contribute to and support their children's educational progress; and,
- Ensure the effective functioning and continued evaluation of the services and supports needed by children, families and schools to improve children's educational outcomes.

For the last several months, FSD has been collaborating with the Department of Mental Health to re-examine our models for crisis stabilization and intensive family preservation services, which have been in place for over 20 years. Providers of these services are also involved in this examination of what the evidence tells us works, and how we can provide integrated services aimed at preventing the need for state's custody. The goal is to issue new RFPs in early spring 2009.

Also, with DCF itself, we are engaged in a pilot to test approaches to provide more integrated services to families who receive case management services from more than one division – typically Family Services, Economic Services and the Child Development Division. The goal for the next year is examine the possibility of aligning around a common set of values, and a common, family-centered approach to the assessment, case planning and service delivery across divisions.

All of these efforts support and encourage service integration and coordination in Vermont and in our own department

Child Protective Services (CAPTA Services)

Prevention

The mission of DCF's Child Development Division (CDD) is to improve the well being of Vermont's children. They do this in partnership with families, communities, schools, providers and state and federal agencies to ensure access to high-quality, economically viable, child development services. Thus, CDD is responsible for the oversight of direct prevention and early intervention programs in the division. The core programs are:

- **Healthy Babies, Kids and Families Program** provides critical early support and health promotion for pregnant women and infants.

- **Family, Infant and Toddler Program** (FITP) provides early intervention services including evaluation and family services planning and coordination (IDEA Part C services).
- **Early Childhood Mental Health Services**, which serve young children who have diagnosed mental health problems, and their families.
- **Parent Child Centers** in 16 communities, provide comprehensive supports to families with young children including parent education, playgroups, home visiting, and early childhood services.
- **Head Start** in 7 communities provides services focused on health, mental health, nutrition, early education and parent education.
- **Child Care Financial Assistance** provides subsidized child care for low income families, including TANF recipients, as well as for at-risk and protective services families.

Children's Integrated Services

For the past two years, CDD has been focused on combining and integrating several formerly freestanding early childhood programs, including FITP; Healthy Babies, Kids and Families; and Early Childhood Mental Health. This initiative, knows as Children's Integrated Services (CIS) is focused on positive outcomes for pregnant and postpartum women, children birth through age 6 and their families. CIS uses a team approach and includes:

- Outreach
- Initial identification and referral
- Multidisciplinary assessment
- Individualized child and family planning
- Service delivery
- Transition

CIS has established regional teams that accept referrals for consultation and/or services from community providers. Child Development and Family Services have recently started exploring ways to collaborate on a local level to effectively utilize the knowledge and expertise in the early childhood development community.

IDEA Part C

Currently, we have a well-established protocol for referring young substantiated victims of child abuse for Part C services, as required by the Keeping Children and Families Safe Act of 2003, a reauthorization of CAPTA. Children are referred by our social workers to to the local host site for early intervention services within five days of the date of substantiation. This process continues to work very well across the State.

Improving Vermont's Sexual Abuse Response System

Following the tragic death of twelve-year-old Brooke Bennett in July 2008, Vermont's Senate Judiciary Committee spearheaded an inquiry into the state's systems of prevention and intervention to sexual abuse. The Committee held a series of public hearings around the state and took testimony from scores of state and national experts on sex offender treatment, the legal system, victim services, and sexual violence prevention. They uncovered many opportunities for improving Vermont's response to sexual violence. The extensive policy changes contained in Act 1 of the 2009 legislative session are designed to create a more coordinated, comprehensive approach to preventing, investigating and prosecuting sexual violence and holding perpetrators accountable. The focus on prevention includes:

- Supports the work of The Vermont Approach, Vermont's strategic plan for comprehensive, collaborative sexual violence prevention, effective immediately;

- Directs several House and Senate Committees to work together to further the work of the Senate Judiciary Committee to enhance the comprehensive statewide approach to prevention of sexual violence; legislation to be prepared by January 5, 2010;

- Amends the state definition of "comprehensive health education" to include a new requirement to teach students how to recognize and prevent sexual abuse and sexual violence, effective July 1, 2011;

- Directs the Commissioners of Education and Department for Children and Families to work with the state's Sexual Violence Prevention Task Force (SVPTF) and others to develop technical assistance materials for schools to create and implement sexual violence prevention education; effective immediately;

- Requires the state to check the VT Child Protection Registry and Vulnerable Adult Abuse Registry before issuing licenses to professional educators, and prohibits anyone convicted of a registrable sex offense from receiving a license, effective Dec. 31, 2010;

- Requires school districts to check the state's Child Protection Registry and Vulnerable Adult Abuse Registry before hiring staff or contracting with people who will have unsupervised contact with children, and prohibits the employment of anyone convicted of a registrable sex offense, effective Dec. 31, 2010;

- Allows schools to recheck employees' backgrounds at a later date, effective Dec. 31, 2010;

- Requires a criminal record check and registry check by 12/31/2010 for all licensed educators who have not previously undergone a criminal record check and who are applying for license renewal, effective immediately;

- Directs the Commissioner of Education to propose mechanisms to ensure that registered sex offenders do not have unsupervised contact with students as volunteers, Commissioner must make recommendations by January 15, 2010;

- Prohibits a person on Vermont's internet sex offender registry from working as a work study student in schools, effective immediately;

- Creates a background check "subscription service" for schools to receive updated background check information from the VT Criminal Information Center, effective July 1, 2010;

- Requires school boards to provide information or instruction to all adults employed in schools about sexual abuse; also requires school boards to make the same kind of information available to parents, guardians, and other interested persons, effective July 1, 2010;

- Requires licensed child care facilities to train all employees about sexual abuse and mandatory reporting, based on materials provided by AHS and the Department of Education, effective July 1, 2009;

- Directs the Agency of Human Services to work with the SVPTF to raise community awareness about sexual abuse, and to create and implement a community outreach plan, effective immediately; and

- Formally establishes the Vermont Center for Prevention and Treatment of Sexual Abuse in the state statutes and outlines the Center's responsibilities for coordinating services for victims and offenders, effective immediately.

Prevention of Abusive Head Trauma

For the past three years, the Vermont Department of Health, the Department of Aging and Independent Living and the DCF have collaboratively funded a project to prevent abusive head trauma. Prevent Child Abuse Vermont is the lead agency for this project. The project includes targeted public outreach and training of medical professionals who interact with new parents who may be stressed by crying and other challenges of parenting newborns. This project has been re-funded for another three year period.

This year, following the deaths of two infants caused by abusive head trauma, DCF entered into a partnership with the Vermont Chapter of the American Academy of Pediatricians.

Under the auspices of this collaboration, training is being delivered to newborn nursery nursing staff. Staff will provide specific information to parents of newborns about the effects of shaking an infant, and will ask them to sign a "pact" not to shake their baby. This approach has been used with some success in other states.

Child Abuse Reporting

In September 2008, following extensive input from staff and stakeholders, we began the process of centralizing the child abuse intake function; the process was completed by mid-October. Where formerly intakes were handled by social work staff on rotation in each district office, now they are taken by six specialized and specially trained staff in Waterbury. The goals of centralized intakes are to:

- Improve responsiveness to mandated and other reporters;
- Increase quality of information recorded, to better guide decision-making and investigation planning; and
- To increase consistency of decision-making across the state.

The centralization of intake has freed time equivalent to approximately 6 FTE social workers to the district offices. In addition, it has taken the initial screening burden off of the district supervisors. Supervisors may still accept a report, if on second screening, they feel it meets criteria for acceptance.

The initial feedback from community members has been excellent. In the short-term, we appear to be achieving our goals. The impact on workload in the districts has been significant. Overall call volume is up by about 9% over the same period in 2007 and the number of investigations opened is up by about 40%.

Child Maltreatment Assessment

In 2008, on the recommendation of DCF, the Vermont Legislature passed legislation that enabled the development of differential response. Since the fall of 2008, a work group comprised of staff from across FSD (including central office management, district directors, supervisors, senior social workers and social workers) has met twice monthly to plan for the 7/1/2009 implementation.

The group spent significant time reviewing materials, including draft regulation and policy. They also focused on the appropriate assessment instruments to be used. The group recommended that FSD continue the use of structured safety and risk tools adopted in 2002, but that the tools be adapted to incorporate the latest thinking, including the assessment of protective factors. FSD contracted with the Children's Research Center (CRC) to review and update our Structured Decision Making (SDM) tools.

During the last two weeks in June, CRC delivered six 2-day training sessions around the state. All casework, supervisory and management staff attended a session in preparation for implementation.

Also, in April – June 2009, staff and community forums were held throughout the state to educate internal and external stakeholders about differential response, its connection to other changes at the front end of the system (in particular centralized intake) and our move toward basing case opening on risk level instead of substantiation. Community forums were well attended and were marked by significant dialogue that informed the planning process.

Child Protection Registry

In 2002, the Vermont Legislature expanded the use of the state's Child Protection Registry. Formerly, use of the registry for employment purposes was prohibited. The legislature created the opportunity for employers to use the Registry to screen employees and volunteers who provide care or supervision for children or vulnerable adults. Employers may also access the Adult Abuse Registry and the Vermont Crime Information Center's system for criminal background checks.

In 2007, the Vermont Legislature re-examined the use of the Registry. In particular, they were concerned that persons who were placed on the Registry did not have access to due process that was commensurate with the possible employment implications. This resulted in the passage of legislation that required the department to establish an opportunity for an independent review of substantiations before the entry of a person's name into the Child Protection Registry. This was implemented on 9/1/2007.

In 2008, the Commissioner's Registry Review Unit received 450 requests and conducted 279 formal reviews of substantiations and 65 expungement petitions. Overall, about 76% of the Family Services substantiations were upheld, 20% were overturned and 4% resulted in a reopened investigation so that further information could be gathered.

In May of 2008, as part of the same bill that created differential response, the legislature passed a bill that directed the department to create a tiered Child Protection Registry by 7/1/2009. The intention was to balance the need to protect children and the potential employment consequences of a registry record. The names of substantiated perpetrators will be placed on the Child Protection Registry, on Level 1 or Level 2, based on of risk of future harm. Persons on Tier 2 may petition for expungement after 3 years; persons on Tier 1 must wait for 7 years.

Family Preservation and Support, and Family Reunification Services

The division contracts with a variety of community agencies to provide services that supplement casework services.

These services comprise a statewide network of family support and preservation services; they are available in all districts. Vermont has always used this service system not only for family preservation and support, but also to support reunification.

Agencies are selected through a competitive bidding process that specifies best practice principles, targets outcomes related to child safety/well being, and maximizes fiscal resources. In cases where an individual or agency has specialized knowledge and/or skills not otherwise available in that community, they may be awarded the contract/grant based on being the "sole source" in the area without a competitive process.

- **Child and Family Support Contracts** provide support for our family engagement practice approach through facilitation and coordination of family centered meetings and case and coordination services that support specific needs of children and families.
- **Parent Educators** provide home-based support and parenting education, focusing on family support, family preservation and reunification.
- **Intensive Family Based Services** provide time-limited, intensive in-home therapeutic services, focusing on family preservation and reunification.
- Trained therapists authorized to provide treatment under a special SRS Medicaid program provide **Sexual Abuse Victim and Offender Treatment Services**.
- **Family Time Coaches** provide opportunities for family contact within a best practice model for children who are placed in out-of-home care.
- **Other district-specific services** purchased with IV-B, Subpart II and other funds, such as mentoring programs, after-school programs, and family-tailored individual services.

In addition, the Child Development Division provides important services that keep families with young children together, including:

- **Family Support Child Care** provides time-limited, free part-time child care for families who are experiencing stress that may place their child at risk.
- **Protective Services Child Care** provides child care by specially trained child care providers for children who have been abused or neglected. Services are provided to children living with their families and children in foster care who will be reunified with their families.

