VERMONT
HUMAN SERVICES PLAN
FY – 2012

FEDERAL ASSURANCES AND DOCUMENTATION
BLOCK GRANT APPLICATIONS AND REPORT

VERMONT HUMAN SERVICES PLAN - FY 2012

FEDERAL ASSURANCES & DOCUMENTATION

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VERMONT HUMAN SERVICES PLAN - FY 2012

FEDERAL ASSURANCES & DOCUMENTATION

PREFACE

This document has been constructed for use with the FY 12 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.

FY-12 Certification Regarding Drug-Free Workplace Requirements

OMB Approval No. 0937-0189
Expiration Date: July 31, 2012

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-12 Certification Regarding Drug-Free Workplace Requirements

OMB Approval No. 0937-0189
Expiration Date: July 31, 2012

(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 9/7/11

Signature Date

VERMONT HUMAN SERVICES PLAN - FY 2012

FEDERAL ASSURANCES & DOCUMENTATION

FY-12 Certification Regarding Lobbying **OMB Approval No. 0937-0189**
Expiration Date: July 31, 2012

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-12 Certification Regarding Lobbying OMB Approval No. 0937-0189
Expiration Date: July 31, 2012

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 F Flood
Signature

9/7/11
Date

VERMONT HUMAN SERVICES PLAN - FY 2012

FEDERAL ASSURANCES & DOCUMENTATION

FY-12 Certification Regarding Program Fraud Civil Remedies Act (PFCRA)

OMB Approval No. 0937-0189
Expiration Date: July 31, 2012

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

Signature Date

VERMONT HUMAN SERVICES PLAN - FY 2012

FEDERAL ASSURANCES & DOCUMENTATION

FY-12 Certification Regarding Debarment and Suspension

OMB Approval No. 0937-0189
Expiration Date: July 31, 2012

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: 9/7/11

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick Flood
Signature

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FEDERAL ASSURANCES & DOCUMENTATION

FY-12 Certification Regarding Environmental Tobacco Smoke

OMB Approval No. 0937-0189 Expiration Date: July 31, 2012

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: 9/7/11

Patrick Flood, Deputy Secretary
Name and Title of Authorized Representative

Patrick F 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 9/7/11 Signature Patrick F 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 August 30, 2011,

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'10 Actual	FFY'11 Estimated	FFY'12 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	$3,636,845	$3,031,631	$3,071,224
State Funds	841,591	790,001	1,042,613
Additional state funds matched by others	589,315	651,564	859,909
Federal	2,142,608	1,526,736	1,105,371
MH Block	63,331	63,331	63,331
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	$ 866,513	$ 906,489	$ 906,489
State Funds	485,581	525,557	525,557
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'10 Actual	FFY'11 Estimated	FFY'12 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	$37,902,736	$38,916,288	$38,553,776
State Funds	6,454,863	9,477,799	11,992,936
Federal	31,271,199	29,261,815	26,384,166
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	$2,267,770	$2,223,077	$2,201,428
State Funds	1,795,039	1,842,157	1,880,071
Federal	439,635	347,824	288,261
MH Block	33,096	33,096	33,096
Goal #5			
Housing infrastructure funds: consultation, etc. to maintain stable housing in the community.			
Total	$13,000	$13,000	$13,000
State Funds	0	0	0
Federal	0	0	0
MH Block	$13,000	$13,000	13,000

Community Mental Health Services Block Grant
Department of Mental Health

Use of Funds by Goal or Activity	FFY'10 Actual	FFY'11 Estimated	FFY'12 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	$22,419	$22,419	$22,419
State Funds	0	0	0
Federal	0	0	0
MH Block	22,419	22,419	22,419

Community Mental Health Services Block Grant
Department of Mental Health

Goal #8

Peer-operated initiatives

Total	$29,140	$29,140	$29,140
State Funds	0	0	0
Federal	0	0	0
MH Block	29,140	29,140	29,140

TOTALS	44,763,403	$45,167,044	$44,822,476
State Funds	9,577,074	12,635,514	15,441,176
Federal	33,853,422	31,136,374	27,777,798
MH Block	743,592	743,592	743,592
Additional state funds Matched by others	589,315	651,564	859,909

Block Grant Awards

FFY09	$747,755
FFY10	$743,593
FFY11	$743,593
FFY12	$743,593

GOAL ACCOMPLISHMENT

Community Mental Health Services Block Grant
Department of Mental Health

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. 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 2007 Actual	9,609
FY 2008 Actual	9,627
FY 2009 Actual	9,665
FY 2010 Estimated	9,600

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 2009 (July 1, 2008-June 30, 2009), the last full year for which data are available as of this writing (June 2010), Vermont's designated agencies reported 5,344 episodes of respite services delivered to 308 Children's Services clients experiencing a severe emotional disturbance. The projection for Fiscal 2011 is between 250 and 300 clients served and approximately 5,000 episodes of respite, in keeping with the downward trend from FY 2005 onward. Respite funds support additional family-specific requests for services outside the numbers given here; they are not reported through the Monthly Service Reports, however. Demand for respite services continues to be considerably in excess of the resources for providing them.

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; integrated treatment for individuals with dual diagnoses of mental illness and substance abuse, 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 Vermont Fiscal Year 2009 was 47. 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 9,800 people in mental-health crises received emergency services from designated agencies in the community in Vermont Fiscal Year 2009; approximately 18,500 units of emergency 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 related services.

Goal Accomplishments

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

Goal #6

Goal Description

Community Mental Health Services Block Grant
Department of Mental Health

Howard Center (HC), the designated agency for mental-health services 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 HC 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 Randolph. In addition VPS administers Vermont's Recovery Education Project, offering the curriculum a number of times each 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

Community Mental Health Services Block Grant
Department of Mental Health

mental health treatment.

Goal Accomplishment

VPS continued with these activities and similar ones in Fiscal Years 2008 and 2009 and is under contract to do the same throughout Fiscal Years 2010 and 2011.

Goal #8

Goal Description

Funding for this goal in FYs 2008-2011 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 2010-2011 include the following:

- A peer-run art group and a support group for women through Green Mountain Support Group in Montpelier
- Peer-run computer projects, training and newletter development at the peer center at Lamoille Community Connections in Morrisville
- Peer-run supports and activities for attendees of the the Living Room Peer Project in Randolph
- Peer-run computer and art classes at the Sprinfield Peer Recovery Center
- Mental health education and promotion by the Washington County Peer Education Project in and near Montpelier
- Mental health telephone support provided by the Rutland County peer-run warmline

Community Mental Health Services Block Grant
Department of Mental Health

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COMMUNITY SERVICES

BLOCK GRANT (CSBG)

Fiscal Year 2012

Community Services Block Grant

Programmatic Assurances

(1) Funds made available through the grant or allotment will be used--

`(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

`(i) to 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) to secure and retain meaningful employment;

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

`(iv) to make better use of available income;

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

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

`(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to--

`(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

`(II) 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--

`(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and

`(ii) after-school child care programs; and

`(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts);

`(2) a description of how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle;

`(3) information provided by eligible entities in the State, containing--

`(A) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a), targeted to low-income individuals and families in communities within the State;

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

`(C) a description of how funds made available through grants made under section 675C(a) will be coordinated with other public and private resources; and

`(D) a description of how the local entity will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting;

`(4) an assurance 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;

`(5) an assurance that the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and a description of how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the State and in

communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998;

`(6) an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community;

`(7) an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D;

`(8) an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b);

`(9) an assurance that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations;

`(10) an assurance that the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation;

`(11) an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs;

`(12) an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization; and

`(13) information describing how the State will carry out the assurances described in this subsection.

Community Services Block Grant

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)]

(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.

(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]

Other Administrative Certifications

The State also certifies the following:

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

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

Signature Patrick F Cook 9/7/11

Deputy Secretary, Agency of Human Services Date

Community Services Block Grant

I. Introduction

In I98I, 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 I98I (hereinafter called OMBR), and Public Law 98-558, Human Services Reauthorization Act of I984, and the Augustus F. Hawkins Human Services Reauthorization of I990 (P.L. I0I-50I), and the COATS Human Services Reauthorization Act of I998, 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 of Vermont seeks to further the following goals:

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

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

    a. to secure and retain meaningful employment;
    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 CSBG program will be distributed to eligible community action agencies (hereinafter called "CAAs" or "eligible entities"). The amount to be awarded to each CAA will be determined by the application of the OEO allocation formula. This formula is designed to insure that each eligible entity receives an amount sufficient to provide an administrative funding base and, further, to insure that funding to specific areas during subsequent years corresponds to the current economic situation of each area.

Prior to the award of CSBG funds, the OEO will reserve l0 percent of the funds awarded. Fifty-five thousand dollars ($55,000) or 5 percent, whichever is larger, will be used for State administration of the program. With the balance of the funds reserved, the State may:

1. transfer in accordance with Section 675(c)(5) of the CSBG Act; or

2. utilize for the purpose of funding special projects which have proven to be, or may prove to be particularly effective in ameliorating the causes of poverty in communities within the State; or

3. distribute through the allocation formula.

By statute, Vermont shall distribute 90% of its total CSBG award to eligible entities. The OEO allocation formula is updated periodically 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 has adopted the FY 2010 CAA distributions as the new base levels for funding.
In any year where Vermont receives an increase in core CSBG funding available to eligible

entities -- above the FY 2010 base level of $3,357,000 -- the additional core funds -- in excess of that historical base -- shall be distributed on the basis of each eligible entity's service territory's share of the state's total eligible population (currently defined as the number of persons at or below 125% of the federal poverty level).

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

- Historical note -

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

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

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

IV. Qualifications and Application for Funds

For Fiscal Year 2012, 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 in the "Request for Work Plan." (The complete Request For Work Plan is included within this State Plan document). Applications 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 conducting 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 ensuring the most effective utilization of Federal funds. As Federal funding resources grow scarcer, the value of an efficient planning process becomes progressively greater.

All eligible entities will be required to submit, as an integral part of their application, a description of the 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 problems that are identified in the determination of needs report, the State expects 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 Work Plan

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

Program Design
a. Mission Statement
b. Needs Assessment

ROMA Implementation Plan
a. Indicators
b. Targets
c. Programs reporting

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

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

Assurances
Signed assurances relative to activities undertaken and expenditures incurred with CSBG

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

3. Uses of the Request for Work Plan

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

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

b. OEO - Grants for the Provisions of Services

Responses to the RFW 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 RFW will be considered.

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

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

V. State Monitoring of Program

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

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

- A full onsite review of each eligible entity at least once during each 3-year period. (This onsite monitoring incorporates interviews with the CAA management, staff and board, review of back-up documentation, site inspection, review of client files, policies and procedures. The process utilizes the State of Vermont's CSBG Monitoring tool which contains 130 items dealing with Program Compliance, Board Governance, ROMA implementation and data quality, and Administrative Operations. The Agency of Human Services Audit Unit uses its financial monitoring tool which focuses on Fiscal Controls and Financial Procedures.)

- An onsite review of each newly designated entity immediately after the completion of the first year in which the entity receives funds through the community services block grant program.

- Follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State. (The

State OEO uses a risk-assessment procedure to determine if follow-up monitoring is indicated, and whether the next full monitoring visit is required in one, two or three years.)

- Other reviews as appropriate, including reviews of entities with programs that have had other Federal, State, or local grants terminated for cause.

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

I. Reporting Requirements

a. Programmatic

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

2) Programmatic reports, consisting of the agency's ROMA/NPI data, detailing the progress the CAA has made towards each of the Six National Goals, and a CSBG narrative in the format proscribed by the National Association for State Community Service Programs (NASCSP), will be submitted by each CAA to the OEO quarterly.

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

Report forms have been designed to consolidate financial and programmatic information and to incorporate expenditure and service goals established by, and presented in, the grant agreements entered into between the OEO and sub-grantees. This format presents a ready means of assessing grantee 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 grant agreements between OEO and the sub-grantee, rules and policies will be issued in the form of numbered policy memoranda to all sub-grantees on an "as needed" basis with a timely effective date. The provisions of such memoranda will be binding for CSBG sub-grantees. The provisions of "Vermont CSBG Uniform Requirements for Grants and Agreements with Non-profit Organizations" and the "Vermont CSBG Cost Principles for Non-Profits" will apply to the administration of the program.

4. Audit Requirements

Any funds made available to the sub-grantees by 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 services are being provided in an effective and efficient manner and that goals are being achieved.

Effective technical assistance and on-site monitoring can be accomplished through careful review and in-depth evaluation of fiscal and programmatic reports. Such analyses will identify any variance in planned progress toward the attainment of defined goals and will enable the 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 eligible entities 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 Chief Administrator of the OEO. The Chief Administrator 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 defined goals and standards. Such corrective measures will be communicated to the Executive Director of the particular agency, who will be responsible for implementing the required action.

VI. Use, Suspension or Termination of Funds

1. Use of Funds

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

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

2. Local Sub-grantee Administration Costs

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

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

3. Suspension or Termination of Funds

The 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, grant requirements, generally accepted accounting procedures or fiscal control procedures.

Community Services Block Grant

VII. Public Participation

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

Fiscal Year: **2012** Annual Amount Proposed: **$3,507,970**

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

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;

Community Services Block Grant

675(c)(l)(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)(l)(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 (l) to eligible entities (as defined in Section 673(l) or to organizations serving seasonal or migrant farm workers, except that no more than 7 percent of the funds available for this sub-clause shall be granted to organizations which were not eligible entities during the previous fiscal year;

2. Assurances/Provisions to Insure Compliance

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

If less than l00 percent of the allotment is expended under subparagraph (A), provide assurances that with respect to the remainder of the allotment a reasonable amount shall be used for -

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

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

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

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

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

Provision:

Upon notification of its CSBG allocation, the State prepares a plan for the use and distribution of funds. The plan includes a formula for the distribution of funds to ensure funds have been targeted to areas of greatest need The plan also includes a reserve **$175,398** 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 Work Plan 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, grants for the provision of services require that minutes of the board meetings be submitted to the Office of Economic Opportunity to allow for ongoing monitoring of this requirement.