Vermont is particularly proud about the evolution of a comprehensive system of family support and preservation services designed to assist all families, not just families who come to the attention of the child welfare agency. Family support services in Vermont are primarily planned, funded and coordinated through a system of partnerships.

Health Care Services

Vermont certified that legislation is necessary to comply with the requirement that states develop a plan for ongoing oversight and coordination of health care services for children in foster care. We have been granted a limited delay until July 2010.

FSD has a longstanding collaboration with the Vermont Department of Health around the health of children in foster care. This project, called Fostering Healthy Families, focuses on the assessment of the health needs of children entering custody, and the establishment of a medical home for those children. Public Health nurses have been assigned to FSD district offices to focus on these goals. During the past several months, position cuts in the Health Department have affected this collaboration.

Baseline Data for Family Services Strategic Directions

The Family Services Division continues to focus on practice changes that enhance front end services and increases the meaningful involvement of families – including extended families – in planning for the safety and wellbeing of their children. Primary strategies are:

- Centralized Intake – implemented Fall 2008
- Differential Response – implemented July 1, 2009
- Family Safety Planning – an organized meeting that assists in (1) identify risk issue for the family, as well as factors that mitigate those risks and (2) planning for the safe care of children.
- Family Group Conferencing – a more comprehensive meeting involving extended family which includes private family time to confer on a plan to provide safe care for children.
- Family Time Coaching – an educational and supportive model for parent-child contact.

The focus on these strategies is to draw upon informal resources available to the family, resources that will be available to the family long after state intervention has ended.

The new Juvenile Judicial Proceedings Act, which went into effect on January 1, 2009, also focuses on family engagement in the juvenile court process.

The Act establishes a custodial preference hierarchy that places the department fifth in an order of preference. We anticipate that many more children will be placed with a non-custodial parent or a relative, as a result.

The following data represents current status in investigation and custody caseload, length of stay and relative placements. The data also establishes baseline for measuring progress during this 5 year plan. We expect to see significant changes in these measures as a result of the Transformation Plan, the change in statute and what we learned from the second round of the CFSR.

Changes in Intake and Investigations

Over the past 12 months, most districts experienced significantly increased workload in the investigative arena. Drivers for this change include a heightened awareness about risk of sexual abuse following the Brooke Bennett murder, and the centralization of intake. Districts have shifted workers to investigative units to respond to the pressure. Fortunately, the shifting of the burden of intake to our central unit and the continued decline in ongoing caseloads has freed some time.

District	2007	2008	Net Change	Percent Change
St. Albans	361	354	-7	-2%
Burlington	691	766	75	11%
Hartford	185	229	44	24%
St. Johnsbury	207	175	-32	-15%
Brattleboro	100	189	89	89%
Barre	310	399	89	29%
Newport	109	180	71	65%
Rutland	273	392	119	44%
Springfield	191	277	86	45%
Bennington	193	233	40	21%
Morrisville	179	227	48	27%
Middlebury	183	181	-2	-1%
Specialized Intake Unit	177	155	-22	-12%
State	5166	5765	599	12%

Changes in Caseload

In the 2004-2009 CFSP we reported that social worker caseload had remained remarkably stable over several years, with an average of 18 cases per social worker.

Overall caseload is a statistic that we pay close attention to and we do shift vacant positions from one location to another in order to accommodate changes in caseload. In the last year, we have shifted 2.5 positions out of 130 FTE to help with the equitable distribution of workload among districts.

The following table shows average caseload per worker, by district, before and after these shifts occurred, based on cases open on 12/31/2009. For investigations, cases are only counted if they have been open 60 days or less.

District	Before	After
St. Albans	17.4	17.4
Burlington	14.4	14.4
Hartford	16.2	16.2
St. Johnsbury	16.2	16.2
Brattleboro	17.5	17.5
Barre	17.3	17.3
Newport	15.0	15.0
Rutland	18.4	17.7
Springfield	18.5	18.5
Bennington	12.8	13.4
Morrisville	21.3	18.6
Middlebury	15.5	15.5

Our current system of counting cases is rudimentary at best. Workload is driven by the number of entries, the length of stay of each entry – and the intensity of each case. We do not currently have a workload measurement system that weighs cases according to intensity.

Changes in Custody

The following tables represent point in time information for caseload as reported in our 2004-2009 CFSP and the present. As a result of our transformation efforts we hope to see a continued decline in the number of custody cases, a decrease in length of stay when children do enter custody and an increase in relative placement.

Custody Type		3/31/2004	3/31/2009	Net Change
Abuse/Neglect	Number	911	728	-183
	Percent	60.20%	61%	
Delinquent	Number	363	279	-84
	Percent	24%	24%	
Child Behavior	Number	238	155	-83
	Percent	15.70%	13%	
Voluntary Care	Number	1	20	19
	Percent	0.01%	2%	
Total Number		1513	1182	-331

Changes in Length of Stay in Years

The average length of stay has decreased for all age groups. This decrease is most noticeable for children age 12-17 in custody due to abuse or neglect.

Age Group	12/31/2004	3/31/2009	Net Change
Age 0-5	1	0.7	-5
Age 6-11	1.65	1.6	-0.5
Age 12-17 Abuse/Neglect	2.96	1.61	-1.35
Age 12-17 Delinquent	1.68	1.28	-4
Age 12-17 Child Behavior	1.73	1.3	-4.3

Relative Placement

Point in time data reflects that relative placement is on the rise and we expect it to continue to move in this direction as a result of the new Juvenile Proceedings Act, our new family engagement strategies and the activities of our contracted partners.

Year	Percent
2005	8.81%
2006	8.90%
2007	12.18%
2008	12.47%

Outcomes

We are now measuring outcomes in accordance with federal requirements to use of composite data measures and working with our Information Services Division to develop composite reports to track progress.

Safety

We have continued to be within the national standards for safety. In the quarter October-December 2008, 98.65% children were safe from repeat maltreatment. The corresponding figure for January-March 2008 was 96.95%.

Placement Stability

During the period October-December 2008, 74.4% children in care for twelve or less had two or fewer placements. The corresponding figure for January-March 2008 was 76.72%. The national median is 83.3% for this population.

Reunification within 12 months

During the period October-December 2008, 62.6% children exiting to reunification exited within 12 months. The corresponding figure for January-March 2008 was 72.5%. The national median is 69.9%for this population.

This measure is affected in Vermont by the fact that we serve both child welfare and youth justice clients in the same division. Children can exit child welfare, and re-enter as a youth justice client. In other states, those "re-entries" would not be counted, as the re-entrance would be to a different state department.

Re-entries within 12 months

During the period October-December 2008, 8.4% children entering care had exited from care within the previous 12 months. The corresponding figure for January-March 2008 was 13.6%. The national median is 15% for this population.

Adoptions within 24 months

During the period October-December 2008, 48.3% children who exited to adoption exited within 24 months. The corresponding figure for January-March 2008 was also 48.3%. The national median is 26.8% for this population.

Caseworker Visits

Federal Child and Family Services Reviews have found that meaningful and regular contact between child welfare worker and the children they serve is the most influential factor in ensuring positive outcomes for those children. The Family Services Division has focused on increasing the frequency of contact workers have, and in fact has demonstrated some improvement.

Increasing contact requires increased time available for contact. The division has employed a multi-pronged approach that addresses caseload as well as efficiency and effectiveness of our interventions:

- All social workers are equipped with Motorola Q phones (with telephone, e-mail, scheduling and wireless modem capacity), and laptop computers. This combination enables them to access division computer applications from remote locations, including from client homes.
- The centralization of the intake function returned the equivalent of between 5.5 and 6.5 social worker FTEs to the casework function.
- The division continues to explore teaming and group supervision models, to increase the number of social workers who have a relationship with a family, and can assist in times of intense service need.
- Use of family engagement strategies mentioned above is avoiding the need for out of home placement or decreasing the length of stay for children who do enter DCF custody.

Caseworker Visit Data and Annual Targets

	2007	2008	2009	2010	2011
Children in foster care	1758				
Children visited every calendar month they were in foster care by caseworker handling the case of the child.	213				
Goal	**11%**	**22%**	**44%**	**67%**	**90%**
VT Performance		**20.49%**			
Total number of visit months for children visited every month in foster care.	980				
Total number of visit months in which children were seen in child's placement setting by caseworker handling the case of the child.	283				
Percent	**29%**	**57.65%**			**51+%**

Caseworker visit data submitted in November 2008 showed that, while we made improvements, we did not reach our goal of 22%; however we did significantly increase worker contact in placement settings.

We have increased focus and discussions on worker visits in district supervision and at Division wide meetings. We believe that once workers get comfortable with the new technology which will enable caseworkers to complete work while in the field and once more districts implement Teaming we will reach our caseworker visit goals.

As instructed by ACYF-CB-PI-08-03 we will submit revised baseline data for caseworker visits that include children who have run away. This report will be submitted by the due date in December 2009.

Youth Justice Services

In addition to child protection and child welfare services, the department delivers youth justice services. Youth in custody as delinquents are placed in the Commissioner's custody. In addition, youth on juvenile probation are supervised by DCF social workers. Child protection, child welfare and youth justice services are consolidated and integrated in the state. In general, the same staff, the same service providers and the same placement resources serve all of our populations.

As part of Family Services central office, the Youth Justice Unit provides policy, training, and casework practice focus within the Division. The unit manages community-based Balanced and Restorative Justice programs that serve DCF youth who have been adjudicated delinquent. The Youth Justice Director oversees Woodside Juvenile Rehabilitation Center, the State's 28-bed secure juvenile center.

Unit staff is responsible for staffing the governor-appointed State Advisory Group required by the Juvenile Justice and Delinquency Prevention Act.

We are currently engaged in several enhancements to our probation practices, our secure facility, as well as alternatives to detention including:

- Review of program models at the Woodside Juvenile Rehabilitation Center;
- Use of the Youth Assessment and Screening Instrument (YASI) on all probation cases and possibly all cases in which the intervention is based on child behavior;
- Family Group Conferencing, a restorative model for intervention;
- The identification, implementation and evaluation of community evidence-based interventions targeted for the juvenile justice population;
- Further development of restorative justice interventions in the community;
- Continued development of new policy and practice guidelines for the supervision of probation; and
- Quality assurance and programming at the secure juvenile center.

We have several additional projects that are in the planning stages including,

- Business process analysis to develop a documentation case management system for Woodside;

- Training curriculum development for Woodside staff; and
- Enhancements to Balanced and Restorative Justice (BARJ) services provided by our BARJ community-based provider system.

Transfers to the Youth Justice System

In Vermont, Family Services is both the child protection system and the juvenile justice system, so no children or youth are transferred from one system to the other.

If, due to the commission of a delinquent act, a case type changes from custody for abuse and/or neglect to custody for delinquency, the child is likely, in most districts, to continue to have the same caseworker and will have the same case plan with delinquency related factors added. The Youth Justice system's philosophy of rehabilitation, family work, balanced and restorative justice and, for those in custody, permanency is not separable from the philosophy of the child welfare system.

During this reporting period 35 children who were in DCF custody for either child abuse/neglect or because they were beyond the control of their parents were adjudicated delinquent.

Indian Child Welfare Act

Vermont does not have a federally recognized Indian Tribe within its borders. The department promulgated policy regarding compliance with the Indian Child Welfare Act in September 1998.

Vermont's new Juvenile Proceedings Act, effective January 1, 2009, requires social workers to provide information required by the Indian Child Welfare Act at the Temporary Care Hearing which is held within 72 hours of custody. Vermont's adoption statute also supports compliance with the Indian Child Welfare Act. Adoptive parents must disclose a child's membership in a tribe when they file a petition to adopt.

In partnership with the University of Vermont, Family Services developed a child welfare project with the Abenaki tribe, a non-federally recognized tribe based in northwestern Vermont. Project staff works closely with the Abenaki nation to increase the cultural competence of our social workers and foster parents and other service providers who work with tribal members. In particular, the project strives to ensure that Abenaki children in state's custody retain their ties to their tribe and native traditions.

In addition, the project seeks to increase the number of Abenaki families available to foster children of the tribe. Through the project communication and collaboration has increased through a variety of vehicles, including training.

Timely Interstate Home Studies

Homestudies Exceeding 75 days		
2007	2008	Reasons for Extension
4	7	• Adoption cases where child is already placed in VT in approved relative foster care on ICPC so the incentive to complete the study and required checks is decreased for the family. • Adoption subsidy negotiation with other states.

Most of these circumstances are driven by families who are dealing with the numerous logistical and emotional transitions that occur when family constellations change. While we provide reminders of requirements, we must be mindful of the human aspect of this process as well.

To date, no actions have been taken by the federal government to resolve the need for extended compliance periods in Vermont.

Adoption Finalizations

Year	Finalizations
2004	218
2005	151
2006	165
2007	213
2008	180

Adoption Incentive Payment

In the event we qualify for an adoption incentive payment we will use it for adoption promotion and support.

Adoption Subsidy

The adoption subsidy is administered centrally and at the time of this report serves approximately 1,702 children. This program continues to grow, both in numbers served as well as the average cost per subsidy.

Adoption subsidies are available for children in custody who have a special need that make it unlikely that any family would adopt the child without the subsidy. Also, children who are SSI eligible are eligible for adoption subsidy. While most children in custody qualify for an adoption subsidy, not all families will necessarily receive a monthly maintenance payment. The needs of the child and the ability of the adoptive family to meet those needs are taken into consideration.

Adoption Permanency Supports

For a number of years, we have used IV-B Subpart II and Medicaid funds to provide post-adoption services, contracting with agencies around the state. Currently we have contracts with eight agencies.

Consistent with the Intercountry Adoption Act of 2000, post-adoption services are available to any family needing them, not just children adopted through DCF. Post-adoption services for children formerly in custody are funded primarily by Medicaid under the Rehabilitation Option.

Family Services have also benefited from an Adoption Opportunities grant. With funds awarded starting in 1998, DCF and Casey Family Services formed a post-adoption consortium. The consortium continues its work after the conclusion of the grant. The Vermont Post-Adoption Consortium comprised of agencies and groups from around the state that have joined together for a common purpose: to support Vermont's adoptive families.

The Consortium's goals are to:

- Help families further their knowledge of topics related to adoption.
- Build the capacity of professionals, including educators, social workers, case managers, and therapists to address adoption-related issues.
- Provide adoptive families with access to quality adoption support services.
- Post adoption services are listed in the Casey Family Newsletters and on the DCF website. Services available to adoptive families in Vermont can include:
- Information and referral
- Advocacy and assistance with school and community issues
- Support and discussion groups
- Reading and other educational materials

- Respite services
- Counseling
- Intensive supports

The unique value of the Consortium is that it brings together agencies and individuals from around the state who have experience and expertise working with adoptive families. This enables families to make informed decisions regarding services and supports. The Consortium was able to secure state general funds this year to continue their work. There are no changes in this area.

Intercountry Adoptions

Vermont had no children who were adopted from other countries enter State custody in FFY 08.

DISASTER PLANNING

The Agency of Human Services Emergency Response Planning Team has been meeting for three years in order to assess, organize and plan the Agency's divisional responses in the event of an emergency event, health crises or other significant incident. The Family Services Division has one representative assigned to the Human Services Emergency Response Planning Team.

The Family Service liaison is responsible for assuring that the division develops, trains for and drills to an emergency response plan that focuses on sustaining the critical functions of the division.

The FSD representative sits on a department-wide committee that is developing a Continuity of Operations Plan (COOP) for the department that in turn will be integrated into an agency COOP. This too will be trained for and drilled to.

Currently this committee is honing down the list of this year's activities/goal after our initial efforts to develop COOPs. Top on the list is the second phase of COOP development that involves linking the critical functions with the capabilities of IT along with firming up the alternate sites. One other priority goal is to plan the training and drill schedule for next year.

In April we had a good chance to practice some COOP activation when all of AHS had a very serious computer virus. Our COOP was updated to reflect some of our fall back processes developed during the incident.

Recently, activity has focused on the H1N1 virus and the division's capacity to respond to an anticipated threat this fall. This will be an ongoing exercise this summer.

Both the work on the COOP and the development of the Emergency Response Plan entails a commitment on the part of the department that Family Services staff will be familiar with and understand the expectations and processes around the critical functions outlined in the divisional COOP and Emergency Response Plan. There are plans in place to educate foster families, residential providers and child care providers about the Emergency Response protocols and to outline their responsibilities for children in care in an emergency. The DCF/AHS COOP will be finalized in July 2009 and the next steps of dissemination, training and drilling will be developed over the next several months.

The COOP planning has been moved to the district level with two of our districts taking the lead as pilots. Our Family Services liaison will review the products.

We are part of a New England committee that is sharing individual state plans. We have copies of a few neighboring states to help enhance our planning. In December 2008 we participated in a New Engalnd conference call with other planners and committed to continue to do this. Here are the topics we discussed:

- Temporary placements in foster homes or residential facilities out-of-state.
- Best method for obtaining prescriptions for foster children when placed out-of-state.
- Identifying key child welfare administrators/staff for communications at the time of a disaster.
- Providing help with child visits in their foster home or residential facility.
- Exploring the idea that another state could be a backup for Bridges, New Hampshire's SACWIS.
- Reviewing information about how child welfare agencies in Louisiana, Texas and California have responded to their disasters.
- Sharing continuity plans and developing table top exercises in the New England States so we might integrate and benefit from all of our planning work.

The attached COOP lays the groundwork for the State Disaster Plan. Critical functions have been identified and address the requirements of Section 422(b)(16).

VERMONT CHAFEE FOSTER CARE INDEPENDENCE PROGRAM (CFCIP)

Vermont administers the Chafee Foster Care Independence Program (CFCIP), called the Youth Development Program, through the Family Services Division. Our most recent summary of activities conducted under the 2004-2009 plan contains the foundation for efforts moving forward in the current plan. The current administrative structure for the program will continue. The focus of this plan will be on evolutions in service activities to target specific outcomes, and measures to track application of service activities and youth outcomes.

These efforts are already underway and are coordinated to address the requirements of the Chafee National Youth in Transition Database (NYTD) Final Rule, the Fostering Connections to Success and Increasing Adoptions Act of 2008, and the Vermont Youth in Transition Law (Act 74).

Outcome Areas of Focus and Services

Financial Self-Sufficiency

- Delivery of a best practice, competency based financial literacy curriculum component in Youth Development Program life skills classes;
- Establishment of a matching funds savings program for adolescent foster youth;
- Tracking of former foster youth workforce experience through state Department of Labor statistics on employment participation and wages;
- Breaking out current Youth Development Program participant's employment participation in order to identify patterns and make program adjustments to improve outcomes.

Educational Attainment

- Track High School completion rates to identify patterns and correlate to associated department efforts to achieve educational stability
- Act 74, the Youth in Transition Law, provides continued funds for youth who have not graduated from high school but would benefit from remaining in their current living situation and associated supports to do so.
- Explore application of Casey Family Services "A Road Map to Learning, Improving Educational Outcomes in Foster Care" in coordination with the Vermont Foster and Adoptive Family Association and Vermont Surrogate Parent Program.
- Expand recruitment and participation in post-secondary education through targeted participation of middle and high school foster youth in Trio-funded career exploration and development programs administered through the Vermont Student Assistance Corporation and participating schools
- Track post-secondary education and training enrollment and completion rates for former foster youth
- Identify barriers to successful completion and promising practices that support retention and graduation through existing education support group (includes VSAC, state colleges, youth development committee, College of St. Josephs STEP program for former foster youth, Northlands Jobs Corps, state network of student support services professionals)

Education and Training Vouchers

Vermont continues to administer Chafee ETV in partnership with the Vermont Student Assistance Corporation through a sub-recipient grant. This partnership assists youth in accessing financial aid for post-secondary education and training through this funding but also ensures receipt of other needs-based funds and funds targeted at former foster youth. Youth also receive considerable support in the complex process of financial planning for college from VSAC outreach counselors. This partnership has resulted in a substantial increase in the number of eligible youth attending college and training, while highlighting the limitations of the funds. The challenge for this partnership going forward is to find ways to address loan indebtedness as a barrier to what has been an increasingly successful recruitment effort.

Positive Connections with Adults

Positive connections with caring adults are an emphasis across the department's work with children and families, but for some older youth in the foster care system, it presents a particular challenge. In order to address this challenge, the department is exploring changes to the case planning process for foster youth at or approaching their 16th birthday. As a part of that planning process, the youth would participate in an assessment using eco-mapping and genograms that would identify the network of caring adults in the youth's life. Youth who have few unpaid adults in their world, would be provided family finding services and other resources to help them find adults to assist them. This important effort will be linked to subsequent plan reviews and culminate in the transition plan.

Vermont's Act 74 provides financial support for youth ages 18-21 to remain in or enter the home of a caring adult to help them transition successfully. This support is provided to youth aging out of care or who were in care 5 or more years.

Health Care

DCF Family Services has been and will be working on several fronts to address healthcare needs of youth exiting foster care. Act 74 established a Youth in Transition Leadership Team (described in previous APSRs). This group has identified access to healthcare as a critical need for at-risk youth in transition and is participating in a combined effort to identify "youth friendly" medical homes, expand Medicaid coverage to this population to ensure coverage, and to identify methods to encourage youth to participate in an adolescent "well child" visit to establish a medical baseline and a provider relationship. Accessing healthcare, regardless of Medicaid eligibility, is very low.

For youth in foster care, participation in the "well child" process and connection with a medical home, will become a part of the preparation for the transition plan for emancipating youth and will be linked to plan reviews on the same schedule as the connections work described above.

Experience of Homelessness

Affordable housing for youth is a great challenge; it is also affected by regional variations in the supply of affordable housing. Places where the cost of housing is lower tend to have less employment. Former foster youth experience barriers to both employment and housing.

Family Services has both a contractual and collaborative relationship with the statewide coalition of runaway and homeless youth programs. Both the division and the state Youth in Transition Leadership Team works the coalition on this issue. These groups are working with the state housing authority and the private sector to look for promising efforts in other areas of the country with similar characteristics.

National Youth in Transition Database (NYTD)

DCF Family Services has been working on the requirements for the NYTD initial survey and cohort outcome studies. We have had regular contact with our federal partners and have received technical assistance. The federal consultants have indicated we are on schedule with required tasks and are receiving necessary support from our state IT staff. We are continuing these efforts by attending the federal NYTD conference in Washington. We anticipate being fully prepared to provide this data.

STAFF DEVELOPMENT AND TRAINING PLAN

The Division's Leadership Team is responsible for the development and delivery of comprehensive education and training programs for agency staff and foster/adoptive parents. This is accomplished in collaboration with the University of Vermont (UVM) Department of Social Work through our Child Welfare Training Partnership (CWTP). Additional training for agency staff is developed and provided through the Agency of Human Services, the Department for Children and Families new Human Resources Division, and through the Vermont Department of Human Resources Summit Learning Center.

Long-term Training

Our Child Welfare Training Partnership with UVM supports up to five current child welfare workers/supervisors and up to five potential employees to obtain a Master (MSW) or Bachelor of Social Work (BSW) degree at UVM each year.

Employees are selected based on experience in public child welfare, job performance and commitment to children and families. They contract to work for the Department for 2-4 years following graduation, depending on the level of support provided. In the past several years, employees outside of the division have been allowed to apply for traineeships, with the understanding that upon their return to DCF employment, they will be performing duties that meet the definition of child welfare work.