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)

Community Services Block Grant

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:

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

Assurance: Section 675(c)(8)

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

Provision:

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

Community Services Block Grant

Provision:

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

Assurance: Section 675(c)(II)

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

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

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

(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 Work Plan grant package for FY 2012, and all funds provided (except for State administration and the Discretionary pool) for the CSBG in FY 2012 and beyond will be obligated to these entities according to the 90 percent statutory rule. It is the State's intention to continue funding these agencies, provided that they meet the intent and requirements of the Act, grant obligations to the State, and comply with State and Federal laws and regulations, and Uniform Administrative Requirements prescribed by OMB.

All community action agencies in Vermont that have received funds in the previous fiscal year will be notified as soon as practical, but no less than thirty days before the new fiscal

year of status of funding for the upcoming fiscal year. If the State determines that for some substantiated reason that a CAA is not meeting its grantee obligation, the State will notify the CAA in writing of its determination and utilize the thirty day cancellation clause. This written notice will be the last resort after all reasonable attempts have been made to resolve and rectify the noncompliance.

The CAA has the right to appeal the cancellation of its CSBG grant agreement or failure to receive a new grant to the Vermont Agency of Human Services "Human Services Board" as described in Vermont Statutes Annotated, Title 3, Section 3090 and 309l. 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 l742(a) and (b) as required in P.L. 97-35.

Assurance: Section 675(c)(l2)

In the case of a State which applied for and received a waiver from the Deputy Secretary under Public Law 98-l39 (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 l984 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)(l3)

(l3) secure from each eligible entity as a condition to its receipt of funding under this Act a community action work plan (which shall be available to the 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:

Community Services Block Grant

The Office of Economic Opportunity has developed the following Request for Work Plan (RFW) package that is distributed to all eligible entities. The RFW 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)(l3) are met by this RFW.

COMMUNITY SERVICES BLOCK GRANT

FY 2012 REQUEST FOR WORK PLAN

FOR THE PERIOD

OCTOBER 1, 2011 - SEPTEMBER 30, 2012

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

VERMONT

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 WORK PLAN

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

1. Program Design

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

b. FY 2012 Needs Assessment 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.

2. Completed FY 2012 ROMA Implementation Plan.

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

I. have a complete and current understanding of the type and scope of poverty problems in their local communities;

II. plan their programming and initiatives to address those needs identified and can select metrics against which program effectiveness will later be tested as well as targets and benchmarks;

III. operate programs that make full and strategic use of appropriate resources;

IV. achieve, measure, and report on results in the form of progress made towards performance indicators and the national poverty goals; and

V. can evaluate overall program effectiveness by analyzing data and comparing against targets and/or benchmarks.

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

3. 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 2011 i.e. $3,507,970 for FY 2012 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. Management Administration

a. A Description of the sub-grantee's organizational structure

b. A Description of the board structure and composition

c. Job descriptions of employees funded with CSBG

d. A Description of the procedure by which the sub-grantee identifies eligible clients.

5. Assurances.

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

l) 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;

l0) that it has adopted and implemented bylaws for itself and sub-grantee policies relative to travel, personnel and other areas as appropriate, consistent with Federal and State laws and regulations. The reimbursement rates for travel and related expenses will be set locally by the boards but may not exceed the State limits. Fiscal management policies and procedures must have been approved and be located in separate volume.

D. Reporting Requirements (Data Collection/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. These data collection systems must be capable of providing all necessary data to this office.

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

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

E. PROCESS

The agency's proposal will not be considered unless it complies with all requirements listed in this request. The acceptable proposal submitted will be negotiated by the staff at 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.

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 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.

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

Example: Original Document
Document B Page 1 of 6
Date

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

Cover letter: Submit with the application and include the name(s) of the person to be contacted to answer questions and who will be negotiating the proposal.

Community Services Block Grant

Document A. Allowable Activities (*Document provided*)

Document B. Monthly Expenditure Plan (*submitted electronically in Excel*)

Document C. Budget (*submitted electronically in Excel*)

Document D. ROMA Implementation Plan (*submitted electronically in Excel*)

Document E. Program Design

Document F. Financial Management

Document G. Management/Administration

Document H. Reporting Requirements (*Document provided*)

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

DUE DATES

Proposals must be submitted to the following on or before August 25, 2011:

Shaun F. Donahue, Chief Administrator
State Office of Economic Opportunity
103 South Main Street
Waterbury, Vt. 05671-1801

On or before September 7, 2011, the proposal will be reviewed by the Office of Economic Opportunity and on or before September 13, 2011 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, 2011. 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

Community Services Block Grant

Provide a brief description of the agency's 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 2012 Needs Assessment

The needs assessment involves the identification of the needs of the low income population and communities served. It involves the identification of 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.

III. FY 2012 ROMA IMPLEMENTATION 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 ROMA Implementation Plan (RIP) is a comprehensive management plan which provides for the implementation of the Six National Anti-Poverty Goals within a broad framework of Outcome Measures and National Performance Indicators. The ROMA Implementation Plan involves three subsections:

- **Indicators:** A selection of indicators -- from the National Performance Indicators and any "agency-specific" indicators -- beyond the minimum agreed-upon Statewide Indicators. (The Community Action Agency will continue to report on these indicators quarterly during the program year.)

- **Targets:** The setting of annual performance targets where required by the National Performance Indicators format in goals 1 and 6.

- **Programs:** A list of agency programs which will contribute data towards each Indicator during the program year. (To be included on the supplemental "notes" tabs of the reporting spreadsheet.)

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

Community Services Block Grant

The State OEO will send an electronic template of the FY 2012 National Performance Indicators to all eligible entities in Vermont with the Request for Work Plan. Eligible entities will complete the template and return electronically to the OEO by the RFW due date as part of their proposed CSBG Work Plan. Each quarter, the CAA will submit their updated cumulative year-to-date data to the OEO. These data will be aggregated by the OEO into a statewide report.

An example of Vermont's FFY 2012 National Performance Indicators (NPI) template appears on the following pages.

Community Services Block Grant

Part I: Community Action National Performance Indicators (NPI)	FFY 2012

Agency Name	Select From List
Reporting Period	Select From List

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

	(1)	(2)	(3)	(4)
A. Unemployed and obtained a job.				#DIV/0!
B. Employed and maintained a job for at least 90 days				#DIV/0!
C. Employed and obtained an increase in employment income and/or benefits.				#DIV/0!
D. Achieved "living wage" employment and/or benefits.				#DIV/0!
In the rows below, please include any additional indicators that were not captured above.				
E. Low-income people who became self-employed.				#DIV/0!
				#DIV/0!
				#DIV/0!

Employment Supports The number of CSBG participants for whom services or activities were provided or facilitated through efforts of the Community Action agency, and who obtained one or more of the following:	(1)	(2)
A. Obtained skills/competencies required for employment		
B. Completed ABE/GED and received certificate or diploma		
C. Completed post-secondary education program and obtained certificate or diploma		
D. Enrolled children in before or after school programs		
E. Obtained care for child or other dependant		
F. Obtained access to reliable transportation and/or driver's license		
G. Obtained health care services for themselves or family member		
H. Obtained safe and affordable housing		
I. Obtained food assistance		
J. Obtained non-emergency LIHEAP energy assistance		
K. Obtained non-emergency WX energy assistance		
L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)		
In the rows below, please include any additional indicators that were not captured above.		

Community Services Block Grant

	[illegible]	(A)	(B)	(C)	(D)	(E)
ENHANCEMENT	1. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits				#DIV/0!	
	2. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments				#DIV/0!	
	3. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings				#DIV/0!	
In the rows below, please include any additional indicators that were not captured above.						
4. The number and percent of participants that received tax refunds, and the expected aggregated dollar amount.					#DIV/0!	
5. The number and percent of participants that received renters rebates, and the expected aggregated dollar amount.					#DIV/0!	
6. The number and percents of participants accessing business capital, and the aggregated dollar value.					#DIV/0!	
7. The number and percent of participants in asset-development programs who increased their financial skills as determined by follow-up or pre/post testing.					#DIV/0!	N/A
8. The number and percent of participants in asset-development programs who improved their credit scores.					#DIV/0!	N/A
					#DIV/0!	

Community Services Block Grant

	[illegible]	[illegible] (C)	[illegible] (D)	[illegible] (E)	[illegible] (G)	[illegible] (F)
UTILIZATION	1. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days				#DIV/0!	NA
	2. Number and percent of participants opening an Individual Development Account (IDA) or other savings account				**#DIV/0!**	NA
	3. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings				**#DIV/0!**	
	4. Of participants in a Community Action assets development program (IDA and others):					
	a. Number and percent of participants capitalizing a small business with accumulated savings				**#DIV/0!**	
	b. Number and percent of participants pursuing post-secondary education with accumulated savings.				**#DIV/0!**	
	c. Number and percent of participants purchasing a home with accumulated savings.				**#DIV/0!**	
	d. Number and percent of participants purchasing other assets with accumulated savings.				#DIV/0!	
In the rows below, please include any additional indicators that were not captured above.						
					#DIV/0!	

Community Services Block Grant

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

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

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, Conditions or Facilities Preserved or Improved (#)
A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets		
B. Increase in the availability or preservation of community facilities		
C. Increase in the availability or preservation of community services to improve public health and safety		
D. Increase in the availability or preservation of commercial services within low-income neighborhoods		
E. Increase in or preservation of neighborhood quality-of-life resources		
In the rows below, please include any additional indicators that were not captured above.		
F. Increase in the availability of fresh, nutritious food through: subsidized garden plots; distribution of vegetable gardening supplies & information; or farmer's market coupons.		

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

National Performance Indicator 2.4 Employment Growth from ARRA Funds The total number of jobs created or saved at least in part by ARRA funds, in the community.	Number of Jobs (#)
A. Jobs created at least in part by ARRA funds	
B. Jobs saved at least in part by ARRA funds	
In the rows below, please include any additional indicators that were not captured above.	

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

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

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 home in their community as a result of Community Action	
D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action	
In the rows below, please include any additional indicators that were not captured above.	
E. Number of low-income people enhancing businesses in their community as a result of Community Action assistance.	
F. Number of low-income people expanding businesses in their community as a result of Community Action assistance.	

Community Services Block Grant

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

[illegible]	Number of Organizational Partnerships (#)
Non-Profit	
Faith Based	
Local Government	
State Government	
Federal Government	
For-Profit Business or Corporation	
Consortiums/Collaboration	
Housing Consortiums/Collaboration	
School Districts	
Institutions of post secondary education/training	
Financial/Banking Institutions	
Health Service Institutions	
State wide associations or collaborations	
In the rows below, please add other types of partners with which your CAA has formed relationships that were not captured above. *Please describe these partnerships in Goal 4 Notes.*	
The total number of organizations CAAs work with to promote family and community outcomes	0

Goal 5: Agencies increase their capacity to achieve results.

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

Community Services Block Grant

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

	Number of Vulnerable Individuals Living Independently (#)
A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under Individuals with Disabilities, ages 55-over)	
B. Individuals with Disabilities	
Ages: 0-17	
18-54	
55-over	
In the rows below, please include any additional indicators that were not captured above.	
***C. Individuals with disabilities (of any age) who maintain an independent living situation as a result of Community Action services. (*Report here only if you can not report in the format above.)**	

A. Emergency Food		
B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources		
C. Emergency Rent or Mortgage Assistance		
D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)		
E. Emergency Temporary Shelter		
F. Emergency Medical Care		
G. Emergency Protection from Violence		
H. Emergency Legal Assistance		
I. Emergency Transportation		
J. Emergency Disaster Relief		
K. Emergency Clothing		
In the rows below, please include any additional indicators that were not captured above.		
L. Other Housing Assistance (Persons who were homeless or at imminent risk of homelessness whose housing was stabilized through one or more of the following; fair housing assistance; landlord/tenant advocacy or education; case-management; housing search, etcetera.)		

Community Services Block Grant

National Performance Indicators Child and Family Development The number and percentage of infants, children, youth, parents, and other adults participating in developmental or enrichment programs that achieve program goals, as measured by valid and reliable indicators			A) Number of Participants Enrolled in Program(s) (3)	B) Number of Participants Expected To Achieve Outcome in Reporting Period (Target) (4)	C) Number of Participants Achieving Outcome in Reporting Period (Actual) (5)	D) Percentage Achieving Outcome in Reporting Period [C/B=D] (6)
Children	1. Infants and children obtain age-appropriate immunizations, medical, and dental care					#DIV/0!
	2. Infant and child health and physical development are improved as a result of adequate nutrition					#DIV/0!
	3. Children participate in pre-school activities to develop school readiness skills					#DIV/0!
	4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade					#DIV/0!
Youth	1. Youth improve health and physical development					#DIV/0!
	2. Youth improve social/emotional development					#DIV/0!
	3. Youth avoid risk-taking behavior for a defined period of time					#DIV/0!
	4. Youth have reduced involvement with criminal justice system					#DIV/0!
	5. Youth increase academic, athletic, or social skills for school success					#DIV/0!
Adults	*(agency specific)*					#DIV/0!
	(agency specific)					#DIV/0!
In the rows below, please include any additional indicators that were not captured above.						
						#DIV/0!
						#DIV/0!