One graduate from the Child Development Division has returned to work with programs that support high risk families with young children, including Part C of IDEA. This year, an Economic Services employee graduated, and has returned to take up a caseload of families jointly served by Family Services and Economic Services.

Potential employees are selected from a pool of applicants accepted into the MSW/BSW programs based on their work experience and suitability for and commitment to public child welfare work.

Bachelor of Social Work Program

Trainees must complete the first two years of their Bachelor's degree to be eligible for participation. This includes most of the General Education courses required by UVM.

Trainees receive in-state tuition and fees while they take the child and family series of courses in the second two years of the BSW program, as well as a small reimbursement for books and a living stipend. The BSW Social Work curriculum prepares students for generalist social work practice. Social work theory, knowledge, values and skills are taught through classroom and community field experiences.

The field experience occurs under the supervision of an MSW level child welfare professional in the department. Field instructors receive training and support from UVM staff as well as compensation for their time and efforts.

All BSW trainees are required to enroll in the course SWSS 200 Practice: Child Protection, Family and Youth Services during the fall semester of their junior or senior year. BSW trainees are required to complete a minimum of nine credits (3 of which must be SWSS 224: Child Abuse and Neglect), which will enhance the trainee's understanding of child welfare related issues.

Some examples of approved courses include courses focused on youth and delinquency (SOC 214), child psychology (PSYC 265, EDEC 63), crime (SOC 115, SOC 118, SOC 217) and chemical dependency (PSYC 259).

Every trainee in the BSW program is required to satisfactorily complete 12 credits in field education, which are tailored toward professional practice in child welfare. Child welfare trainees without prior DCF experience complete their senior year field practicum in a DCF district office under the supervision of a practicing MSW child welfare professional. BSW students who are DCF employees will embark on the BSW student field readiness assessment which determines whether these employee trainees will do their senior field practicum in a DCF district office or in another community based child and family centered agency.

Master of Social Work Program

MSW Trainees follow the typical course enrollment for the MSW program.

They are required to take specific electives and engage in field work relevant to working with children and families. MSW Child Welfare Trainees are required to enroll in the course SWSS 224: Child Abuse and Neglect as their first year elective. Advanced standing MSW trainees must take Child Abuse and Neglect in the fall semester prior to the spring in which they begin the MSW program full time.

All MSW students select a practice concentration at the end of the foundation year. Trainees are required to select the Social Work with Children and Families practice concentration with course and fieldwork geared toward working with children and families in a child welfare setting. Selection of this practice concentration does not preclude a student from enrolling in health and mental health-related course work.

MSW trainees must enroll in advanced elective courses that are approved by the faculty advisor and related to child welfare work. Students and faculty advisors collaborate to select appropriate advanced year electives during the spring semester of the foundation year. Often students choose to complete these electives in the summer session. Trainees are provided with tuition, fees and book reimbursement to take up to six credits of approved summer session courses.

MSW trainees must complete the analytical paper/portfolio requirement. For those students who choose to complete an analytical paper, an extra copy of the paper must be submitted to the Project Coordinator at the Department of Social Work. These copies are shared with the Human Resource Development Unit at DCF. In previous years, DCF management and staff have found the papers to be helpful to their work. Students who select the portfolio option are not required to share a copy of their work with the project.

Every trainee in the MSW program is required to satisfactorily complete 12 credits in field education, which are tailored toward professional practice in child welfare. Child Welfare Trainees without prior DCF experience complete their concentration year field practicum in a DCF district office under the supervision of a practicing MSW child welfare professional.

MSW students who are DCF employees complete their foundation field education at other agencies, which provide services to children and families. Concentration year placements take into consideration a student's strengths and interests in working with children and families.

Students must be in field practicum 225-300 hours per semester in order to receive a grade. Exact hours required per week are negotiated with the Field Instructor. Students placed at DCF typically complete 20 hours per week in the field.

Short Term Training for Employees

The short-term training program includes classroom and on-the-job training for new employees, core training required within 18 months of hire, district team based training focused on best practice, and supervisor training. All short-term training is carefully designed to support the Family Services Division mission, core principles, values and system outcome priorities.

The staff training program will be updated this year to reflect the evolving training needs arising as a result of the FSD Transformation Plan implementation. In June 2009, a group of stakeholders met for a day to identify the skills, knowledge and values needed to successfully implement differential response and continue the shift towards more family centered and strength based child welfare and youth justice practice already underway in Vermont. Participants in this visioning day were asked to answer the question: "What knowledge, skills and attitudes do Division staff need to be successful in their work?" Their answers fell into nine categories, not all of which are usually associated with training. Those which typically fall under the purview of training include:

- Basic Skills and Knowledge (e.g. sexual abuse, family systems, domestic violence);
- Case Planning (safety plan vs. case plan, services don't equal safety, measurable and behavioral goals, concurrent planning, etc)
- Cross-Cutting Skills & Strategies (evidence-based practice, motivational interviewing, engagement skills, family safety planning, etc)

Other categories focused on our systems and our values and beliefs, which training can help impact when combined with organizational attention. These were:

- Ethics (awareness of power dynamics, quality assurance)
- Values (valuing permanency, kin, respect, family expertise, transparency, etc)
- Health and Well-Being (learning culture, self-reflection, good self-care, etc)
- Continuous Learning Environment (organizational culture, reward and recognition, leadership, open communication, group supervision/teaming, etc)
- Training System (training motivates and excites, protected time for learning, celebrate effective practice, etc).

Court Related Short Term Training

The Fostering Connections to Success and Increasing Adoptions Act of 2008 permits states to claim Title IV-E training reimbursement for certain short-term training of current and prospective relative guardians and for court and related personnel who handle child abuse and neglect cases. We have added these trainings to our training matrix and have amended Vermont's Public Assistance Cost Allocation Plan (PACAP) as required.

In June 2008, the Office of the Defender General conducted a three-day Criminal Defense Institute with workshops for court and related personnel who handle child abuse and neglect cases on June 3-5, 2009. They will request the allowable Title IV-E reimbursement once a Memorandum of Understanding has been developed with the DCF business office. Please see Attachment A for this training agenda.

New Employee Training

New employees complete the NEET (New and Existing Employee Training) 101 Program during their first six months on the job. NEET 101 will include 2 weeks of training offered twice a year. It will focus on Basic Skills and Knowledge, Policy and Procedure, Case Planning, Ethics, Values and Cross-Cutting Skills and Strategies. Working with case scenarios through the two weeks, participants will learn and practice skills and knowledge necessary for entry level child welfare and youth justice practice.

New employees will complete NEET 201 within one year of hire. NEET 201 will be offered one week a year. It builds on the skills and knowledge acquired in NEET 101 and in on the job training.

NEET 201 will explore the impact of macro issues, such as substance abuse, domestic violence, and poverty, on parenting, and deepen participant's confidence with Cross-Cutting Skills and Strategies.

Field Practice Manual

The Field Practice Manual outlines a structured program of reading, shadowing exercises, interviewing activities, self reflective activities, and review of policy and statutes. It provides a structured on-the-job training program which links with the NEET programs. Supervisors will receive additional training in the effective use of the manual in 2009, as well as an orientation to the new NEET programs.

A member of the CWTP training team meets with each new employee and their supervisor within the first month of hire to review the manual, develop an individual professional development plan, and ensure the new employee is registered for the next NEET series.

All NEET courses are offered by CWTP staff in collaboration with FSD staff and community partners, and hired subject experts. The following charts illustrate topics which will be covered in training, but will be woven throughout the two week curriculum using a case scenario framework. For that reason, they cannot be seen as stand alone courses but rather as part of a comprehensive experience.

New and Existing Employee Training 101 (NEET)

Topic	Syllabus	IV-E Functions Addressed	Duration	Est. Cost	Allocation
Setting the Context	Setting child welfare and youth justice within its historical context, Overview of law, policy, mission, practice principles. Exploration of ethics and values. How to access necessary information.	Placement of the child; Development of case plan for children in foster care/ at risk of foster care; Permanency planning; Case management and supervision; Referral to service, social work practice, family-centered practice.	5 hours		100% IV-E
Child Abuse & Neglect	Identify risk and protective factors and review the research on child abuse and neglect. Learn to build solutions with mandated clients. Explore safety plans for children and youth to avoid the need for foster care. Overview of procedures to initiate emergency custody for a child who is unsafe.	Preparation for judicial determinations; placement of the child; development of case plan for children at risk of foster care; case management and supervision, social work practice, family-centered practice.	5 hours		50% IV-E 50% CAPTA
Sexual Abuse of Children and Adolescents	Understand a range of emotional and behavioral outcomes of sexual abuse. Explore dynamics and characteristics of incestuous families. Identify characteristics and behavioral changes of children and youth who have been sexually abused. Learn healthy and helpful ways to work with children and youth who have a history of being sexual abuse victims.	Preparation for judicial determinations; Placement of the child; Development of case plan for children in foster care and at risk of foster care; Case management and supervision; Referral to service, social work practice.	5 hours		100% IV-E
Engagement Skills	Practice reflective listening, solution focused practice, motivational interviewing. Working with voluntary clients and open family cases. Learn to develop plans which focus on strengths and exceptions, leading the client to identify hidden resources and past successes. Practice the language of open-ended solution focused questions and develop a plan for ways to engage families with these tools.	Development of case plan for children in foster care and at risk of foster care; Case management and supervision; Referral to service, social work practice, family-centered practice.	5 hours		100% IV-E

Topic	Syllabus	IV-E Functions addressed	Duration	Est. Cost	Allocation
Assessment Skills	Understand the difference between assessing danger, safety and risk. Practice interviewing using motivational interviewing, solution focused casework. Understand and practice using SDM and YASI tools as they inform case planning.	Development of case plan; case management and supervision; permanency planning; referral to service, social work practice, family-centered practice.	5 hours	$300	50% CAPTA 50% IV-E
Motivational Case Planning	Learn to apply change theory in case planning. Explore Family Safety Planning and Family Group Conferencing to effectively engage families in planning. Write behavioral, achievable targeted case plans. Explore differences and similarities in case planning for different types of cases.	Development of case plan; case management and supervision; permanency planning; referral to service, social work practice, family-centered practice.	5 hours	$300	100% IV-E
Working with Youth and Families	Develop strategies for working with youth and their families. Understand how family centered and child/youth focused practice supports permanency for children/adolescents. Understand the value of lifelong connections for youth. Understand the outcomes for youth who age out of custody without safe, stable, loving and lasting relationships. Learn and practice using tools for youth led/youth driven lifelong connections work to eliminate the possibility of youth aging out of custody with no identified permanent, nurturing lifelong relationship.	Preparation for judicial determinations; Placement of the child for children in foster care; Development of case plan; Case management and supervision; Permanency Planning; Referral to service; social work practice, family-centered practice.	7.5 hours	$320	100% IV-E
Family Connections	Understand the importance of stability; secure attachments and the impact of separation/ loss on child/adolescent development. Understand the importance of family connections, and how to support kinship placements. Identify strategies for concurrent permanency planning for/ with children/adolescents. Identify stages of grief/ separation trauma for children/youth and parents adjusting to placements.	Placement of child; preparation for judicial determinations; permanency planning; case management and supervision; social work practice, family-centered practice.	5 hours	$395	100% IV-E

Topic	Syllabus	IV-E Functions Addressed	Duration	Est. Cost	Allocation
Child & Adolescent Development and Attachment	Increase knowledge of the latest research and understanding of child development from infancy through adolescence. Understand how the concepts of risk and resiliency affect the healthy development of children and youth. Discover concrete tools that you can use to support children, youth and families struggling with attachment issues. Learn the impact of trauma on the development of children and youth.	Preparation for judicial determinations; Placement of the child; Development of case plan for children in foster care/ at risk of foster care; Permanency planning; Case management and supervision; Referral to service	5 hours	$285	100% IV-E
Safety Planning	Learn to build short and long term safety plans around specific risks to children and young people that will avoid the need for placement, or support reunification.	Development of case plan, permanency planning, case management and supervision, referral to service; social work practice, family-centered practice.	5 hours	$210	100% IV-E
Working with the Courts	Understanding when the authority and oversight of the court is needed to avoid the need for placement or to achieve placement. Review the legal process for child protection and youth justice cases. Practice court testimony with a focus on permanency. Learn the principles of Balanced and Restorative Justice. Develop strategies for supervising youth on probation. Practice targeting intervention for greatest likelihood of success.	Preparation for judicial determinations; Referral to services; Development of the case plan for children in foster care or at risk of foster care; Case management and supervision	5 hours	$210	80% IV-E 20% JABG
Permanency, Connections and Adoption	Understand the different permanency options including reunification, adoption, guardianship and permanent guardianship. Learn the value and the process of finding family and fictive kin for children and youth in the child welfare system. Learn the basics of family group decision making and family group conferencing as a tool to support safety, permanency, well-being and law abidance for youth.	Preparation for judicial determinations; Placement of the child; Development of case plan for children in foster care/ at risk of foster care; Permanency planning Case management and supervision; Referral to service; social work practice, family-centered practice.	5 hours	$210	100% IV-E

NEET 201

Subsequent to NEET 101, but while in trainee status during their first year of hire, new employees complete the following short term classroom training. All are coordinated by the CWTP. Subject experts are hired for some, and experts with the Department provide others in collaboration with CWTP trainers. Each is offered once annually, except that *Understanding Substance Use Disorders, Treatment and Family Recovery: A Guide for Child Welfare Professionals* is completed online while the employee is in the NEET program.