Community Services Block Grant

National Performance Indicator 1.1 Family Outcome (Section, Domain and Component) Low-income people obtain safe and affordable housing, especially seniors, people with disabilities and children, for whom barriers to family stability are reduced or eliminated, 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. Enrolled children in before or after school programs		
B. Obtained care for child or other dependant		
C. Obtained access to reliable transportation and/or driver's license		
D. Obtained health care services for themselves or family member		
E. Obtained safe and affordable housing		
F. Obtained food assistance		
G. Obtained non-emergency LIHEAP energy assistance		
H. Obtained non-emergency WX energy assistance		
I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)		

National Performance Indicator 1.1 Service Category The number of services provided to low-income individuals and/or families, as measured by one or more of the following:	Number of Services (#)
A. Food Boxes	
B. *Pounds of Food (if your agency has a food shelf/pantry)	
C. Units of Clothing	
D. *Rides Provided (if your agency assists with transportation.)	
E. Information and Referral Calls	

Community Services Block Grant

IV. BUDGET/FINANCIAL MANAGEMENT

A line item budget must 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 level-funded at **$3,507,970.** Allocations to Vermont's five Community Action Agencies have been developed by applying the OEO allocation formula to the 90% statutory pass-through of **$3,157,173.**

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

2. CSBG Allocations

Anticipated Award Amounts

BROC	**$562,334**
CVCAC	**$600,900**
CVOEO	**$924,598**
NEKCA	**$578,895**
SEVCA	**$490,446**

3. Specific Budget Instructions

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

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

c. Audit: The agency is to conduct its own audit of its CSBG funds in conformance with OMB

Circular A-133. The estimated cost of the audit shall be a separate item within the budget.

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

Based on the foregoing, prepare a line item budget for the planned expenditure of funds. This budget should total the figure on page 8 and should not include any anticipated agency carry-forward from the previous fiscal year.

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.

Community Services Block Grant

C. Management and Administration

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, addresses and phone numbers of current members and indicate which sector each represent. Also include the dates of each board member's term of office.

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 should be included as its own Document in your work plan.)

DOCUMENT H
CSBG REPORTING REQUIREMENTS

CSBG Report	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.
General Client/Services Report "TRACKER" or similar	Quarterly, due at SOEO the **30th** of the month, following the report period.
Homeless Client/Services Report "TRACKER" or similar	Quarterly, due at SOEO the **30th** of the month, following the report period.
Agency ROMA/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.
CSBG narrative highlighting agency programs or initiatives in format specified by NASCSP and the Vermont OEO.	Quarterly, due at SOEO the **30th** of the month, following the report period.

The reporting system will start anew on October 1, 2011.
All CSBG clients will require new intakes or recertification to certify eligibility for FFY 2012.

Community Services Block Grant

Community Action Agency Assurances

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.

Signature, Executive Director _____ Date_____
Print Name _____

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

Community Services Block Grant

CSBG BUDGET SUMMARY

Use of Funds by Community Action Agency	*FFY '10 (Actual)	FFY '11 (Estimated)	FFY '12 (Proposed)
BROC – Community Action In Southwestern Vermont	$ 597,926	$ 562,334	$ 562,334
Central Vermont Community Action Council Inc.	$ 638,933	$ 600,900	$ 600,900
Champlain Valley Office of Economic Opportunity Inc.	$ 983,118	$ 924,598	$ 924,598
North East Kingdom Community Action Inc.	$ 615,535	$ 578,895	$ 578,895
Southeastern Vermont Community Action Inc.	$ 521,488	$ 490,446	$ 490,446
CAA Total	**$ 3,357,000**	**$ 3,157,173**	**$ 3,157,173**
State Administration	$ 160,419	$ 175,398	$ 175,398
Discretionary Grants	$ 101,333	$ 175,399	$ 175,399
Grants obligated in previous year, spent in following fiscal year	$ 111,248		
Total Federal Funds	$ 3,730,000	$ 3,507,970	$ 3,507,970

FFY 2010	**$ 3,730,000**		
FFY 2011		**$ 3,507,970**	
FFY 2012			**$ 3,507,970**

***Note:** Table does not include CSBG-ARRA funding as that appropriation was disbursed through separate agreements and addressed in a separate state plan.

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

ABBREVIATED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2012

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 2012

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 185 percent of the 2011 poverty level but not exceeding 60 percent median income for such State for seasonal fuel assistance ; or
(ii) an amount equal to 200 percent of the 2011 poverty level but not exceeding 60 percent state median income 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 F Flood

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

Date: 9/7/11

* 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.

Please describe how you obtained public participation in the development of your 2012 plan. (For States, please also provide information on your public hearings.):

The state of Vermont has an advisory board known as the Home Energy Assistance Task Force (HEAT Force) which is comprised of representatives of the Vermont Fuel Dealers Association, utility companies, State Office of Economic Opportunity, the Department of Public Service, several low-income advocacy groups, and Department for Children and Families. The plan was distributed to members and interested parties for comment.

The public hearing on the block grant will be held on August 30, 2012. Any comments received at that time will be submitted under separate cover.

Date Carryover and Reallotment report submitted: Not later than August 1, 2011

Submit Continuation Pages as Necessary

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.

Modified LIHEAP FY 2010 State Plan Application

As required, Vermont filed a detailed plan in FFY 2010.

Please list all changes made from your most recent detailed plan.

Note: All of the following changes (except Assurance 16) are the result of changes to Vermont's fuel program statute.

Page	Attachment 3 – page 8
Subject	Maximum Eligibility Limits
Modification	Gross income at 185% FPL for heating assistance Gross income at 200% FPL for crisis assistance Gross income at 60% of state median income for Weatherization
Page	Attachment 3 – page 9
Subject	Heating Assistance Assets Test
Modification	Do not use
Page	Attachment 3 – page 9
Subject	Heating Assistance Eligibility Priority
Modification	Do not give priority for elderly Do not give priority for disabled
Page	Attachment 3 – page 15
Subject	Heating Assistance Determination of Benefit Levels
Modification	Fuel Program Tables (annual heat cost) in Vermont Fuel Procedures
Page	Attachment 3 – page 20
Subject	Heating Assistance Payment to Energy Suppliers
Modification	Except households that heat with firewood or wood pellets receive their heating assistance benefit paid to the head of the household to endorse their benefit check payable to any firewood or pellet supplier they choose.
Page	Attachment 3 – page 27
Subject	Assurance 16 Activities
Modification	No activities planned for FFY2011

Please specify whether you are using calendar year 2011 poverty level **or** FY 2011 median income estimates in determining eligibility:

2011 poverty level ___185% for Seasonal Component___
___200% for Crisis Component___
But not to exceed 60 percent of state median income based on household size.

OR

FY 2011 median income _____%

VERMONT LIHEAP Block Grant	FFY2010 Actual	FFY2011 Estimated	FFY2012 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.	$22,959,679	$21,500,000	$7,425,000
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.	(1) $3,171,627	(2) $5,420,000	(3) $3,015,000
Goal # 3 Administrative expense containment Within the 10% maximum allowed.	$2,046,949	(4) $2,300,000	$1,160,000
Transfer to Weatherization	$400,000	$ - 0 -	$ - 0 -
Source of Funds			
LIHEAP Block Grant Award	$25,568,440	$25,675,382	$11,600,000
Supplemental LIHEAP Award	$2,372,239	$1,283,670	$ - 0 -
LIHEAP Leverage Award	$183,760	$ - 0 -	$ - 0 -
Total LIHEAP Spending:	$28,124,439	$26,959,052	$11,600,000

NOTES:

- 1 + 2 + 3 + Wx = Total Spending. Total Spending may not equal the listed "Source of Funds" as the Source list does not include prior year's carryover and other LIHEAP funds not listed.
- The source of funds are Federal LIHEAP dollars only – State funds are not included.
- FFY2010 Supplemental LIHEAP Award includes $598,798 granted Sept. 20, 2010 and fully carried over to FFY2011.
- (1) Includes $498,000 for crisis fuel assistance "Direct Client Services."
- (2) Includes $530,400 for crisis fuel assistance "Direct Client Services."
- (3) Includes $515,000 for crisis fuel assistance "Direct Client Services."
- (4) Includes $300,000 for IT projects exclusive to LIHEAP including the "fuel dealer web portal"

OMB Approval No. 0970-0075, Expiration Date: 04/30/2014

ATTACHMENT 1
PROGRAM INTEGRITY ASSESSMENT
Low Income Home Energy Assistance Program (LIHEAP)

ABSTRACT: HHS is requiring further detail from Grantees on their FY2012 plans for preventing and detecting fraud, abuse, and improper payments. HHS is also requiring that Grantees highlight and describe all elements of this FY2012 plan which represent improvements or changes to the State's FY2011 plan for preventing and detecting fraud, abuse and improper payment prevention.

State, Tribe or Territory (and grant official): Vermont
Richard Moffi, Fuel Assistance Program Chief

Date/Fiscal Year: July 15, 2011 FFY2012

VERMONT Program Notes:

Seasonal Fuel Assistance (SFA) – Vermont's Seasonal Fuel Assistance Program is administered state-wide by Department for Children and Families' Economic Services Division (ESD) which includes the Office of Home Heating Fuel Assistance.

Crisis Fuel Assistance (CFA) – Vermont's Crisis Fuel Assistance Program is operated by the state's five community action agencies under grant agreements with the Office of Home Heating Fuel Assistance.

ACCESS Database – The Economic Services Division maintains a state-wide benefits database called ACCESS (not Microsoft Access). This database includes applicants and recipients for TANF, SNAP, LIHEAP, Medicare, Medicaid, all Vermont health benefit programs, and Child Support.

RECENT AUDIT FINDINGS

Describe any audit findings of material weaknesses and reportable conditions, questioned costs and other findings cited in FY2011 or the prior three years, in annual audits, State monitoring assessments, Inspector General reviews, or other Government Agency reviews of LIHEAP agency finances.

Seasonal Fuel Assistance

For year ending June 30, 2009 KPMG auditors' report as required by OMB Circular A-133 found the following condition: "During our testwork over eligibility, we noted that 1 of the 40 applicants selected for testwork was not eligible to receive benefits as the participant's income exceeded the eligibility thresholds."

Crisis Fuel Assistance

CFA was audited as part of the audit noted above and there were no findings.
The Crisis Fuel Assistance grant agreements with the community action agencies have single audit requirements and record maintenance requirements to support audits after a season and grant closes.

Please describe whether the cited audit findings or relevant operations have been resolved or corrected. If not, please describe the plan and timeline for doing so in FY2012.

Seasonal Fuel Assistance

KPMG concluded that "Corrective action is not considered necessary as we believe further procedures are not warranted and would not be cost effective."

If there is no plan in place, please explain why not.

No plan required based on the conclusions of the auditors.

Necessary outcomes from these systems and strategies.

The timely and thorough resolution of weaknesses or reportable conditions as revealed by the audit.

COMPLIANCE MONITORING

Describe the State's FY2011 strategies that will continue in FY2012 for monitoring compliance with State and Federal LIHEAP policies and procedures by the State and local administering agencies.

Seasonal Fuel Assistance

The Office of Home Heating Fuel Assistance (the Fuel Office) functions in the Economic Services Division as a part of eligibility operations. In that capacity the three members of the Fuel Office provide staff training, monitor processing of applications and reviews, and undertake eligibility quality assurance. Compliance monitoring includes regular frequent (at least monthly, and often weekly) statistical reviews of applications, eligibility, denials, and benefits levels to observe any significant variations that may be the result of errors or misunderstanding of state or federal regulations.

Crisis Fuel Assistance

Vermont's Crisis Fuel Assistance Program is operated by the state's five community action agencies under grant agreements with the Office of Home Heating Fuel Assistance. The Fuel Assistance Program Chief conducts program reviews mid-season with two or three of the five agencies annually. Each agency is reviewed no less frequently than once every two years. Sample cases are selected for a detailed review of eligibility determination. Crisis Fuel Coordinators and the agency Executive Director are informed of the findings and any corrective action needed. Depending on the finding the Fuel Chief will issue a clarifying memo that can be circulated to all staff with the particular agency and to the Crisis Fuel Coordinators at the other agencies.

Crisis Fuel training is provided to all agencies prior to the start of the Crisis Fuel season (last Monday in November). Throughout the season monthly conference calls are conducted between the Fuel Office and Crisis Fuel Coordinators from each agency to identify, discuss and clarify any problems or issues that are being experienced.

Please highlight any strategies for compliance monitoring from your plan which will be newly implemented as of FY2012.

None to be newly implemented for FFY2012. Internal discussions anticipate that the ESD Fraud and Quality Control Unit may assume some aspects of compliance monitoring in the future but not during FFY2012.

If you don't have a firm compliance monitoring system in place for FY2012, please describe how the State is verifying that LIHEAP policy and procedures are being followed.

N/A

Necessary outcomes from these systems and strategies.

A sound methodology, with a schedule for regular monitoring and a more effective monitoring tool to gather information.

Vermont Outcome: A regular and predictable methodology utilizing program-knowledgeable staff to provide effective monitoring, information gathering, analysis and remediation

FRAUD REPORTING MECHANISMS

For FY2011 activities continuing in FY2012, please describe all (a) mechanisms available to the public for reporting cases of suspected LIHEAP fraud, waste or abuse? [These may include telephone hotlines, websites, email addresses, etc.] (b) strategies for advertising these resources.

Seasonal Fuel Assistance

Crisis Fuel Assistance

The Economic Services Division in the Department for Children and Families has a Fraud and Quality Control Unit. SFA senior management accepts fraud concerns, complaints and referrals from clients, ESD/DCF staff, fuel suppliers and the general public. SFA documents and refers credible cases to the Fraud / QC Unit for investigation. CFA workers refer fraud concerns, complaints and referrals that they receive or observe to SFA for the same referral to the Fraud / QC Unit.

Fraud is defined by statute (33 VSA § 141) as:

A. Use of a willfully false statement, representation, impersonation, or other fraudulent device to obtain, attempt to obtain or aid and abet any person to obtain assistance or benefits to which he is not lawfully entitled or a larger amount than that to which he is lawfully entitled; or
B. Disposition of or knowingly aiding or abetting in disposition of property to obtain assistance to which a person is not entitled or a larger amount than that to which he is entitled.

Suspected Fraud is defined in policy 2015.1 at:
http://humanservices.vermont.gov/on-linerules/esd/Group%202000%20Rules.pdf/view

The Department for Children and Families website contains a "Complaints and Concerns" section where the public in general or clients in particular can go to find out how to register a complaint or express their concern, include issues related to fraud or abuse.

Please highlight any tools or mechanisms from your plan which will be newly implemented in FY2012, and the timeline for that implementation.

None to be newly implemented.

If you don't have any tools or mechanisms available to the public to prevent fraud or improper payments, please describe your plan for involving all citizens and stakeholders involved with your program in detecting fraud.

The Fraud and QC unit is available to the public through department representatives.

Necessary outcomes of these strategies and systems

Clear lines of communication for citizens, grantees, clients, and employees to use in pointing out potential cases of fraud or improper payments to State administrators.

Vermont Outcome: Open and direct communication between the public (including clients) and the Department is critical. As stated on the DCF website: "The work we do requires us to make difficult decisions on a daily basis—ones that affect people's lives and that not everyone will agree with. To make sure the decisions we make are in the best interest of the individuals, families, and children involved, we need to:

- Hear from you if you have concerns;
- Listen with an open mind; and
- Learn from what you have to say.

If you have a concern/complaint about a decision we've taken, the lack of action on our part, or the way you've been treated, we want to hear about it."

VERIFYING APPLICANT IDENTITIES

Describe all FY2011 State policies continuing in FY2012 for how identities of applicants and household members are verified.

Seasonal Fuel Assistance

Social security numbers for all members of a household are required on Seasonal Fuel Assistance applications. A sample application is available as a pdf document.

SFA Benefit Program Specialists (BPS) employed by ESD use the ESD ACCESS in enter client application data and determine eligibility and program benefits. The ACCESS database match the head-of-household's social security number to active and inactive benefit records and confirms identity of other members of the households listed or not listed on the Seasonal Fuel Application using their social security numbers.

Crisis Fuel Assistance

Social security numbers for all members of a household are required on Crisis Fuel Assistance applications. Sample applications are available as pdf documents.

CFA workers use the ESD ACCESS database system to match the head-of-household's social security number to active and inactive benefit records for the confirmation of income, benefit program eligibility and household composition. ACCESS is also used to confirm identity and other members of the households listed or not listed on the Crisis Fuel Application using their social security numbers.

Please highlight any policy or strategy from your plan which will be newly implemented in FY2012.

None to be newly implemented.

If you don't have a system in place for verifying applicant's identities, please explain why and how the State is ensuring that only authentic and eligible applicants are receiving benefits.

N/A. A system is in place using social security numbers.

Necessary outcomes from these systems and strategies

Income and energy supplier data that allow program benefits to be provided to eligible individuals.

Vermont Outcome: Access to consistent, accurate and up-to-date client information including but not limited to identity, income, and household composition.

SOCIAL SECURITY NUMBER REQUESTS

Describe the State's FY2012 policy in regards to requiring Social Security Numbers from applicants and/or household members applying for LIHEAP benefits.

Seasonal Fuel Assistance
Crisis Fuel Assistance

Social security numbers for all members of fuel assistance households are required on Seasonal Fuel Assistance and Crisis Fuel Assistance applications.

Please describe whether the State's policy for requiring or not requiring Social Security numbers is new as of FY2012, or remaining the same.

Seasonal Fuel Assistance
Crisis Fuel Assistance

Social security numbers for all members of fuel assistance households has been an ongoing requirement for both SFA and CFA for at least the last 15 years.

If the State is not requiring Social Security Numbers of LIHEAP applicants and/or household members, please explain what supplementary measures are being employed to prevent fraud.

Not applicable.

Necessary outcomes from these systems and strategies

All valid household members are reported for correct benefit determination.

CROSS-CHECKING SOCIAL SECURITY NUMBERS AGAINST GOVERNMENT SYSTEMS/DATABASES

Describe if and how the State used existing government systems and databases to verify applicant or household member identities in FY2011 and continuing in FY2012. (Social Security Administration Enumeration Verification System, prisoner databases, Government death records, etc.)

Seasonal Fuel Assistance
Crisis Fuel Assistance

ESD uses "Numident" on a nightly basis to confirm that social security numbers for clients in ACCESS are attributed to the correct individuals by name and date of birth. ESD Benefit Program Specialists (BPSs) or Supervisors enter a function in ACCESS to request the match for someone who has an unverified social security number. Once a month, regardless of individual requests by ESD workers ACCESS runs a tape match with Numident for all cases in our system.

The ACCESS database runs monthly tape matches with Vermont Unemployment Compensation. The Vermont Office of Child Support (OCS) automatically crosses-over child support, alimony and tax intercept payments received by clients. OCS provides limited/restricted information for incarcerated individuals linked to client households. OCS uses the federal parent locator service (FPLS) nationwide for physical addresses and matches are updated in the OCS and ESD sides of ACCESS. (OCS occupies a separate section of the ACCESS database.)

Medicare and Medicaid benefits and Vermont's healthcare and pharmacy programs reside in ACCESS. Client deaths are entered into ACCESS and are readily accessible.

Please highlight which, if any, policies or strategies for using existing government databases will be newly implemented in FY2012.

None to be newly implemented.

If the State won't be cross checking Social Security Numbers and ID information with existing government databases, please describe how the State will supplement this fraud prevention strategy.

Not applicable.

Necessary outcomes from these systems and strategies

Use of all available database systems to make sound eligibility determination.

VERIFYING APPLICANT INCOME

Describe how the State or designee used State Directories of new hires or similar systems to confirm income eligibility in FY2011 and continuing in FY2012.

Seasonal Fuel Assistance
Crisis Fuel Assistance

ACCESS contains verified income from all sources (earned and unearned) for benefit programs including SNAP, TANF, Medicare, Medicaid, Vermont healthcare and pharmacy programs, State General and Emergency Assistance.

Monthly tape matches run by ACCESS with Vermont Unemployment Compensation and employment earnings reported through Reach Up (Vermont's TANF program) provide the bulk of income information related to new hires.

Both Seasonal and Crisis Fuel Assistance policies allow workers to require documentation of income or any other factor related to eligibility that may be questionable, incomplete or not available through ACCESS.

Please highlight any policies or strategies for using new hire directories which will be newly implemented in FY2012.

None to be newly implemented.

If the State won't be using new hire directories to verify applicant and household member incomes how will the State be verifying that information?

N/A. Information available in ACCESS from Reach Up (TANF) and State Unemployment Compensation provide the necessary information.

Necessary outcomes from these systems and strategies

Effective income determination achieved through coordination across program lines.

PRIVACY-PROTECTION AND CONFIDENTIALITY

Describe the financial and operating controls in place in FY2011 that will continue in FY2012 to protect client information against improper use or disclosure.

Seasonal Fuel Assistance

All employees of the Economic Services Division sign a confidentiality agreement at the start of employment. The ACCESS database requires a user to be authorized by the IT division and entry is protected by two separate passwords that are required to be changed at monthly and quarterly intervals.

All applicants of benefits from the Economic Services Division, including Seasonal Fuel Assistance, are advised of the "Rights and Responsibilities," including confidentiality on the application and benefit notices.

All fuel suppliers certified by the Office of Home Heating Fuel Assistance agree to a "Confidentiality" clause as part of the certification agreement.

The operation of the Department for Children and Families operate under formal business practices that are subject to general financial audits and program specific audits on an annual basis.

Crisis Fuel Assistance

The Crisis Fuel Assistance grant agreements with the community action agencies contain specific requirements for: privacy and security standards, security and data transfers, computing and communication, safeguarding and reporting responsibilities for personal identifiable information, and security guidance for contractors and grantees of the Agency of Human Services.

To access the ACCESS database crisis fuel workers must have systems approval for a "Citrix" account to connect to the database and be issued a "key fob" assigned for their use that provides a constantly changing entry authorization number. The ACCESS database requires a user to be authorized by the IT division and entry is protected by two separate passwords that are required to be changed at monthly and quarterly intervals.

Please highlight any controls or strategies from your plan which will be newly implemented as of FY2012.

None to be newly implemented.

If you don't have relevant physical or operational controls in place to ensure the security and confidentiality of private information disclosed by applicants, please explain why.

Not applicable.

Necessary outcomes from these systems and strategies

Clear and secure methods that maintain confidentiality and safeguard the private information of applicants.

LIHEAP BENEFITS POLICY

Describe FY2011 State policies continuing in FY2012 for protecting against fraud when making payments, or providing benefits to energy vendors on behalf of clients.

Seasonal Fuel Assistance

Fuel suppliers certified by the Fuel Office agree to the terms and conditions of certification found at: http://dcf.vermont.gov/sites/dcf/files/pdf/esd/fuel/Cert_Agr_Terms_Cond.pdf
Clause #7, 8, 9 and 10: Direct Bank Deposit, Benefit Data, Line of Credit and Use of Line of Credit (respectively) all ensure that proper individual benefit payments for individual eligible clients are being made to fuel suppliers.

Benefit Payments are issued only by the Office of Home Heating Fuel Assistance through the Department and State business offices directly into verified bank accounts of certified fuel suppliers. At least annually the Fuel Office runs a "pre-note" test to confirm supplier bank accounts. Pre-notes are also run when a supplier changes a bank account of becomes newly certified.

Crisis Fuel Assistance

Each community action agency has a separate purchase order, invoice tracking and payment monitoring system for the issuance of crisis fuel benefit to fuel and energy suppliers. Although the system details are different the basics are the same: authorization to fuel suppliers is made by the community action representative, invoices are received after fuel is delivered or after client accounts for regulated utilities are credited, and those invoices are matched against a crisis fuel grant made by an authorized agency representative.

Please highlight any fraud prevention efforts relating to making payments or providing benefits which will be newly implemented in FY2012.

None to be newly implemented in FFY2012

Seasonal Fuel Assistance

The Fuel Program Statute (Title 33 Chapter 26) was amended by Act 88 on 4/29/10 to require: "No later than September 1, 2011, the secretary of human services or designee shall implement a payment system to pay fuel benefits to certified fuel suppliers after the fuel is delivered or, for metered fuel and regulated utilities, after the beneficiary's account has been billed." The "fuel dealer secure web portal" being developed will roll-out in two phases: Phase 1 in FFY2012 will provide for the transfer of client benefit documentation only; Phase 2 in FFY2013 will include the "payment-after-delivery" function.

If the State doesn't have policy in place to protect against improper payments when making payments or providing benefits on behalf of clients, what supplementary steps is the State taking to ensure program integrity.

Not applicable.

Necessary outcomes from these systems and strategies

Authorized energy vendors are receiving payments on behalf of LIHEAP eligible clients

Vermont Outcome: Fuel suppliers receive only benefits approved either by the Fuel Assistance Office for Seasonal Fuel Assistance or by the community action agency for Crisis Fuel Assistance.

PROCEDURES FOR UNREGULATED ENERGY VENDORS

Describe the State's FY2011 procedures continuing in FY2012 for averting fraud and improper payments when dealing with bulk fuel dealers of heating oil, propane, wood and other un-regulated energy utilities.

Seasonal Fuel Assistance

Fuel suppliers certified by the Fuel Office agree to the terms and conditions of certification found at: http://dcf.vermont.gov/sites/dcf/files/pdf/esd/fuel/Cert_Agr_Terms_Cond.pdf
Applicants for Seasonal Fuel Assistance identify their fuel supplier on their application for assistance. Suppliers, including regulated utilities, are certified by the Office of Home Heating Fuel Assistance after original, signed and dated acceptable documentation is submitted to the Office. A bank account "pre-note" test is run to verify the supplier's bank account. When the existence or authenticity of a dealer is questioned additional information is sought either from the dealer or the Secretary of State's Office and public records.

Clause #15 "Outstanding Credit Balances" requires certified suppliers to submit a "Refund Report" to the Fuel Office a full accounting of the use of benefits in the prior heating season. For the past thirteen heating seasons the Fuel Office provides the base data forms (client name, ID#, address, fuel type, total benefits issued) to the suppliers to ensure consistency of data submission. Refund reports are reviewed by Fuel Office staff and discrepancies or questionable patterns are reported to the Fuel Chief for further investigation and referral to the Fraud Unit if necessary. In addition, benefit recipients provide a self-interest level of monitoring of the use of their benefit by fuel supplies thus ensuring they receive the full benefit of their fuel assistance.

Crisis Fuel Assistance

Each community action agency has a separate purchase order, invoice tracking and payment monitoring system for the issuance of crisis fuel benefit to fuel and energy suppliers. Although the system details are different the basics are the same: authorization to fuel suppliers is made by the community action representative, invoices are received after fuel is delivered or after client accounts for regulated utilities are credited, and those invoices are matched against a crisis fuel grant made by an authorized agency representative.

Please highlight any strategies policy in this area which will be newly implemented in FY2012.

Seasonal Fuel Assistance

The Fuel Assistance Office as of FFY2011 no longer certifies suppliers of firewood or wood pellets. Benefits payments in FFY2012 will be made directly to the eligible head of household who can negotiate the purchase of firewood or pellets with any supplier they choose. Issues related to fraud, high prices, and/or quality of product by the supplier led to this benefit payment change.