Topic	Syllabus	IV-E Functions Addressed	Duration	Est. Cost	Allocation
Impact of poverty on parenting	Understand the impact of generational poverty on parenting and on children in the child welfare system. Explore class values and attitudes, and practice cultural competence with class differences.	Preparation for judicial determinations; Placement of the child; Development of case plan for children in foster care/ at risk of foster care; Permanency planning Case management and supervision; Referral to service; social work practice, family-centered practice.	5 hours	$210	100% IV-E
Understanding Substance Use Disorders, Treatment and Family Recovery: A Guide for Child Welfare Professionals	This tutorial will provide a primer on alcohol and drug addiction, substance abuse treatment and recovery, enhancing treatment readiness and treatment effectiveness, as well as discuss cross-system communication and collaboration, as well as provide contact information for other national resources. Provided online by NCSACW: http://www.ncsacw.samhsa.gov/tutorials/index.asp	Referral to service; placement of the child; preparation for judicial determination; development of the case plan for children in foster care and children at risk of foster care; case management and supervision; permanency planning; social work practice.	National Center on Substance Abuse and Child Welfare 10 hours	Free	Not applicable
Substance abuse and parenting	Explore impact of the use and abuse of various substances on parenting and on development of young people. Explore treatment resources available. Practice motivational interviewing. Working with drug treatment courts.	Preparation for judicial determinations; Placement of the child; Development of case plan; Permanency planning Case management and supervision; social work practice, family-centered practice	5 hours	$1200	100% IV-E

Topic	Syllabus	IV-E Functions Addressed	Duration	Est. Cost	Allocation
Advanced engagement and assessment Skills	Practice solution focused and motivational interview skills. Review videotapes of self and others interviewing to deepen skills and understanding.	Development of case plan; case management and supervision; permanency planning, referral to Service; social work practice, family-centered practice.	5 hours	$1200	100% IV-E

SPECIALIZED TRAINING

Specialized training is offered once annually. Staff choose to take specialized training most closely related to their work responsibilities and interests. Some of it is provided in collaboration with other groups, especially where it is in the form of a one or two day conference with multiple simultaneous workshops. This is all short-term training delivered in a formal classroom setting. All the workshops below are designed for child welfare social workers, supervisors and managers. Family Time Coaching will be delivered regionally and required for all staff, since this is a new model being implemented around the state.

Course	Syllabus	IV-E Functions addressed	Provider	Duration	Est. Cost	Allocation
Casework/ Reflective Supervision Training Groups	Monthly groups, designed to facilitate professional growth through collaborative discussions regarding prevention of foster care, case planning, facilitated case consultations, family group conferencing, permanency, case management and the work of Child, Youth & Family workers.	Referral to service, placement of child, development of case plan, case management and supervision; social work practice, family-centered practice.	CWTP trainers	2 hours each month	free	100% IV-E
Vermont Foster and Adoptive Families Association Annual Conference	This conference allows Family Services staff and foster/kin/adoptive families to learn together about the wide range of issues effecting children and youth in foster care, and promising approaches to improve outcomes for these children and youth.	Referral to service, placement of child, development of case plan, case management and supervision	Hired subject expert and CWTP trainers	12 hours	16,650	Child welfare supervisors: 100% IV-E Others have own funding sources.

Course	Syllabus	IV-E Functions addressed	Provider	Duration	Est. Cost	Allocation
Vermont Coalition of Residential Programs Conference	This annual conference invites Family Services staff to join staff from Vermont's residential programs to learn about a range of issues related to youth in group homes, including building and maintaining family connections, permanency and after care planning.	Referral to service, placement of child, development of case plan, case management and supervision	DCF staff, CWTP trainers and hired subject experts	5 hours	$1500	100 % IV-E
Forensic Interviewing	Practice forensic interviewing for assessment social workers and supervisors	Preparation for Judicial determinations, placement of child, referral for services, development of case plan, case management and supervision	DCF staff, CWTP, hired subject experts	5 hours		50% CAPTA 50% IV-E
Juvenile Services Day	Understand the CRC process; probation management and VOPs; probation detention; Woodside 8 day hearings; juvenile restorative probation programs and the ICJ/ICPC; family-centered work with delinquents in custody and on probation.	Referral to service, placement of child, development of case plan for children in foster care and at risk of foster care, case management and supervision; social work practice, family-centered practice.	DCF staff and CWTP	5 hours	$500	50% IV-E 50% JABG
Child Protective Services Day	This one day conference will offer several workshops designed to advance experienced workers skills in various aspects of case planning and working with families to prevent placement, safely reunify or achieve other permanency. Specific topics will be developed with a group of experienced CPS workers.	Referral to service, placement of child, development of case plan for children in foster care and at risk of foster care, case management and supervision; social work practice, family-centered practice.	DCF staff, CWTP and hired subject experts	5 hours	$500	100% IV-E
Supervising Youth with Sexually Offending Behaviors in Community	Understand the behaviors, emotional indicators and dynamics of youth with sexually offending behaviors. Know how to work with adolescents, family members, victims and the community in case planning to prevent relapse.	Referral to service, placement of child, development of case plan for children in foster care and at risk of foster care, case management and supervision	Hired subject expert and CWTP	5 hours	$1200	50% IV-E 50% CAPTA
Teaming Symposium	Districts practicing Teaming will be invited to share their experiences with each other, learn from each other, and participate in related workshops	Case management and supervision, development of case plan, placement of child, referral to services, social work practice	DCF staff, CWTP	5 hours	$300	100% IV-E

Course	Syllabus	IV-E Functions addressed	Provider	Duration	Est. Cost	Allocation
Supporting Parents with Disabilities	Identifying laws that relate to parents with disabilities; Identifying potential accommodations; local resources; parent support strategies; indicators of progress; and developing a coordinated plan for integrated services.	Referral to service, development of case plan, case management and supervision, social work practice	Hired subject expert	1 training in each of the 12 districts	$1.350 per training	100% IV-E

COURT RELATED SHORT TERM TRAINING

Course	Syllabus	IV-E Functions addressed	Provider	Duration	Est. Cost	Allocation
Child Abuse and Neglect	Unknown at this time but expected to cover the IV-E topics below.	Preparation for judicial determination; placement of the child; development of case plans for children at risk of foster care or in foster care; case management and supervision; and communication skills required to work with children and families.	Hired subject expert	6 hours	$2,000	55% IV-E 45% Defender General
Three Day Annual Juvenile Training	In planning stages but will cover IV-E functions	Preparation for judicial determinations, placement of the child; development of case plans for children at risk of foster care or in foster care; case management and supervision; and communication skills required to work with children and families, including cross-cultural communication.	Hired subject experts	21 hours	$14,387	60% IV-E 40% Defender General
Judicial Branch GAL Training	Overview of Vermont Judicial system, juvenile law and policy and child welfare practice; role of GAL in court CHINS case; understanding children and families; cultural competency; conflict resolution and principles of collaboration; ethics and professionalism	Cultural competency; child abuse and neglect; Permanency planning General substance abuse; domestic violence, and mental health issues related to children and families in the child welfare system,		32 hours X 3 events per fiscal year	$10,000	60% IV-E

Advanced Seminars

CWTP and Family Services staff offer advanced seminars each year, and experienced staff are encouraged to attend at least three annually. Some of these seminars are regional, as in small group practice forums focused on family centered practices, while others are statewide. Advanced seminars will be developed in response to assessed need, but are likely to include Motivational Interviewing, Solution Focused skills, and Safety Planning with special populations. They will be classroom training, offered by DCF and CWTP staff and hired subject experts.

District Team-based Training

The Child Welfare Training Partnership (CWTP) increasingly provides targeted, skills-based training and consultation for teams in districts. This model has proven both popular and effective in enhancing the professional development of FSD staff, supporting efforts at systems change, and spreading knowledge and practice skills based on evidence.

Each district has an assigned CWTP training coordinator, who works with staff in the district regularly. Topics covered depend upon the needs of the district staff, but may include:

- Team training and team building; strategic planning
- Family Safety Planning and Family Group Conferencing program development and case consultation
- Enhancing Parent-Child Family Time
- Time management

Delivery of training and consultation services is mutually agreed upon by CWTP, the FSD Operations manager, and each district. Community partners and other DCF department staff are invited and welcome at the discretion of the district. For some topics, we may decide it more effective to deliver training for a half day every three months, to allow staff to learn and then practice new skills, in a developmental progression.

Supervisor Development Program

The Supervisor Role Design Workgroup is in the process of analyzing the changing role of supervisors in the current child welfare/youth justice system. They will be recommending training for supervisors during the coming year. CWTP staff will work with this group and the Transformation Steering Committee to meet identified training needs.

Additionally, CWTP will provide training to supervisors about the content of NEET and the role of supervisors in providing on the job training for employees

Training for IV-E System of Care Service Providers

Most of the above trainings are also available to foster parents, adoptive parents, workers in residential programs, case managers, state employees in other departments, and other community practitioners providing services to children in custody. Our training calendar is mailed annually to programs and practitioners who provide services to abused and neglected children around the state, and is available on the web.

Additionally, CWTP offers a Facilitator Training Series for community partners contracted as neutral facilitators of Family Safety Planning meetings and Family Group Conferences. These contractors are required to become certified facilitators. CWTP offers two day foundation training in Family Safety Planning and Family Group Conferencing twice annually (or as needed.) Additionally, practitioners are mentored by CWTP staff for a minimum of five meeting facilitation in each practice. When they are sufficiently skilled in each practice, they are certified by CWTP. To maintain their certification, they must attend advanced training annually. This is offered monthly by CWTP. The Facilitator Training Series is a combination of classroom and on the job training.

UVM Contract and Foster Parent Training Cost Allocation

For the purposes of determining the penetration rate to be applied to the UVM contract and foster parent training, the raw data for children in custody and on adoption subsidies, the combined number of Title IV-E eligible children in custody, and the number of Title IV-E eligible children on adoption subsidies is divided by the total population of custody children and total children on adoption subsidies, to determine the combined custody and adoptions Title IV-E eligibility rate (penetration rate). The penetration rate is then multiplied by the applicable rate: training (75%) and administration (50%).