The Fuel Program Statute (Title 33 Chapter 26) was amended by Act 88 on 4/29/10 to require: "No later than September 1, 2011, the secretary of human services or designee shall implement a payment system to pay fuel benefits to certified fuel suppliers after the fuel is delivered or, for metered fuel and regulated utilities, after the beneficiary's account has been billed." The "fuel dealer secure web portal" being developed will roll-out in two phases: Phase 1 in FFY2012 will provide for the transfer of client benefit documentation only; Phase 2 in FFY2013 will include the "payment-after-delivery" function.

If you don't have a firm plan for averting fraud when dealing with unregulated energy vendors, please describe how the State is ensuring program integrity.

Seasonal Fuel Assistance

N/A. The current "Fuel Supplier Certification" of fuel and energy suppliers (including regulated utilities) helps to avert fraud by non-existing entities. The current dual monitoring system of "Refund Reports" and client self-interest monitoring provides an acceptable system to identify fraud committed by suppliers who have been certified by the Fuel Office.

Necessary outcomes from these systems and strategies

Participating vendors are thoroughly researched and inspected before benefits are issued.

Vermont Outcome: Certified fuel suppliers are reviewed and approved for certification prior to the issuance of seasonal fuel benefits. Fuel and energy suppliers of crisis fuel assistance receive benefit payments only after product is delivered or a client account has been credited.

VERIFYING THE AUTHENTICITY OF ENERGY VENDORS

Describe State FY2011 policies continuing in FY2012 for verifying the authenticity of energy vendors being paid under LIHEAP, as part of the State's procedure for averting fraud.

Seasonal Fuel Assistance

Applicants for Seasonal Fuel Assistance identify their fuel supplier on their application for assistance. Suppliers, including regulated utilities, are certified by the Office of Home Heating Fuel Assistance after original, signed and dated acceptable documentation is submitted to the Office. A bank account "pre-note" test is run to verify the supplier's bank account. When the existence or authenticity of a dealer is questioned additional information is sought either from the dealer or the Secretary of State's Office and public records.

Crisis Fuel Assistance

Community action agencies work directly with fuel and energy suppliers. Only those suppliers who receive a purchase order for a crisis fuel delivery or account credit (on a client's regulated utility bill) will receive a LIHEAP payment from the community action agencies' business office when proper documentation is submitted.

Please highlight any policies for verifying vendor authenticity which will be newly implemented in FY2012.

None being implemented in FFY2012.

If you don't have a system in place for verifying vendor authenticity, please describe how the State can ensure that funds are being distributed through valid intermediaries?

N/A

Necessary outcomes from these systems and strategies

An effective process that effectively confirms the existence of entities receiving federal funds.

TRAINING AND TECHNICAL ASSISTANCE

In regards to fraud prevention, please describe elements of your FY2011 plan continuing in FY2012 for training and providing technical assistance to (a) employees, (b) non-governmental staff involved in the eligibility process, (c) clients, and (d) energy vendors.

Seasonal Fuel Assistance

Economic Services Division Benefit Program Specialists (BPSs) are responsible for eligibility determination for Seasonal Fuel Assistance. Through their work with SNAP, TANF, Medicare and Medicaid these BPSs are trained on the fraud referral process through their supervisors to the ESD Fraud and Quality Control Unit.

Clients are advised when they sign their application or review for ESD benefits that they are subject to the "Rights and Responsibilities" identified in the application packet including: fraud penalties, quality control review, benefits from another state, true and complete information, and reporting changes.

Fuel suppliers certified by the Office of Home Heating Fuel Assistance agree to report "Multiple Benefits" received for a single fuel storage system.

The Fuel Assistance Office annually reminds and advises fuel suppliers and other interested persons that they are encouraged to refer to the Fuel Assistance Program Chief matters related to fraud or program abuse by any parties directly

Crisis Fuel Assistance

Crisis Fuel workers at the five community action agencies receive annual training in Crisis Fuel eligibility determination including fraud prevention. If issues related to fraud or quality control are identified in one agency, all agencies are advised pro-actively of the situation and appropriate remedies to be taken.

Clients are advised of their rights and responsibilities for obtaining Crisis Fuel Assistance by each of the five community action agencies of the

Please highlight specific elements of your training regiment and technical assistance resources from your plan which will represent newly implemented in FY2012.

None to be newly implemented in FFY2012

If you don't have a system in place for anti-fraud training or technical assistance for employees, clients or energy vendors, please describe your strategy for ensuring all employees understand what is expected of them and what tactics they are permitted to employ.

Not applicable.

Necessary outcomes from these systems and strategies

The timely and thorough resolution of weaknesses or reportable conditions as revealed by the audit.

AUDITS OF LOCAL ADMINISTERING AGENCIES

Please describe the annual audit requirements in place for local administering agencies in FY2011 that will continue into FY 2012.

Crisis Fuel Assistance

Vermont's Crisis Fuel Assistance Program is operated by the state's five community action agencies under grant agreements with the Office of Home Heating Fuel Assistance. The Fuel Assistance Program Chief conducts program reviews mid-season with two or three of the five agencies annually. Each agency is reviewed no less frequently than once every two years. Sample cases are selected for a detailed review of eligibility determination. Crisis Fuel Coordinators and the agency Executive Director are informed of the findings and any corrective action needed. Depending on the finding the Fuel Chief will issue a clarifying memo that can be circulated to all staff with the particular agency and to the Crisis Fuel Coordinators at the other agencies.

Crisis Fuel training is provided to all agencies prior to the start of the Crisis Fuel season (last Monday in November). Throughout the season monthly conference calls are conducted between the Fuel Office and Crisis Fuel Coordinators from each agency to identify, discuss and clarify any problems or issues that are being experienced.

The five Community Action Agencies receive block grant funding from the State Office of Economic Opportunity (OEO) which is also in the Vermont Department for Children and Families. OEO conducts annual financial and business practice audits of the agencies and those audits include the administration of LIHEAP funds for Crisis Fuel Assistance.

Please describe new policies or strategies to be implemented in FY2012.

None to be newly implemented in FFY2012

If you don't have specific audit requirements for local administering agencies, please explain how the Grantee will ensure that LIHEAP funds are properly audited under the Single Audit Act requirements.

Not applicable.

Necessary outcomes from these systems and strategies

Reduce improper payments, maintain local agency integrity, and benefits awarded to eligible households.

Additional Information

Please attach further information that describes the Grantee's Program Integrity Policies, including supporting documentation from program manuals, including pages/sections from established LIHEAP policies and procedures.

No additional information is attached.

According to the Paperwork Reduction Act Of 1995 (Pub. L. 104-13), 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.

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'10 Actual	FFY'11 Estimated	FFY'12 Proposed
Goal #1 Component A: preventive and primary care services for pregnant women, mothers, and infants up to age one.	$ 139,523	$ 170,099	$ 170,099
APPROPRIATION: Public Health			
Goal #2 Component B: preventive and primary care services for children.	$2,591,818	$2,351,872	$2,351,872
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.	$1,939,973	$2,155,877	$2,155,877
APPROPRIATION: Public Health			

Maternal and Child Health Services Block Grant

Use of Funds by Goal or Activity	FFY'10 Actual	FY'11 Estimated	FFY'12 Proposed
Less: Medicaid Receipts	$(1,058,956)	$(1,058,956)	$(1,058,956)
Less: MOE	$(167,092)	$(167,092)	$(167,092)
Total Expenditures:	$ 3,445,265	$ 3,578,892	$ 3,578,892
Federal MCH Block	$ 1,692,918	$ 1,683,958	$ 1,683,958
State Share	$ 1,752,347	$ 1,894,933	$ 1,894,933
Total	$ 3,445,265	$ 3,578,892	$ 3,578,892

Block Grant Awards

FFY 2009	$1,694,536
FFY 2010	$1,692,918
FFY 2011	$1,684,954
FFY 2012	$1,683,958

Maternal and Child Health Services Block Grant

Title V Plan submitted to the Maternal and Child Health Bureau
on July 15, 2011
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'10 Actual	FY'11 Estimated	FY'12 Proposed
Education and Community Based Services To increase the years of healthy life to at least 65 years.	$ 554,157	$123,528	$0
Oral Health Reduce dental caries among children through programs of water fluoridation.			
Nutrition To reduce coronary heart disease deaths.			
Sexual Assault Prevention To reduce sexual assault and provide support to victims of sexual assault.			
Emergency Medical Services For EMS to enhance incident reporting and program planning among local EMT Units, Hospital ER's, and Public Health EMS Planners.	$545,293	$123,527	$0
Total Expenditures-Gross	$ 1,099,451	$247,055	$0

Preventive Health and Health Services Block Grant

	FFY'10 Actual	FY'11 Estimated	FFY'12 Proposed
Source of Funds			
PHHS Block	$273,235	$204,926	$0,00
State General Funds	$826,216	$ 42,129	$ 0,00
Total	$1,099,451	$247,055	$0

Block Grant Awards

FFY 2009	$276,282
FFY 2010	$273,235
FFY 2011	$204,926
FFY 2012	$0

Please note: FFY11 award has been reduced to the amount shown. The Vermont Department of Health (VDH) has been advised that there will almost certainly not be any award for FFY12. The PHHS Block Grant was not included in the President's Budget Request. The U.S. Centers for Disease Control said in their Budget Request narrative that their budget "reflects an elimination of the Preventive Health and Health Services Block Grant program. Through CDC's existing and expanding activities there is substantial funding to State Health Departments. These activities may be more effectively and efficiently implemented" through other new, expanded or modified grants. If Congress nonetheless continues funding for this Block Grant, the information shown above will be a placeholder for our FFY 12 application. If Congress accepts the President's Budget Request, we will follow the CDC advice and move most of these programs to other federal grants. Specifically, most of the costs other than the Incident Reporting System for EMS will be moved to a new CDC grant for Comprehensive Chronic Disease. The Incident Reporting System will be supported by the Public Health Emergency Preparedness grant.

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.

Social Services Block Grant

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

There is a public meeting scheduled by the Agency on **August 23, 2011** 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'10 Actual	FFY'11 Estimated	FFY'12 Proposed
Secretary's Office	$ 687,422	$ 1,048,177	$ 1,013,012
Family Services	$7,372,327	$8,402,854	$8,402,854
Health Department	$ 322,088	$ 322,088	$ 322,088
Mental Health Department	$ 444,495	$ 444,495	$ 444,495
Dept. of Disabilities, Aging and Independent Living	$ 834,922	$ 1,001,825	$ 1,001,825
Total Social Services Expend.	$ 9,721,254	$ 11,219,439	$ 11,184,274
Source of Funds			
Federal Funds	$ 3,454,142	$ 3,423,685	$ 3,423,685
Overclaim/State General Funds	$ 1,531,794	$ 3,060,436	$ 3,025,271
TANF Transfer	$ 4,735,318	$ 4,735,318	$ 4,735,318
Total	$ 9,721,254	$ 11,219,439	$ 11,184,274

Block Grant Awards

FFY 2009	$3,481,978
FFY 2010	$3,454,142
FFY 2011	$3,423,685
FFY 2012	$3,423,685

Social Services Block Grant

Use of Funds by Goal or Activity	FFY'10 Actual	FFY'11 Estimated	FFY'12 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.	$304,906	$342,254	$349,151
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.	$382,516	$705,923	$663,861
APPROPRIATION: AHS Sec. Office Human Svc. Bd. DCF Admin. Dpt. DAIL Admin Mental Health CMR CMH Central Office			
Total Expenditures:	$ 687,422	$1,048,177	$1,013,012

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'10 Actual	FFY'11 Estimated	FFY'12 Proposed
Goal #1			
To assure that legislative mandates and departmental policies are implemented for foster care programs.	$ 310,537	$ 661,740	$ 661,740
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.	$ 5,356,955	$ 5,677,420	$ 5,677,420
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.	$ 1, 351,380	$ 1,585,588	$ 1,585,588
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.	$ 353,455	$ 478,106	$ 478,106
Total Expenditures	$7,372,327	$8,402,854	$8,402,854

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

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

GOAL ACCOMPLISHMENT

Goal 1

Services provided under this goal fund staff in twelve Department of Children and Families district and central office. Staff numbers approximately 397 and it is estimated that staff will serve a client caseload of approximately 7,600 in FY 11.

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'11.

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 and Mental Health Department

Use of Funds by Goal or Activity	FFY'10 Actual	FY'11 Estimated	FFY'12 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:	$444,495	$444,495	$444,495
Goal #2 To provide comprehensive family planning services.			
APPROPRIATION: Public Health	$382,088	$322,088	$322,088
Total Expenditures:	$826,583	$766,583	$766,583

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'10 Actual	FFY'11 Estimated	FFY'12 Proposed
Goal #1			
Attendant Services Program			
To provide personal care services To people with permanent and Severe physical disabilities.	$ 278,809	$ 301,732	$301,732
APPROPRIATION: DAIL Grants			
Number of persons served:	23	14	14
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.	$ 347,101	$386,580	$386,580
APPROPRIATION: DAIL Administration			
Number of persons served:	61	82	72

Social Services Block Grant

SOCIAL SERVICES BLOCK GRANT SUMMARY

Department of Disability, Aging & Independent Living

Use of funds by Goal or Activity	FFY'10 Actual	FFY'11 Estimated	FFY'12 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.	$ 209,012	$ 313,512	$ 313,512
Number of persons served:	3,734	3,875	3,021
APPROPRIATION: DS Grants			
Grand Total:	$ 834,922	$ 1,001,825	$1,001,825

SUBSTANCE ABUSE PREVENTION & TREATMENT BLOCK GRANT

Substance Abuse Prevention & Treatment Block Grant

Use of Funds by Goal or Activity	FFY'10 Actual	FFY'11 Estimated	FFY'12 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	$985,990	$985,988	$985,988
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			

Substance Abuse Prevention & Treatment Block Grant

Use of Funds by Goal or Activity	FFY'10 Actual	FFY'11 Estimated	FFY'12 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	$1,249,768	$1,727,925	$1,727,925
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'10 Actual	FFY'11 Estimated	FFY'12 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'10 Actual	FFY'11 Estimated	FFY'12 Proposed
Alcohol and Drug Treatment	$6,951,140	$7,033,962	$7,033,962
Total	$9,186,898	$9,747,875	$9747,875

Source of Funds			
SAPT Funds	$5,438,864	$ 5,390,666	$ 5,390,666
State General Funds	$3,748,034	$ 1,212,943	$ 1,212,943
TOTAL	$9,186,898	$ 9,847,028	$ 9,847,028

Block Grant Awards

FFY'09 $5,261,374
FFY'10 $5,438,864
FFY'11 $5,390,666
FFY'12 $ 5,390,666

Substance Abuse Prevention & Treatment Block Grant

FY 2012 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. 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).

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

Substance Abuse Prevention & Treatment Block Grant

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."

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

XV. ADDITIONAL REQUIREMENTS, SECTION 1943

XVI. PROHIBITIONS REGARDING RECEIPT OF FUNDS, SECTION 1946

XVII. NONDISCRIMINATION, SECTION 1947

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

STATE: VERMONT

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

Title: Secretary

Substance Abuse Prevention & Treatment Block Grant

Substance Abuse Prevention & Treatment Block Grant application narrative Document will be submitted via electronic filing. Copy available on request.

STATE PLAN ON AGING

UNDER TITLE III

OF THE OLDER AMERICAN'S ACT

State Plan on Aging Under Title III

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

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

ASSURANCES

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

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

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

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

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

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

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

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

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

Sec. 306(a), AREA PLANS

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

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

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

(C) legal assistance;

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

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

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

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

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

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

State Plan on Aging Under Title III

(I) specify how the provider intends to satisfy the service needs of low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in the area served by the provider;
(II) to the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in accordance with their need for such services; and
(III) meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas within the planning and service area; and
(4)(A)(iii) With respect to the fiscal year preceding the fiscal year for which such plan is prepared, each area agency on aging shall--
(I) identify the number of low-income minority older individuals and older individuals residing in rural areas in the planning and service area;
(II) describe the methods used to satisfy the service needs of such minority older individuals; and
(III) provide information on the extent to which the area agency on aging met the objectives described in clause (a)(4)(A)(i).
(4)(B)(i) Each area agency on aging shall provide assurances that the area agency on aging will use outreach efforts that will identify individuals eligible for assistance under this Act, with special emphasis on--
(I) older individuals residing in rural areas;
(II) older individuals with greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas);
(III) older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas);
(IV) older individuals with severe disabilities;
(V) older individuals with limited English proficiency;
(VI) older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and

State Plan on Aging Under Title III

(VII) older individuals at risk for institutional placement; and
(4)(C) Each area agency on 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.
(5) Each area agency on aging shall provide assurances that the area agency on aging will coordinate planning, identification, assessment of needs, and provision of services for older individuals with disabilities, with particular attention to individuals with severe disabilities, and individuals at risk for institutional placement, with agencies that develop or provide services for individuals with disabilities.
(6)(F) Each area agency will:
in coordination with the State agency and with the State agency responsible for mental health services, increase public awareness of mental health disorders, remove barriers to diagnosis and treatment, and coordinate mental health services (including mental health screenings) provided with funds expended by the area agency on aging with mental health services provided by community health centers and by other public agencies and nonprofit private organizations;
(9) Each area agency on aging shall provide assurances that the area agency on aging, in carrying out the State Long-Term Care Ombudsman program under section 307(a)(9), will expend not less than the total amount of funds appropriated under this Act and expended by the agency in fiscal year 2000 in carrying out such a program under this title.
(11) Each area agency on aging shall provide information and assurances concerning services to older individuals who are Native Americans (referred to in this paragraph as "older Native Americans"), including-
(A) information concerning whether there is a significant population of older Native Americans in the planning and service area and if so, an assurance that the area agency on aging will pursue activities, including outreach, to increase access of those older Native Americans to programs and benefits provided under this title;
(B) an assurance that the area agency on aging will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI; and
(C) an assurance that the area agency on aging will make services under the area plan available, to the same extent as

such services are available to older individuals within the planning and service area, to older Native Americans.
(13)(A) Each area agency on aging shall provide assurances that the area agency on aging will maintain the integrity and public purpose of services provided, and service providers, under this title in all contractual and commercial relationships.
(13)(B) Each area agency on aging shall provide assurances that the area agency on aging will disclose to the Assistant Secretary and the State agency--
(i) the identity of each nongovernmental entity with which such agency has a contract or commercial relationship relating to providing any service to older individuals; and
(ii) the nature of such contract or such relationship.
(13)(C) Each area agency on aging shall provide assurances that the area agency will demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under this title by such agency has not resulted and will not result from such non-governmental contracts or such commercial relationships.
(13)(D) Each area agency on aging shall provide assurances that the area agency will demonstrate that the quantity or quality of the services to be provided under this title by such agency will be enhanced as a result of such non-governmental contracts or commercial relationships.
(13)(E) Each area agency on aging shall provide assurances that the area agency will, on the request of the Assistant Secretary or the State, for the purpose of monitoring compliance with this Act (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older individuals.
(14) Each area agency on aging shall provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title.
(15) provide assurances that funds received under this title will be used-
(A) to provide benefits and services to older individuals, giving priority to older individuals identified in paragraph (4)(A)(i); and
(B) in compliance with the assurances specified in paragraph (13) and the limitations specified in section 212;

Sec. 307, STATE PLANS
(7)(A) The plan shall provide satisfactory assurance that such

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

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

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

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

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

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

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

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

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

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

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

State Plan on Aging Under Title III

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

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

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

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

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

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

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

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

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

the fiscal year for which such plan is prepared—
(A) identify the number of low-income minority older individuals in the State, including the number of low income minority older individuals with limited English proficiency; and
(B) describe the methods used to satisfy the service needs of the low-income minority older individuals described in subparagraph (A), including the plan to meet the needs of low-income minority older individuals with limited English proficiency.
(15) The plan shall provide assurances that, if a substantial number of the older individuals residing in any planning and service area in the State are of limited English-speaking ability, then the State will require the area agency on aging for each such planning and service area—
(A) to utilize in the delivery of outreach services under section 306(a)(2)(A), the services of workers who are fluent in the language spoken by a predominant number of such older individuals who are of limited English-speaking ability; and
(B) to designate an individual employed by the area agency on aging, or available to such area agency on aging on a full-time basis, whose responsibilities will include--
(i) taking such action as may be appropriate to assure that counseling assistance is made available to such older individuals who are of limited English-speaking ability in order to assist such older individuals in participating in programs and receiving assistance under this Act; and
(ii) providing guidance to individuals engaged in the delivery of supportive services under the area plan involved to enable such individuals to be aware of cultural sensitivities and to take into account effectively linguistic and cultural differences.
(16) The plan shall provide assurances that the State agency will require outreach efforts that will—
(A) identify individuals eligible for assistance under this Act, with special emphasis on—
(i) older individuals residing in rural areas;
(ii) older individuals with greatest economic need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas;
(iii) older individuals with greatest social need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in

rural areas;
(iv) older individuals with severe disabilities;
(v) older individuals with limited English-speaking ability; and
(vi) older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and
(B) inform the older individuals referred to in clauses (i) through (vi) of subparagraph (A), and the caretakers of such individuals, of the availability of such assistance.
(17) The plan shall provide, with respect to the needs of older individuals with severe disabilities, assurances that the State will coordinate planning, identification, assessment of needs, and service for older individuals with disabilities with particular attention to individuals with severe disabilities with the State agencies with primary responsibility for individuals with disabilities, including severe disabilities, to enhance services and develop collaborative programs, where appropriate, to meet the needs of older individuals with disabilities.
(18) The plan shall provide assurances that area agencies on aging will conduct efforts to facilitate the coordination of community-based, long-term care services, pursuant to section 306(a)(7), for older individuals who--
(A) reside at home and are at risk of institutionalization because of limitations on their ability to function independently;
(B) are patients in hospitals and are at risk of prolonged institutionalization; or
(C) are patients in long-term care facilities, but who can return to their homes if community-based services are provided to them.
(19) The plan shall include the assurances and description required by section 705(a).
(20) The plan shall provide assurances that special efforts will be made to provide technical assistance to minority providers of services.
(21) The plan shall
(A) provide an assurance that the State agency will coordinate programs under this title and programs under title VI, if applicable; and
(B) provide an assurance that the State agency will pursue activities to increase access by older individuals who are Native Americans to all aging programs and benefits provided by the agency, including programs and benefits provided under this title, if applicable, and specify the ways in which the State

agency intends to implement the activities.
(22) If case management services are offered to provide access to supportive services, the plan shall provide that the State agency shall ensure compliance with the requirements specified in section 306(a)(8).
(23) The plan shall provide assurances that demonstrable efforts will be made--
(A) to coordinate services provided under this Act with other State services that benefit older individuals; and
(B) to provide multigenerational activities, such as opportunities for older individuals to serve as mentors or advisers in child care, youth day care, educational assistance, at-risk youth intervention, juvenile delinquency treatment, and family support programs.
(24) The plan shall provide assurances that the State will coordinate public services within the State to assist older individuals to obtain transportation services associated with access to services provided under this title, to services under title VI, to comprehensive counseling services, and to legal assistance.
(25) The plan shall include assurances that the State has in effect a mechanism to provide for quality in the provision of in-home services under this title.
(26) The plan shall provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the State agency or an area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title.
(27) The plan shall provide assurances that area agencies on aging will provide, to the extent feasible, for the furnishing of services under this Act, consistent with self-directed care.

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

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

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

State Plan on Aging Under Title III

(1) The State plan shall provide an assurance that the State, in carrying out any chapter of this subtitle for which the State receives funding under this subtitle, will establish programs in accordance with the requirements of the chapter and this chapter.
(2) The State plan shall provide an assurance that the State will hold public hearings, and use other means, to obtain the views of older individuals, area agencies on aging, recipients of grants under title VI, and other interested persons and entities regarding programs carried out under this subtitle.
(3) The State plan shall provide an assurance that the State, in consultation with area agencies on aging, will identify and prioritize statewide activities aimed at ensuring that older individuals have access to, and assistance in securing and maintaining, benefits and rights.
(4) The State plan shall provide an assurance that the State will use funds made available under this subtitle for a chapter in addition to, and will not supplant, any funds that are expended under any Federal or State law in existence on the day before the date of the enactment of this subtitle, to carry out each of the vulnerable elder rights protection activities described in the chapter.
(5) The State plan shall provide an assurance that the State will place no restrictions, other than the requirements referred to in clauses (i) through (iv) of section 712(a)(5)(C), on the eligibility of entities for designation as local Ombudsman entities under section 712(a)(5).
(6) The State plan shall provide an assurance that, with respect to programs for the prevention of elder abuse, neglect, and exploitation under chapter 3—
(A) in carrying out such programs the State agency will conduct a program of services consistent with relevant State law and coordinated with existing State adult protective service activities for--(i) public education to identify and prevent elder abuse;
(ii) receipt of reports of elder abuse;
(iii) active participation of older individuals participating in programs under this Act through outreach, conferences, and referral of such individuals to other social service agencies or sources of assistance if appropriate and if the individuals to be referred consent; and
(iv) referral of complaints to law enforcement or public protective service agencies if appropriate;
(B) the State will not permit involuntary or coerced participation in the program of services described in

subparagraph (A) by alleged victims, abusers, or their households; and
(C) all information gathered in the course of receiving reports and making referrals shall remain confidential except--
(i) if all parties to such complaint consent in writing to the release of such information;
(ii) if the release of such information is to a law enforcement agency, public protective service agency, licensing or certification agency, ombudsman program, or protection or advocacy system; or
(iii) upon court order

REQUIRED ACTIVITIES

Sec. 307(a) STATE PLANS
(1)(A)The State Agency requires each area agency on aging designated under section 305(a)(2)(A) to develop and submit to the State agency for approval, in accordance with a uniform format developed by the State agency, an area plan meeting the requirements of section 306; and
(B) The State plan is based on such area plans.
Note: THIS SUBSECTION OF STATUTE DOES NOT REQUIRE THAT AREA PLANS BE DEVELOPED PRIOR TO STATE PLANS AND/OR THAT STATE PLANS DEVELOP AS A COMPILATION OF AREA PLANS.
(2) The State agency:
(A) evaluates, using uniform procedures described in section 202(a)(26), the need for supportive services (including legal assistance pursuant to 307(a)(11), information and assistance, and transportation services), nutrition services, and multipurpose senior centers within the State;
(B) has developed a standardized process to determine the extent to which public or private programs and resources (including Department of Labor Senior Community Service Employment Program participants, and programs and services of voluntary organizations) have the capacity and actually meet such need;
(4) The plan shall provide that the State agency will conduct periodic evaluations of, and public hearings on, activities and projects carried out in the State under this title and title VII, including evaluations of the effectiveness of services provided to individuals with greatest economic need, greatest social need, or disabilities (with particular attention to low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas). *Note: "Periodic" (defined in 45CFR Part 1321.3) means, at a minimum, once each fiscal year.*

State Plan on Aging Under Title III

(5) The State agency:
(A) affords an opportunity for a public hearing upon request, in accordance with published procedures, to any area agency on aging submitting a plan under this title, to any provider of (or applicant to provide) services;
(B) issues guidelines applicable to grievance procedures required by section 306(a)(10); and
(C) affords an opportunity for a public hearing, upon request, by an area agency on aging, by a provider of (or applicant to provide) services, or by any recipient of services under this title regarding any waiver request, including those under Section 316.
(6) The State agency will make such reports, in such form, and containing such information, as the Assistant Secretary may require, and comply with such requirements as the Assistant Secretary may impose to insure the correctness of such reports.
(8)(A) No supportive services, nutrition services, or in-home services are directly provided by the State agency or an area agency on aging in the State, unless, in the judgment of the State agency--
(i) provision of such services by the State agency or the area agency on aging is necessary to assure an adequate supply of such services;
(ii) such services are directly related to such State agency's or area agency on aging's administrative functions; or
(iii) such services can be provided more economically, and with comparable quality, by such State agency or area agency on aging.