Technical Assistance

In May we attended the Northeast and Caribbean Child Welfare Implementation Center's (NCIC) Regional Forum. The Administration for Children and Families (ACF) has expanded its Training and Technical Assistance Network by creating five new Child Welfare Implementation Centers designated to provide States with information, training, technical assistance, and research and consultation that supports efforts to improve child welfare systems and achieve sustainable change to improves outcomes for children and families.

The purpose of the forum was two fold:

- To learn about new opportunities provided by the NCIC for technical assistance and support to States in implementing and sustaining change; and

- To bring together child welfare leaders to provide opportunities to learn about proven strategies and tools for implementing and sustaining positive change and leadership. In addition we will learn.

Our plan is to work with the National Child Welfare Resource Centers on designing and implementing strategies to accomplish our goals and then to apply to the NCIC for assistance to sustain the systems change.

Primary Strategies	Technical Assistance
Developing and sustaining multiple approaches and guidelines on working with intact families	Initially, we are working with the National Child Welfare Resource Center on Organizational Improvement and The National Resource Center for Family Centered Practice and Permanency Planning. Northeast and Caribbean Child Welfare Implementation Center
Re-design role, tasks and performance expectations for supervisory staff statewide	National Child Welfare Resource Center on Organizational Improvement and the National Resource Center for Child Welfare Data and Technology.
Recruitment and Retention	An initial request for technical assistance has been made to the National Resource Center for Recruitment and Retention
Federal database assistance	National Resource Center for Youth Development
Youth leadership development	National Foster Club All Star for Youth Development Committee

QUALITY ASSURANCE

During the first round of the CFSR in 2001, Vermont was not found to be in substantial conformity with the quality assurance systemic factor. Our Program Improvement Plan focused on developing a district review process that mirrored the CFSR. We completed a full round of reviews for each of our 12 districts, including the development and implementation of program improvement plans.

The 2007 CFSR found that concerns over the lack of a formal statewide quality assurance system had been resolved. However, as part of our PIP, we are re-designing our quality assurance system to promote district ownership of the process and the outcomes at the district level. Our plan is to take what we learned from this first round of reviews and develop an enhanced process that utilizes the knowledge and expertise from all levels of the division. We plan to incorporate a CQI case review process into the supervisor's role as we define the responsibilities of supervisor's, also a PIP goal.

Current data and activities used to ensure quality are:

- Management reports are produced quarterly, allowing analysis of both case level and aggregate data.
- Training on the use of these reports to improve practice and outcomes is provided to managers and supervisors.
- We have developed a case review process that is used to inform practice on a local level and the performance data is aggregated statewide and used for PIP reporting. We are establishing our baseline date in July 2009/
- We are working with a national resource center to develop necessary systems to collect data as required by the new National Youth in Transition Database.
- In partnership with the University of Vermont, we are conducting an evaluation of client satisfaction with family centered meetings.
- We have centralized Title IV-E eligibility determination and review, and have successfully worked with the courts to substantially improve compliance with the required findings. We passed another primary review for IV-E in spring 2008.
- A contractual checklist was added to the licensing review of residential service providers to ensure compliance with all of the contract requirements.
- Our Voiceover IP call center technology support supervisory listening and coaching during intake calls. In addition, all calls are recorded.
- We hold monthly meetings/conference calls to address issues of quality in our centralized intake function.
- We have begun to incorporate 360 degree input into performance evaluations.

COLLABORATION AND COORDINATION

The system of collaboration is very strong in Vermont. We utilize new and existing structures to meet federal requirements for consultation and coordination with stakeholders in developing and implementing provisions of the CFSP, CFSR and APSR.

There has been significant staff, community and stakeholder input into the development of our new organizational structures and practice approaches. This coordination and collaboration was accomplished through existing teams and committees, through the Juvenile Proceedings Act revisions, the CFSR process, through a Legislative summer study completed in 2007, through community forums and through the rule making process which culminated in May 2009.

The statewide assessment and PIP development process gave us an opportunity to get input from a wide variety of staff and stakeholders in issues important to us. We used the opportunity to determine progress made since the first CFSR, to further our work in family engagement and permanency for youth.

The CFSR data analysis was most helpful as it enabled us to focus on the data and determine the underlying story it tells about our strengths and challenges. We feel we are positioned well as we implement our PIP to improve outcomes for children and families.

We used several different mechanisms to solicit input for the Child and Family Services Review:

- The CFSR Advisory Committee;
- Focus groups;
- On-line surveys; and
- Existing reports and documents completed recently.

Throughout 2008 we held over 35 staff and community forums on centralized intake, differential response, the administrative review process and the child protection registry to create awareness, provide education and to solicit public input for the rule making process and to inform the APSR and this CFSP.

AVAILABILITY OF PLAN TO PUBLIC

This plan will be made available to any member of the public on request and will be posted on our public web page at: http://www.dcf.state.vt.us/.

CAPTA PROGRAM EMPHASIS

We have selected the following areas of emphasis for our CAPTA program.

Section 106 (a) (1) - Improving the intake, assessment, screening, and investigation of reports of abuse and neglect

Intake

Centralizing our intake function has increased focus on the quality of the information gathered and documented and the screening decisions based on this information. Overall, call volume has increased by about 11%. While there is no clear explanation for this increase, it is possible that this is related to an increased awareness of abuse and neglect and mandatory reporting responsibility and process connected to the public awareness campaign for Centralized Intake implementation. The larger change has been in the acceptance rate, which has increased by 45% over the same period of time during the prior year.

Implementation of a system change of this magnitude has required careful consideration of on-going quality monitoring. Each month, all staff is invited to participate in a meeting / conference call to discuss changes that are identified or challenges that are experienced.

Assessment, Screening and Investigation

As previously discussed, Vermont will implement differential response on 7/1/2009. Over the next year, we will continue to focus on supporting and improving our practice in this area.

Section 106 (a) (5) - Developing and updating systems of technology that support the program and track reports of child abuse and neglect from intake through final disposition and allow interstate and intrastate information exchange

In preparation for both Centralized Intake and Differential Response implementation, significant work was done to improve systems of technology to support best practice. While implementing Centralized Intake, the state adopted call center software and updated technology to support quality phone interactions with callers. In addition, the software allows for the recording of intake calls that has been useful in on-going quality assurance endeavors.

Improvements to the web-based computer application used to record intakes occurred prior to Centralized Intake implementation. These improvements have allowed for centralized recording and screening of intake and has supported the quick transfer of information to the local district that will provide the safety intervention.

We have created new codes in our legacy data system to delineate assessments from investigations and made other adjustments to ensure accurate NCANDS reporting in the new differential response environment.

Section 106 (a) (6) (A) - Developing, strengthening and facilitating training including training regarding research-based strategies to promote collaboration with the families

As previously described, the division contracted with the Children's Research Center to provide 12 days of training for staff in June 2009. This training incorporated elements of research-based assessment as well as family engagement strategies. These trainings are intended to integrate the elements of consistency and accuracy that comes with actuarial assessment instruments with family engagement structures we have been promoting in the state for the past several years. Our contract with them allows for additional sessions to be held in Fall 2009. We are planning for how we will incorporate the training into our regular training for new and existing employees.

FSD continues to devote significant investment of time and resources to training on safety mapping as well as concepts related to motivational interviewing and the trans-theoretical model of change. These trainings are critical to growing our knowledge base related to what engagement looks like on the ground level and equipping workers with the skills necessary to overcome initial fear and resistance when encountered with child protective services.

Section 106 (a) (9) - Developing and facilitating research-based strategies for training individuals mandated to report child abuse or neglect

During the past legislative session, much attention and focus was given to the area of child sexual abuse prevention and intervention. As part of the enacted legislation, the list of mandatory reporters was expanded to include all Agency of Human Services staff and contractors.

In order to equip these new reporters with the knowledge necessary to be informed reporters, the state is currently working to develop an e-training option for mandatory reporters that would allow them to access training immediately. We are currently exploring how to expand the audience for this training beyond AHS staff and contractors and is developing training that can be used by all mandatory reporters.

Identify the activities that the State intends to implement with its CAPTA State grant funds and any changes in activities for FY 2010

In FY 2009, the state used CAPTA grant funds to implement centralized intake and for the Commissioner's Registry Review Unit. The Registry Review Unit is responsible for providing independent due process to those who are being substantiated for child abuse and neglect prior to the person being entered into the Child Protection Registry. Also, we used funds to support a program to prevent abusive head trauma.

In June of 2009, CAPTA grant funds were used to train all staff on Structured Decision Making safety and risk assessment.

In the coming fiscal year, the state intends to focus use CAPTA grant funds in the following manner:

1. Training staff on Structured Decision Making safety and risk assessment.

2. Training staff on the concepts of safety mapping as a way of addressing identified danger.

3. Training staff (in collaboration with law enforcement and other external stakeholders) on Forensic Interview Skills and child sexual abuse investigations.

4. Continued funding of the Commissioner's Registry Review Unit in compliance with the statute requiring due process for alleged child abuse perpetrators prior to entry into the Child Protection Registry.

5. Continue to support prevention of abusive head trauma.

Describe any updates to the services and training to be provided under the CAPTA State grant as required by Section 106 (b) (2) (C)

The state implemented Centralized Intake for reporting concerns of child abuse and neglect. From April of 2008 to present, stakeholder groups were trained about centralized intake and this change as it relates to mandatory reporting. Over 1,000 people were trained through the state.

Centralized Intake staff were trained on how to take intakes in July of 2008 and new employees in the Centralized Intake Unit have been trained as they have come into the unit. Most notably, in December of 2008, several temporary workers were hired into the unit and another group training on statute, policy and procedure occurred.

See previous sections for further information

CHANGES IN STATE STATUTE RELATED TO CAPTA

In May of 2008, Act 168 was signed into law. This Act resulted in the implementation of differential response, and a tiered Child Protection Registry, both on 7/1/2009.

In addition, in March of 2009, Act 1 was passed. This law is focused on strengthening prevention and investigation of child sexual abuse. Embedded in this legislation was a provision that brought Vermont into compliance with the CAPTA's requirement that the

state have legislation that allows for the sharing of information in near fatality situations in addition to fatalities.

GOALS ~ OBJECTIVES~ BENCHMARKS

The following pages summarize our goals and objectives for our five-year plan. Progress towards goals will be evaluated annually in the APSR.

SAFETY: FAMILIES RECEIVE FAMILY-CENTERED SERVICES AND SUPPORTS AT THE EARLIEST OPPORTUNITY TO REDUCE RISK OF MALTREATMENT AND NEED FOR CUSTODY.

S1: Design and implement multiple approaches to reports of child abuse and neglect.

Action Step	Benchmark Date	Completion Date	Measure
Participate in the New England Breakthrough Series Collaborative on Safety and Risk Assessments		September 2010	Meetings attended and progress reported in PIP
Workgroup continue to consult with NRCCFCPP and NRCOI to develop differential assessment strategies, guidelines and training for child protection services.		September 2009	Workgroup meets and progress reported in PIP
Division Leadership Team reviews recommendations produced by workgroup.		July 2009	Product reviewed by DLT
Develop training for staff related to changes in practice and policy related to differential assessment strategies.	July 2009	September 2009	Trainings developed
Work with IT to develop initial and ongoing technology to support differential assessment strategies.	July 2009	July 2010	Technology developed
Staggered implementation of differential assessment strategies.	July 2009	December 2009	Implementation reported in PIP
Submit application to the NCWIC for assistance in sustaining differential assessment strategies.		NCWIC 2nd RFA	Application submitted
Develop qualitative and quantitative CQI process of differential assessment strategies.	January 2010	September 2010	Process developed and reported in PIP

S2: Design and implement multiple approaches to reports of child abuse and neglect.