INFORMATION REQUIREMENTS

Section 102(19)(G) - (required only if the State funds in-home services not already defined in Sec. 102(19))
The term "in-home services" includes other in-home services as defined by the State agency in the State plan submitted in accordance with Sec. 307.

Section 305(a)(2)(E)
provide assurance that preference will be given to providing services to older individuals with greatest economic need and older individuals with greatest social need, (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas) and include proposed methods of carrying out the

preference in the State plan;

Section 306(a)(17)
Each Area Plan will include information detailing how the Area Agency will coordinate activities and develop long-range emergency preparedness plans with local and State emergency response agencies, relief organizations, local and State governments and other institutions that have responsibility for disaster relief service delivery.

Section 307(a)
(2) The plan shall provide that the State agency will:
(C) Specify a minimum proportion of the funds received by each area agency on aging in the State to carry out part B that will be expended (in the absence of a waiver under sections 306 (c) or 316) by such area agency on aging to provide each of the categories of services specified in section 306(a)(2) *(Note: those categories are access, in-home, and legal assistance).*

Section (307(a)(3)
The plan shall:
(A) include (and may not be approved unless the Assistant Secretary approves) the statement and demonstration required by paragraphs (2) and (4) of section 305(d) (concerning distribution of funds); *(Note: the "statement and demonstration" are the numerical statement of the intrastate funding formula, and a demonstration of the allocation of funds to each planning and service area)*
(B) with respect to services for older individuals residing in rural areas:
(i) provide assurances the State agency will spend for each fiscal year of the plan, not less than the amount expended for such services for fiscal year 2000.
(ii) identify, for each fiscal year to which the plan applies, the projected costs of providing such
services (including the cost of providing access to such services).
(iii) describe the methods used to meet the needs for such services in the fiscal year preceding the first year to which such plan applies.

Section 307(a)(8)) (Include in plan if applicable)
(B) Regarding case management services, if the State agency or area agency on aging is already providing case management services (as of the date of submission of the plan) under a

State program, the plan may specify that such agency is allowed to continue to provide case management services.
(C) The plan may specify that an area agency on aging is allowed to directly provide information and assistance services and outreach.

Section 307(a)(10)
The plan shall provide assurance that the special needs of older individuals residing in rural areas are taken into consideration and shall describe how those needs have been met and describe how funds have been allocated to meet those needs.

Section 307(a)(21)
The plan shall:
(B) provide an assurance that the State agency will pursue activities to increase access by older individuals who are Native Americans to all aging programs and benefits provided by the agency, including programs and benefits provided under this title *(title III)*, if applicable, and specify the ways in which the State agency intends to implement the activities .

Section 307(a)(28)
(A) The plan shall include, at the election of the State, an assessment of how prepared the State is, under the State's statewide service delivery model, for any anticipated change in the number of older individuals during the 10-year period following the fiscal year for which the plan is submitted.
(B) Such assessment may include—
(i) the projected change in the number of older individuals in the State;
(ii) an analysis of how such change may affect such individuals, including individuals with low incomes, individuals with greatest economic need, minority older individuals, older individuals residing in rural areas, and older individuals with limited English proficiency;
(iii) an analysis of how the programs, policies, and services provided by the State can be improved, including coordinating with area agencies on aging, and how resource levels can be adjusted to meet the needs of the changing population of older individuals in the State; and
(iv) an analysis of how the change in the number of individuals age 85 and older in the State is expected to affect the need for supportive services.

Section 307(a)(29)

State Plan on Aging Under Title III

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

Section 307(a)(30)
The plan shall include information describing the involvement of the head of the State agency in the development, revision, and implementation of emergency preparedness plans, including the State Public Health Emergency Preparedness and Response Plan.

Section 705(a)(7)
In order to be eligible to receive an allotment under this subtitle, a State shall include in the State plan submitted under section 307:
(7) a description of the manner in which the State agency will carry out this title in accordance with the assurances described in paragraphs (1) through (6). *(Note: Paragraphs (1) of through (6) of this section are listed below)*
In order to be eligible to receive an allotment under this subtitle, a State shall include in the State plan submitted under section 307:
(1) an assurance that the State, in carrying out any chapter of this subtitle for which the State receives funding under this subtitle, will establish programs in accordance with the requirements of the chapter and this chapter;
(2) an assurance that the State will hold public hearings, and use other means, to obtain the views of older individuals, area agencies on aging, recipients of grants under title VI, and other interested persons and entities regarding programs carried out under this subtitle;
(3) an assurance that the State, in consultation with area agencies on aging, will identify and prioritize statewide activities aimed at ensuring that older individuals have access to, and assistance in securing and maintaining, benefits and rights;
(4) an assurance that the State will use funds made available under this subtitle for a chapter in addition to, and will not supplant, any funds that are expended under any Federal or State law in existence on the day before the date of the enactment of this subtitle, to carry out each of the vulnerable elder rights protection activities described in the chapter;

State Plan on Aging Under Title III

(5) an assurance that the State will place no restrictions, other than the requirements referred to in clauses (i) through (iv) of section 712(a)(5)(C), on the eligibility of entities for designation as local Ombudsman entities under section 712(a)(5);
(6) an assurance that, with respect to programs for the prevention of elder abuse, neglect, and exploitation under chapter 3--
(A) in carrying out such programs the State agency will conduct a program of services consistent with relevant State law and coordinated with existing State adult protective service activities for:
(i) public education to identify and prevent elder abuse;
(ii) receipt of reports of elder abuse;
(iii) active participation of older individuals participating in programs under this Act through outreach, conferences, and referral of such individuals to other social service agencies or sources of assistance if appropriate and if the individuals to be referred consent; and
(iv) referral of complaints to law enforcement or public protective service agencies if appropriate;
(B) the State will not permit involuntary or coerced participation in the program of services described in subparagraph (A) by alleged victims, abusers, or their households; and
(C) all information gathered in the course of receiving reports and making referrals shall remain confidential except--
(i) if all parties to such complaint consent in writing to the release of such information;
(ii) if the release of such information is to a law enforcement agency, public protective service agency, licensing or certification agency, ombudsman program, or protection or advocacy system; or
(iii) upon court order.

VERIFICATION OF INTENT

The State Plan on Aging Assurances is hereby submitted for the State of Vermont for the period October 1, 2011 through September 30, 2012.

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

State Plan on Aging Under Title III

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

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

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

(Date)

Commissioner, Department of Disabilities, Aging and Independent Living

9/7/11
(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 2011

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'10 Actual	FFY'11 Estimated	FFY'12 Proposed
Central Vermont Council on Aging	$ 927,860	$1,041,384	$1,047,420
Champlain Valley Agency on Aging	$1,512,435	$1,464,069	$1,489,656
Northeastern Kingdom Council on Aging	$ 952,858	$ 834,956	$ 822,441
Council on Aging for Southeastern Vermont	$ 980,980	$ 935,857	$ 934,200
Southwestern Vermont Area Council on Aging	$ 974,935	$1,031,726	$1,014,275

VERMONT

Department for Children and Families

Family Services Division

Annual Progress and Services Report

July 1, 2010 - June 30, 2011

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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's operating programs as well as 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. Several of these programs now comprise Children's Integrated Services.

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

The **Family Services Division (FSD)** is 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.

Current Initiatives to Strengthen Services and Coordination

2008 Plan for Transforming Family Services

The Family Services Division (FSD) published a strategic plan in January of 2008 entitled Transforming Family Services. The plan laid out an ambitious agenda for change that focused 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

Between January 2008 and January 2011, the Family Services Division successfully implemented most part of the Transformation Plan.

CFSR and PIP

Following our last CFSR, we developed a Program Improvement Plan (PIP) that was consistent with our transformation plan. The PIP was in active operations between 10/1/2008 and 9/30/2010. During that time, we successfully completed all tasks in our PIP. As of this writing, we are a non-overlapping data year, which will end on 9/30/2011.

Implementation Project

In early 2010, FSD applied for support for an implementation project, to be federally funded through the Northeast and Caribbean Implementation Center (NCIC) at the University of Southern Maine. In July 2010, we were informed that our application was funded. We signed an MOA with the University of Southern Maine in October 2010.

Our project focuses on the implementation of our practice model. The practice model can be found at:

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

Successful implementation of the practice model will be achieved through:

- **True engagement** of partners and stakeholders in decision making;
- Development of supportive policy and **practice guidance;**
- Integration and **strengthening core strategies** to work with families;
- **Data** made available to inform planning and decision-making; and
- Modification and enhancement of our **quality improvement process**.

To support and organize our work, we have formed a project steering committee that meets monthly. Several work groups have been formed to oversee the ongoing work of the project:

  - Evaluation
  - Data and Quality Assurance

- Children, Youth and Family Engagement
- External Stakeholder Engagement
- Practice Guidance

The project will support 3.5 contracted staff. The first two were hired in late January 2011; one to focus on policy and practice guidance, and one to focus on development and use of data. We are currently recruiting for a ½ time research assistant. A third full time contractor will be hired next fall to do the actual technical work to develop a data warehouse.

Children's Integrated Services

For the last several years, DCF's Child Development Division has been focused on a plan to integrate early childhood services. (This initiative was described in detail in previous plans.) Children's Integrated Services (CIS) is a prevention and early intervention resource for pregnant and postpartum women and families with children birth to six. Services include:

- **Early Intervention:** services mandated under Part C of IDEA, for children birth to age 3 with developmental delays;
- **Nursing and Family Support:** prevention services and family support to Medicaid eligible pregnant women and young children;
- **Early Childhood and Family Mental Health:** behavioral health consultation, education and limited treatment for Medicaid-eligible families with young children and behavioral health training and consultation for the early childhood system of care; and
- **Specialized Child Care:** referral and coordination of child care services for families receiving Family Support financial assistance, children in DCF protective custody, and children with special health needs.

Until recently, CIS services were provided through 32 grants with 29 different grantees, leading to a fragmented and complicated system of services for families. In November, 2010, CIS piloted a change in the current financing and service delivery system, with a goal of improved efficiency at the state level, reduced administrative burden at the local level, improved ability to provide client-centric services, and better service integration. Three regions – Lamoille, Franklin/Grand Isle, and Rutland – selected one organization within their region to be the fiscal agent for all regional CIS funding. The fiscal agent is responsible for ensuring the delivery of all CIS services, either through sub-contracts or direct service provision, and meeting the performance measures outlined in their contract with the state. While it is too early to draw any substantial conclusions, it is clear that communication among service providers in the three pilot regions has increased significantly. Providers are looking at the array of services available to families and how they are delivered through a new lens.

In July, 2011, Brattleboro will also move into the single fiscal agent model, with other regions working toward this model or developing proposals for alternative fiscal models that will achieve the same goals of full integration.

Enhanced Family Services

The Agency of Human Services (AHS) is in the process of re-designing a constellation of services that provide treatment and support to families with children with emotional, cognitive and/or physical disabilities. This includes children who are currently served by the Family Services Division, either in our care or not. It also includes children being served by the children's mental health and developmental services systems.

This initiative, called Enhanced Family Services (EFS), has a goal of providing a a single, multi-disciplinary family intake process that takes into account family functioning and risk factors, resilience factors and child functioning. This single intake will lead to a comprehensive assessment that will support the creation of an integrated family plan which includes all available supports for a holistic treatment and support approach.

The EFS program will provide:

- Earlier intervention to build skills and maximize families' strengths, keep families together and reduce use of out of home placements regardless of disability type;
- A knowledgeable and skilled response to parent and child mental health and substance abuse issues, trauma, post adoption, impact of significant disabilities on families, positive behavior support strategies, and promotion of wellness in the family system will be a focal point of this service package; and
- A flexible family support and treatment services based on family functioning and needs.

Once a child or youth leaves home, it is often very difficult to get him or her back home. In addition, skills gained in the out-of-home setting are more difficult to generalize in a home and community setting. For these reasons, EFS will shift dollars currently committed to out-of-home supports and treatment towards earlier intervention in-home supports. The proposal is not to eliminate out-of-home supports but rather target those supports to specific populations and use out-of-home in a more purposeful and directive manner. We also propose to increase the types of short term out-of-home supports (i.e. respite, crisis response, shared parenting) that many families say are necessary to support the family's engagement in treatment.

Currently, statewide workgroups are working to define eligibility, authorization, assessment, planning and service delivery protocols. In addition, three regions have volunteered to be early implementers.

Focus on Permanency

Vermont has seen a dramatic decline in the number of children in DCF custody over the last few years. Even with this decline, there are a number of children and youth who are in custody that are at risk of exiting care without relational or legal permanence.

Here are some realities:

- In 2011, 121 youth will turn 18 and leave our system.
- There are 191 children and youth in care who have been in care for 3 or more years.
- There are 95 children and youth who have a non-permanent case plan goal of Permanent Placement or Legal Independence.