Action Step	Benchmark	Complete	Measures
Analysis of data/information compiled in initial CQI process.	April 2011	December 2011	Analysis completed and reported in PIP
Reconvene original workgroup to review CQI information and recommend practice/policy changes if necessary.	January 2012	July 2012	Workgroup recommendations reported in PIP
Continue CQI process to inform practice, policy and service delivery. Modify as appropriate.	January 2012	June 2014	CQI reports available

PERMANENCY AND WELL-BEING: FAMILIES AND CHILDREN RECEIVE COMPREHENSIVE, STRENGHTS BASED SERVICES THAT PROVIDE THEM WITH SUCCESSFUL LONG-TERM SAFETY, PERERMANCY, WELL BEING AND LAW ABIDANCE

P1: Design and implement the Effective Casework Model for all case types

Action Step	Benchmark	Complete	Measures
Continue to work with NCROI to develop the Effective Casework Model	July 2009	December 2009	Workgroup progress reported in PIP
Utilize existing forums to review, process and adopt Effective Casework Practice	Summer/Fall 2009	December 2009	Minutes of reviews reported in PIP
Develop practice guidance	Jan 2010	Sept 2010	Guidance developed
Revise policy to reflect Effective Casework Model		Jan 2010	Policies revised and posted to website
Revise Field Practice Guide to reflect Effective Casework Model	October 2010	June 2011	Field Guide revised
Develop hiring protocol to ensure new hires are aligned with ECM	Oct 2010	April 2011	Hiring protocol developed and utilized in hiring

P2: Re-design role, tasks and performance expectations for supervisory staff statewide			
Action Step	**Benchmark**	**Complete**	**Measure**
Continue to work with NRCOI and NRC-CWDT to design the role, tasks and expectations for child welfare/juvenile justice supervision	July 2009	December 2009	Workgroup progress reported in PIP
Utilize existing forums to review progress and gather input	Summer/Fall 2009	December 2009	Minutes of reviews reported in PIP
Revise supervisory policy to reflect new role and expectations.		Jan 2010	Policies revised and posted to website
Develop initial and ongoing training and support necessary to support quality supervision.	Jan 2010	June 2010	Training/support developed
Implement training and support necessary to support quality supervision.	June 2010	Ongoing	Ongoing training and support reported in PIP
Revise performance evaluation to support quality supervision.	July 2010	Dec 2010	Evaluation revised

P3: Develop and implement continuous quality improvement process

Action Step	Benchmark	Complete	Measures
Continue to conduct PIP case reviews as needed for PIP reporting		After each PIP quarter	Case review results submitted with PIP report
Restructure CQI process to ensure quality services for children and families	Oct 2009	June 2010	CQI process defined
Integrate PIP reporting case review into CQI process.		June 2010	Case review becomes part of CQI process
Integrate CQI process for the implementation of risk and needs assessment in the youth justice population.		June 2010	YASI becomes part of CQI process
Integrate the CQI process for differential assessment strategies.		June 2010	Becomes part of the CQI process
Develop and additional data components that assess performance and inform strategic planning	July 2010	Dec 2010	CQI data is complete
Implement performance based contracting	Jan 2010	Sept 2010	Contracting partners report on outcomes
Review consumer concerns to identify themes	Dec 2009	March 2010	Report submitted with PIP report
Design process to review critical incidents to support learning	Dec 2009	March 2010	New policy drafted

P4: Increase in financial self sufficiency for youth exiting foster care

Action Step	Benchmark	Complete	Measures
Identify a best practice, competency based financial literacy curriculum for youth	Jan 2010.		Curriculum reviewed and selected
Implement curriculum into Youth Development Program life skills classes in all twelve districts	July 2010		All 12 districts delivering to youth
Establishing a matching funds savings program for adolescent foster youth	July 2011		Regulatory framework established, funds secured
Establish living wage data for youth exiting foster care	July 2010		MOU and IT support for information sharing with state DOL data on employment and income
Target Youth Development Program services to improve employment and earnings outcomes for youth in care	July 2011		Data from previous section indicates improved outcomes for youth

P5: Increase the number of youth with positive connections with a network of caring adults

Action Step	Benchmark	Complete	Measures
Develop casework policy to assess youth at or about their 16th birthday for positive connections to caring adults (unpaid). Results to be reported out as a part of the case plan review process.	Commenced by 9/30/09	Jan 2010	Finalized policy in place
Family Finding and Family Group Conferencing resources targeted at youth who's assessed need for connections is greatest	Commenced 9/30/09	On-going	Increase in numbers of youth connections at 90 day transition case plan reviews

P6: Youth are eligible for and receive preventative healthcare

Action Step	Benchmark	Complete	Measures
Expand Medicaid eligibility for youth exiting foster care	Application by 10/ 28/09	Jan 2010	Approval of eligibility for at-risk youth up to age 21 (incl.)
Policy development for identification of a medical home for each foster youth and a completed adolescent well-child visit prior to the 90 day transition case plan review	Commence by 09/ 30/09	Jan 2010	Finalization of policy
Establishment of data tracking to measure application of the previous strategy.	Commence planning 9/30/09	01/01/10	Collection of data with quarterly reports

P7: Increase the high school and post-secondary participation and completion of foster youth

Action Step	Benchmark	Complete	Measures
Track high school completion rates and correlate to DCF/FS efforts at educational stability	July 2010		Reliable Data collected annually and shared with stakeholder groups
Tracking of youth receiving supports for school completion and related school outcomes	July 2010		Reliable Data in place for comparison
Explore implementation of Casey Family Services "Road Map to Learning, Improving Educational Outcomes in Foster Care"	Jan 2010		Planning meetings held, trainings scheduled
Expanded recruitment and participation in post-secondary education through Trio programs	Nov 2010		Quarterly planning and data review schedule established
Increase post-secondary enrollment and completion rates for foster youth	June 2010		Annual data review and strategic planning
Maximize opportunities for post-secondary financial support to youth through Chafee ETV and other funding	Aug 2009		On-going analysis of financial aid packages and impact on participation

LAW ABIDANCE: YOUTH ARE FREE FROM CRIMINAL BEHAVIOR

YJ1: Develop continuous quality improvement plans for risk and needs assessment to ensure quality and efficacy in assessment and reassessment of youth in the juvenile justice system.

Action Step	Benchmark	Complete	Measures
Develop Statewide umbrella continuous quality improvement plan for the implementation of risk and needs assessment in the youth justice population.		June 2010	Plan is written and shared across Family Services
All 12 Districts develop continuous quality improvement plans for the implementation of risk and needs assessment in the youth justice population.		June 2010	Plans are written and shared with Youth Justice Unit, FSMT, and operations managers

YJ2: Enhance restorative justice practices in the community with the implementation and evaluation of evidence-based restorative community-based interventions.

Action Step	Benchmark	Complete	Measures
Implement Restorative Family Group Conferencing in 4 districts		June 2010	At least one Restorative Family Group Conference started in each of the 4 districts.
Explore other restorative justice family-based interventions for youth justice.		June 2010	Evidence-based intervention is identified. RFP for service is developed.

YJ3: Enhance family engagement, supports, and interventions for youth in the Woodside Juvenile Rehabilitation Center.			
Action Step	**Benchmark**	**Complete**	**Measures**
Implement Family Safety Planning into Case Staffing structure in Treatment Program		June 2010	Case staffings utilize internal Family Safety Planning structure.
Explore other restorative justice family-based interventions for youth housed in the Woodside Juvenile Rehabilitation Center.		June 2010	Interventions have been identified; staff have been trained or introduced to model;

ATTACHMENTS

A. Defender General's Training Agenda

B. Vermont's Family Service Continuity of Operations Plan (COOP)

OFFICE OF THE DEFENDER GENERAL
2009 GREEN MOUNTAIN JUVENILE AND
CRIMINAL DEFENSE INSTITUTE
Co-Sponsored by the Vermont Bar Association, and the
Vermont Association of Criminal Defense Lawyers

Wednesday, June 3, 2009

9:15-10:30 1.25 CLE
The Interstate Compact on the Placement of Children- Out of State- Out of Luck?

10:45-12:00 1.25 CLE
Improving the Representation of Parents in Juvenile Cases

1:15-3:00 1.75 CLE
The New Law- How's it Working?

3:15-4:30 1.25 CLE
Woodside: The Inside Story

MINI-TRIAL SCHOOL-All Day (by invitation only) 5.5 CLE

Thursday, June 4, 2009

9:00-10:30 1.5 CLE
TRACK A: New Sex Laws: Yipes (S13)
• Legislative Summaries S125

TRACK B: Youthful Offenders: The New Law

10:45-12:00 1.25 CLE
TRACK A: Excluding Evidence from Car Stops under the 4TH Amendment and Article 11

TRACK B: The New Family Group Conferencing

TRACK C: REDRUM 101

1:15-2:45 1.5 CLE
TRACK A: Challenging the Questioning of Children and Adolescents in Sex Abuse Cases

TRACK B: Making Kinship Placements Work

TRACK C: SORNA, the Federal Sex Offender Registration Requirement; What You Need to Know and Won't Believe

TRACK A: Professionalism for Criminal and Juvenile Practitioners

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TRACK B: Bail: Strategy and the Law

TRACK C: Specialty Courts: The Pros and Cons- Do They Help Our Clients?

Friday, June 5, 2009

9:15-10:30 1.25 CLE
Appellate Review of the U.S. Supreme Court and Vermont Supreme Court cases of 2008-2009

10:45-12:00 TWO CHOICES 1.25 CLE
TRACK A: What Everyone Must Know About Credit and Good Time

TRACK B: Challenging Coerced Confessions and The Reid School of Interrogation,

1:15-3:30 2.25 CLE
Ethics All Star Review, Rules of Professional Conduct

STATE PLAN ON AGING

UNDER TITLE III

OF THE OLDER AMERICAN'S ACT

State Plan on Aging Under Title III

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

ASSURANCES

Sec. 305, ORGANIZATION

(1) 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)(A))**

(2) 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)(B))**

(3) 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 minority individuals and older individuals residing in rural areas and include proposed methods of carrying out the preference in the State plan. **((a)(2)(E))**

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

(5) 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. **((a)(2)(G)(ii))**

(6) 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 out, directly or through contractual or other arrangements, a program in accordance with the plan within the planning and service area. **((c)(5))**

Sec. 306, AREA PLANS

(1) 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

State Plan on Aging Under Title III

(A) services associated with access to services (transportation, outreach, information and assistance, 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. **((a)(2))**

(2) Each area agency on aging shall provide assurances that the area agency on aging will set specific objectives for providing services to older individuals with greatest economic need and older individuals with greatest social need, include specific objectives for providing services to low-income minority individuals and older individuals residing in rural areas, and include proposed methods of carrying out the preference in the area plan. **((a)(4)(A)(i))**

(3) Each area agency on aging shall 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

(A) specify how the provider intends to satisfy the service needs of low-income minority individuals and older individuals residing in rural areas in the area served by the provider;

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

(C) meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals and older individuals residing in rural areas within the planning and service area. **((a)(4)(A)(ii))**

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

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

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

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

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(5) 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

(A) older individuals residing in rural areas;

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

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

(D) older individuals with severe disabilities;

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

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

and inform the older individuals referred to in (A) through (F), and the caretakers of such individuals, of the availability of such assistance. **((a)(4)(B))**

(6) Each area agency on agency 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. **((a)(4)(C))**

(7) 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, with agencies that develop or provide services for individuals with disabilities. **((a)(5))**

(8) 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. **((a)(9))**

(9) 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;

State Plan on Aging Under Title III

(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 such services are available to older individuals within the planning and service area, to older Native Americans. **((a)(11))**

(10) 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. **((a)(13)(A))**

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

(A) 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

(B) the nature of such contract or such relationship. **((a)(13)(B))**

(12) 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. **((a)(13)(C))**

(13) 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. **((a)(13)(D))**

(14) 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. **((a)(13)(E))**

(15) 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. **((a)(14))**

(16) Each area agency on aging shall provide assurances that preference in receiving services under this title will not be given by the area agency on aging to particular older individuals as a result of a contract or commercial relationship that is not carried out to implement this title. **((a)(15))**

State Plan on Aging Under Title III

Sec. 307, STATE PLANS

(1) The plan describes the methods used to meet the need for services to older persons residing in rural areas in the fiscal year preceding the first year to which this plan applies. **((a)(3)(B)(iii))**

(2) The plan shall provide satisfactory assurance that such 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. **((a)(7)(A))**

(3) The plan shall provide assurances that-

(A) 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;

(B) 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

(C) mechanisms are in place to identify and remove conflicts of interest prohibited under this Act. **((a)(7)(B))**

(4) 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. **((a)(9))**

(5) 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. **((a)(10))**

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

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

(B) 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

State Plan on Aging Under Title III

(C) 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. **((a)(11)(A))**

(7) 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. **((a)(11)(B))**

(8) 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; **((a)(11)(D))**

(9) 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. **((a)(11)(E))**

(10) 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. **((a)(12))**

(11) 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. **((a)(13))**

State Plan on Aging Under Title III

(12) 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.
((a)(14))

(13) The plan shall provide assurances that the State agency will require outreach efforts that will identify individuals eligible for assistance under this Act, with special emphasis on--

(A) older individuals residing in rural areas;

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

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

(D) older individuals with severe disabilities;

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

(F) older individuals with Alzheimer's disease or related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and inform the older individuals referred to in clauses (A) through (F) and the caretakers of such individuals, of the availability of such assistance. **((a)(16))**

State Plan on Aging Under Title III

(14) 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. **((a)(17))**

(15) 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. **((a)(18))**

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

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

(18) 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 agency intends to implement the activities. **((a)(21))**

(19) 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). **((a)(22))**

(20) 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. **((a)(23))**

(21) 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. **((a)(24))**

(22) 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. **((a)(25))**

(23) 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. **((a)(26))**

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

(1) 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. **((b)(3)(E))**

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

(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.

State Plan on Aging Under Title III

(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 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.

State Plan on Aging Under Title III

VERIFICATION OF INTENT

The State Plan on Aging Assurances is hereby submitted for the State of Vermont for the period October l, 2009 through September 30, 2010.

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

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

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

8/31/09
(Date)

Commissioner, Department of Disabilities,
Aging and Independent Living

8/31/09
(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 2010

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

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

Formula:

Method of Distribution of Title III and State Funds:

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

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

State Plan on Aging Under Title III

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

Area Agency on Aging	FFY'08 Actual	FFY'09 Estimated	FFY'10 Proposed
Central Vermont Council on Aging	$ 988,690	$1,029,337	$1,027,193
Champlain Valley Agency on Aging	$1,358,034	$1,435,549	$1,446,397
Northeastern Kingdom Council on Aging	$ 875,256	$ 814,629	$ 811,087
Council on Aging for Southeastern Vermont	$ 957,454	$ 929,247	$ 927,478
Southwestern Vermont Area Council on Aging	$ 791,117	$1,015,571	$1,012,178

STATE COUNCIL ON

DEVELOPMENTAL

DISABILITIES

State Developmental Disability Council

The Vermont Agency of Human Services acts as the designated agency for the Vermont Developmental Disabilities Council [the Council.] The Vermont Developmental Disability Council is a Council established under the Developmental Disabilities Assistance and Bill of Rights Act of 2000, Public Law 106-402, 42 U.S.C. 15001 et seq.:

PURPOSE (Section 121)

...(1) engage in advocacy, capacity building and systems change activities...and

(2) contribute to a coordinated, consumer and family-centered, consumer and family-directed, comprehensive system of community services, individualized supports, and other forms of assistance that enable individuals with developmental disabilities to exercise self-determination, be independent, be productive, and be integrated and included in all facets of community life.

COMPREHENSIVE REVIEW AND ANALYSIS: STATE PROVISION OF INFORMATION ON ICF/MR AND HCBW [Section 124(c) (3) ; C) (vii) – (viii)]

The Council's Plan shall describe the results of a comprehensive review and analysis of the extent to which services, supports, and other assistance are available to individuals with developmental disabilities and their families, and the extent of unmet needs for services, supports and other assistance for those individuals and their families in the state. The results of the comprehensive review and analysis shall include-...

(C)(vii) a description of the adequacy of health care and other services, supports and assistance that individuals with developmental disabilities who are in facilities receive based in part on each independent review (pursuant to section 1902(a)(30)(c) of the Social Security Act) of an Intermediate Care Facility (Mental Retardation) within the State, which the State shall provide to the Council not later than 30 days after the availability of the review; and (viii) to the extent that information is available, a description of the adequacy of health care and other services, supports and assistance that individuals with developmental disabilities who are served through Home and Community-Based Waiver [HCBW] receive.

A. IN GENERAL [Section 124(c) (5) (A)]

The Council Plan shall contain or be supported by assurances and information described in subparagraphs (B) through (N) that are satisfactory to the Secretary of Health & Human Services.

State Developmental Disability Council

B. USE OF FUNDS [Section 124(c) (5) (B) (i)-(vi)]

With respect to the funds paid to the State under section 122, the Agency of Human Services [AHS] assures that-

(i) not less than 70 percent of such funds will be expended for activities related to the goals described in paragraph (4);

(ii) such funds will contribute to the achievement of the purpose of this subtitle in various political sub-divisions of the State;

(iii) such funds will be used to supplement, and not supplant, the non-Federal funds that would other-wise be made available for the purposes for which the funds paid under section 122 are provided;

(iv) such funds will be used to complement and augment rather than duplicate or replace services for individuals with developmental disabilities and their families who are eligible for Federal assistance under other State programs;

(v) part of such funds will be made available by the State to public or private entities;

(vi) at the request of the State, a portion of such funds provided to such State under this subtitle for any fiscal year shall be available to pay up to ½...of the expenditures found to be necessary by the Deputy Secretary for the proper and efficient exercise of the functions of the designated State agency, except that not more than 5 percent of such funds provided to such State for any fiscal year, or $50,000, whichever is less, shall be made available for total expenditures for such purpose by the designated State agency; and

(vii) not more than 20 percent of such funds will be allocated to the designated State agency for service demonstrations by such agency that-

(I) contribute to the achievement of the purpose of this subtitle; and

(II) are explicitly authorized by the Council.

(C) STATE FINANCIAL PARTICIPATION [Section 124(c) (5) (C)]

AHS assures that there will be reasonable State financial participation in the cost of carrying out the plan.

(D) CONFLICT OF INTEREST [Section 124(c) (5) (D)]

AHS assures that no member of such Council will cast a vote on any matter that would provide direct financial benefit to the member or otherwise give the appearance of a conflict of interest.

(E) URBAN AND RURAL POVERTY AREAS [Section 124(c) (5) (E)]

AHS assures that special financial and technical assistance will be given to organizations that provide community service, individualized supports, and other forms of assistance to individuals with developmental disabilities who live in areas designated as urban or rural poverty areas.

(F) PROGRAM ACCESSIBILITY STANDARDS [Sections 124(c) (5) (F)]

AHS assures that programs, projects, and activities funded under the plan, and the buildings in which such programs, projects, and activities are operated, will meet standards prescribed by the Deputy Secretary in regulations and all applicable Federal and State accessibility standards, including accessibility requirements of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d), and the Fair Housing Act (42 U.S.C. 3601 et seq.).

(G) INDIVIDUALIZED SERVICES [Section 124(c) (5) (G)]

AHS assures that any direct services provided to individuals with developmental disabilities and funded under the plan will be provided in an individualized manner, consistent with the unique strengths, resources, priorities, concerns, abilities, and capabilities of such individual.

(H) HUMAN RIGHTS [Section 124(c) (5) (H)]

AHS assures that the human rights of the individuals with developmental disabilities (especially individuals without familial protection) who are receiving services under programs assisted under this subtitle will be protected consistent with section 109 (relating to rights of individuals with developmental disabilities).

(I) MINORITY PARTICIPATION [Section 124(c) (5) (I)]

AHS assures that the State has taken affirmative steps to assure that participation in programs funded under this subtitle is geographically representative of the State, and reflects the diversity of the State with respect to race and ethnicity.

(J) EMPLOYEE PROTECTIONS [Section 124(c) (5) (J)]

AHS assures that fair and equitable arrangements (as determined by the Deputy Secretary after consultation with the Secretary of Labor) will be provided to protect the interests of employees affected by actions taken under the plan to provide community living activities, including arrangements designed to preserve employee rights and benefits and provide training an retraining of such employees where necessary, and arrangements under which maximum efforts will be made to guarantee the employment of such employees.

(K) STAFF ASSIGNMENTS [Section 124(c) (5) (K)]

AHS assures that the staff and other personnel of the Council, while working for the Council, will be responsible solely for assisting the Council in carrying out the duties of the Council under this subtitle and will not be assigned duties by the designated State agency, or any other agency, office, or entity of the State.

State Developmental Disability Council

(L) NONINTERFERENCE [Section 124(c) (5) (L)]

AHS assures that the designated State agency, and any other agency, office, or entity of the State, will not interfere with the advocacy, capacity building, and systemic change activities, budget, personnel, State Plan development, or plan implementation of the Council, except that the designated State agency shall have the authority necessary to carry out the responsibilities described in section 125(d) (3).

(M) STATE QUALITY ASSURANCE [Section 124(c) (5) (M)]

AHS assures that the Council will participated in the planning, design or redesign, and monitoring of the State quality assurance systems that affect individuals with developmental disabilities.

(N) OTHER ASSURANCES [Section 124(c) (5) (N)]

AHS assures that the plan shall contain such additional information and assurances as the Secretary [of Department of Health and Human Services] may find necessary to carry out the provisions (including the purpose) of this subtitle.

Priority areas &
Projected Funding Plan break-out

(i) State Name: VERMONT (ii) Federal Fiscal Year: 2010

Basic Priority Categories	Total Projected Funding
Goal Activities (Nine Areas of Emphasis Services Allocation)	$387,143
General Management (Non-Services Allocation)	$ 86,870
Anticipated Services Match	$ 67,514
Anticipated Non-services Match	$ 32,957
Subtotal Federal Allocation *	$474,013
Subtotal Non-Federal	$100,471
Total Budget FY'07	$574,484

State Developmental Disability Council

NAME	ADDRESS	QUALIFICATION	TERM EXPIRES
Lucy Abair	NA	AHS rep.	unlimited
Patricia Czrnecki	Ira	Individ. w/disability	3/31//12
Pamela Dow	Georgia	Parent of child	
Herbert Gingrich	Middlebury	Individ. w/disability	3/31/10
Harriet Hall	Newport	Individ. w/disability	3/31/10
Kathy Hamilton	Bennington	Non-profit	3/31/11
Carol Hassler MD	NA	AHS rep. SSA-Title V	unlimited
Rene Kievet-Kylar	NA	AHS rep. Rehab Act	unlimited
Jay Lafayette	Rutland	Individ. w/disability	3/31/12
Dennis Lindberg	So. Burlington	Parent of adult w/disability	3/31/11
Lisa Maynes	Colchester	Parent of child	3/31/12
Lance Mead	Brandon	Parent of adult w/disability	3/31/11
Michael Mulcahy	Dept. of Education	IDEA	unlimited
Ed Paquin	NA	VT Protection & Advocacy	3/31/07
Robert Price	Essex	Parent of child	3/31/09
Susan Ryan	NA	UCEDD	unlimited
Jessica Sanville	Lyndonville	Individ. w/disability	3/31/11
Joan Senecal	NA	AHS rep; SSA Title XIX & Older Americans	unlimited
Lisa Smedy	Barre	Individ. w/disability	3/31/10
Tami Trowell	Brattleboro	Parent of adult w/disability	3/31/10