We feel it is time to re-focus on our permanency practice to do everything possible to ensure that these youth have connections to support them into adulthood. We have an opportunity to do so with Permanency Roundtables.

Permanency Roundtables have been done in a number of other states and have been shown to have very positive results in achieving permanency for children and youth. They are a way to open up a conversation about options that exist, things that may have been tried, ideas that may need to be retried or haven't yet been thought about. It is an opportunity to create "doable plans" of action focus on permanency.

Permanency Roundtables are focused planning meetings intended to assist workers and supervisors in developing permanent plans for a child / youth that can be realistically implemented over a period of six months. The meetings are designed to:

- stimulate thinking and learning about pathways to permanency for these and other children;
- identify and address barriers to permanency through professional development, policy change, resource development, and the engagement of system partners.

This as an opportunity for staff development and training that holds the promise of affecting the outcomes for all children and youth we serve.

The process will be led by DCF Family Services and will be supported by Casey Family Programs. Over the course of two weeks, one in November and one in December, VT will conduct 96 Permanency Roundtables focused on creating Permanency Action Plans for youth in care.

Service Descriptions for IV-B and Chafee Services

Title IV-B, Subpart 1

In Vermont, Title IV-B, Part 1 funds child care for families needing extra support, in two categories:

- **Family Support Child Care** is a prevention and early intervention service designed to reduce stress for families and their children and promote positive child development.

This is time-limited, part-time child care for families who are experiencing stress that may place their child at risk. Average monthly enrollment is 440.

- **Protective Services Child Care** is personalized child care that includes a planned child development intervention strategy authorized by the Family Services social worker and must be part of the family plan as a safety strategy. The child care providers are specially trained to care for children who have been abused or neglected and they are active participants on the Family Services child and family support team and they. Services are provided to children living with their families and children in foster care, including those recently reunified with their families. Average monthly enrollment is 534.

Title IV-B, Subpart 2

The division contracts with a variety of community agencies to provide services that supplement FSD casework services. These services comprise a statewide network of family support and preservation services; they are available in all districts. Although not primarily funded with Title IV-B, Subpart 2, these services are the backbone of our family preservation and support array.

- **Child and Family Support Contracts** provide support for our family engagement practice approach through facilitation and coordination of family centered meetings and case coordination services that support specific needs of children and families. All districts now have capacity for facilitation of Family Safety Planning meetings, coordination and facilitation of Family Group Conferences, and for Family Time Coaching, our new model for parent-child contact. These contracts are just starting their second year and signify a significant expansion of services around the state. Contracts will be closely monitored to determine if changes need to be made to structure and/or services in the future.

- **Parent Educators** provide home-based support and parenting education, focusing on family support, family preservation and reunification. We will be evaluating whether these services, as currently structured, will continue to meet the needs of our clients as we shift our practice.

- **Intensive Family Based Services** provide time-limited, intensive in-home therapeutic services, focusing on family preservation and reunification. We will be evaluating whether these services, as currently structured, will continue to meet the needs of our clients as we shift our practice.

- Trained therapists authorized to provide treatment under a special SRS Medicaid program provide **Sexual Abuse Victim and Offender Treatment Services**. Our new Child Victim Treatment Director will be assessing these contracts to determine if they continue to meet our needs or if we need to make any changes.

Title IV-B, Subpart 2 funds are primarily used to fund:

- **District-specific services** such as mentoring programs, after-school programs, and family-tailored individual supports and services.

- **Post-adoption supports and services** provided through the member agencies of the Vermont Adoption Consortium.

There are no changes in this area.

Vermont Chafee Foster Care Independence Program

Vermont's Chafee Foster Care Independence Program (CFCIP) is called the Youth Development Program. DCF Family Services Division administers the Youth Development Program through a statewide network of contracted provider agencies. Basic components of the program and its administration continue as described in previous reports. The purpose of these updates is to report on evolutions in service activities, specific outcomes, and new program efforts.

Financial Self-Sufficiency

- Currently, use of the Ansell-Casey Life-Skills Assessment is required as part of our Youth Development Program. The assessment and curriculum is currently under revision. The existing tools are on-line and available in the interim. Due to staff turnover, we anticipate conducting a refresher course this fall for Youth Development Coordinators and other contracted staff working with adolescents in care.

- Creative Workforce Solutions (CWS) is a new AHS-wide approach to career development and progressive employment for all clients of the agency. CWS is designed to remedy past fragmentation of employment-related activities carried out by different departments. The goal is better outcomes for both clients and employers. Under CWS, Vocational Rehabilitation is taking the lead. With specialized knowledge in assisting clients with barriers to employment, Vocational Rehabilitation will assist clients to match their needs and skills to opportunities in the workplace. This effort is linked to employers in the Vermont communities through a Workforce Investment Act (WIA) funded jobs database and local coordinating council.

  CWS is near full statewide implementation for adults. Vocational Rehabilitation approached our state Youth in Transition Leadership Team (an inter-departmental group tracking issues related to youth transitioning to adulthood) to explore how the CWS project could serve youth clients of the agency, particularly youth in foster care. The result was the CWS YouthWork pilot projects. These are occurring in two DCF Family Services districts, Newport and Rutland.

  Prior to the project launch, DCF Family Services and Voc Rehab partnered with Casey Family Programs to develop training for DCF and contracted staff based on the ***It's My Life - Employment*** domain of Casey's practice guide.

Casey Staff updated the material and translated it into a training framework which we combined with model specific information from our CWS pilot design.

An important component of the pilot model is helping youth to identify and develop formal and informal community connections of caring adults to provide support. These relationships become the context in which the employment work is conducted.

This emphasis on supportive adult relationships has been reinforced by coordinating CWS YouthWork with our Casey Family Services permanency project. Consistent with the ***It's My Life*** material, CWS YouthWork incorporates of two stages: (1) assessment, career exploration and connections mapping and (2) progressive employment experiences guided by a Youth Employment Specialist using the existing CWS structure.

In Rutland the project is targeted specifically at 17 year old foster youth. In Newport, the target population includes older foster youth and at-risk youth served by the local runaway and homeless youth agency.

Both pilots are about to go fully operational. We look forward to reporting results in our next update. Our intent is to take the successes in these pilots and implement them in every region.

- We are currently exploring matching funds savings options for adolescent foster youth as part of CWS YouthWork. A component CWS YouthWork is the creation of matching funds savings accounts for participating youth. At the conclusion of the 12-18 month pilots, the entire project will be evaluated for statewide replication, including the savings account component.

Educational Attainment

- Track High School completion rates to identify patterns and correlate to associated department efforts to achieve educational stability.

We have made some recent progress in our goals to track graduation rates, dropout rates and achievement gaps for youth in custody. So far, we have only been able to generate data that compares foster children and youth on Individual Education Plans (IEPs) to all children and youth on IEPs. Vermont's Department of Education (DOE) data indicates that 15% of the state's total school population is on an IEP. To track educational outcomes, foster youth must be identified in the DOE database. We have not been able to accomplish this.

DCF has membership on an education workgroup sponsored by the Supreme Court's Justice for Children's Task Force. Members include the state superintendent's association, principal's association, and a representative from the legislature's house education committee. Members recently met with the Commissioner of Education to discuss (among other things) better access to data. The DOE Commissioner asked the group to work on a comprehensive data request. The plan is to submit this request within the next few months.

At that point, DOE will identify any barriers to access these data.

Act 74, Vermont's 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. Our annual legislative report, filed in January 2011, indicated that 46 youth were receiving full financial support for living while they continued to pursue high school graduation.

Additional youth are also seeking high school diplomas and GEDs while receiving partial financial support to live independently through Act 74. Starting in July 2011, we will begin a data collection effort related to use of extended care. These data will be used to identify patterns of practice and assist in targeting training and technical assistance to youth development and other staff.

We are also exploring using Casey Family Services ***A Road Map to Learning, Improving Educational Outcomes in Foster Care*** and ***Endless Dreams***, a training for teachers. In coordination with the Vermont Foster and Adoptive Family Association and Vermont Surrogate Parent Program, we have had preliminary conversations with the Vermont DOE, Casey Family Programs and the Justice for Children Task Force.

The Justice for Children Task Force is holding a multi-disciplinary conference this fall with an emphasis on educational success for court-involved youth. Workshops have not been finalized but will likely include educational stability, truancy, and addressing the education gap for foster youth. We anticipate that the task force and conference will serve to highlight the issue of education for foster youth and assist us in moving forward with initiatives to address it.

Education and Training Vouchers

Vermont continues to administer Chafee ETV in partnership with the Vermont Student Assistance Corporation (VSAC) through a sub-recipient grant. The partnership assists youth in accessing maximum amounts of 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.

VSAC and DCF Family Services meet quarterly to review data on recruitment, retention, and completion rates for eligible youth receiving ETV support for post-secondary education and training. A portion of this review also examines financial aid packages for youth to track costs and loan indebtedness.

VSAC and the DCF Youth Development Program have done presentations and workshops this year at the state youth conference, VFAFA state foster parent conference, Consortium of Vermont College fall meeting, statewide training of Community College and TRIO counselors, Vermont Kin as Parents Conference, Vermont Family Network Conference. The emphasis of all of these trainings has been to highlight the realities and challenges for foster youth preparing for and pursuing higher education and the resources to support them.

VSAC has been targeting outreach to foster youth for participation in their TRIO Gear Up and Talent Search programs, to provide early encouragement to younger foster youth to consider college and to support them throughout the process of applying, enrolling and completing. This effort has been in place for 4 years. Thirty-six students participated in Year 1; 63 in Year 2; and 73 in Year 3. Currently, 104 students participate in these programs. VSAC outreach counselors have contacted 55 additional students VSAC to inform them of available services.

As the agency responsible for ETV, Pell and Stafford grants, and the state-funded the Emily Lester grants, VSAC ensures that financial aid does not exceed the cost of attendance. Grants are also pursued through Orphan Foundation of America program.

Eligibility for services and supports is confirmed by a data MOU between VSAC and DCF which compares youth indicating a "state ward" status on the FASFA our data. VSAC follows up with Individual youth flagged by the process to ensure that no eligible youth misses out. This year, 97 former foster youth received financial aid for post-secondary education and training, including ETV.

STEPS, a new program at the College of St. Joseph in Rutland, VT has been in place for 3 years. STEPS is specifically targeting former foster youth and providing year round housing, social and educational supports to maximize the likelihood of retention and successful college completion.

This year, DCF began to provide financial support to youth in STEPS by paying the full costs of all "out of session" room and board costs for former foster youth. Twenty two former foster youth were in attendance for the 2010 fall semester, up from 12 last year. The spring semester saw a drop in enrollment. Retention has been about 50%. Although less than ideal, this compares well to national norms for the population.

In a continuing effort to do better, the St. Joseph's administration meets with DCF several times a year and communicates regularly to see how we can better prepare and support youth enrolled in STEPS. DCF is providing financial support for some of the supplemental costs associated with the year round room and board aspects.

We are very excited about this program (as are the youth who attend it) and are working with the school on recruitment and long term viability.

Positive Connections with Adults

This section will address the components specifically related to CFCIP programming. DCF Family Services is developing a new case plan format for older youth to support compliance with the requirements of the Fostering Connections Act. The plan format is being designed to be individual to each youth. The plan, which will be youth-driven, will include specific options for housing, health insurance, healthcare, education, career development, progressive employment supports, employment, and a network of caring peer and adult relationships. The Youth Development Coordinator will work with youth to identify caring adults in the youth's life to support them in their passage to adulthood.

We are currently seeking input to a draft plan from state and local youth governance groups, DCF Family Services Staff, and Youth Development Coordinators. The target date for finalizing the plan and supporting practice guidance is October 2011.

Health Care

DCF Family Services continues to work on several fronts to address healthcare needs of youth exiting foster care. DCF is partnering with the FYSB funded Vermont Coalition of Runaway and Homeless Youth Programs (VCRHYP) on two collaborative projects: (1) a unified outcome data and 2) practice guidance that includes a focus on expanding access to Medicaid and health care generally. For youth in foster care, support for preventive care and connection with a medical home, will be part the transition plan.

Experience of Homelessness

DCF Family Services and VCRHYP have made significant progress in their collaboration on the FYSB funded Support Systems for Rural Homeless Youth. Recently, collaboration between the local housing trusts, a local landlord, HUD funded community action program and TANF Reach Up program has resulted in a set of apartments, which will to provide a progressive housing opportunity for youth in a mixed housing environment linked to their employment work in the CWS YouthWork pilot. The goal is to link the skills to access and maintain housing first in a supported environment and later in unsubsidized community housing to sustainable employment at a living wage. Case management in the CFCIP Youth Development Program and FYSB Transition Living Program will provide life skills training and support to youth for all coordinated aspects of the housing and related programming.

Consistent with our Positive Youth Development approach, the case planning process is youth driven and the project guided by a local board of youth.

Youth Governance

Our State Youth Development Committee of current and former foster youth has been meeting for several years. The group, facilitated by our State Youth Development Coordinator, has had several major successes this year:

- Design for a youth-friendly NYTD youth survey;
- Planning for and implementation of the annual statewide youth conference (they do it all);
- Quarterly meetings with the DCF commissioner, and DCF Family Services deputy commissioner to discuss policy, practice and issues affecting youth in care; and
- Participation conferences, trainings, and as members of advisory groups to ensure youth voice.

The success of the statewide committee has led us to expand our efforts into local areas with the twin goals of helping more youth access the opportunity to learn new skills and have a genuine voice in their collective lives.

In 2011, the National Resource Center for Youth Development delivered training on creating Youth/Adult governance partnerships. Clay Fink and Lacy Kendrick from NRCYD came to Vermont with two representatives of the Foster Club All-Stars in July and November, 2010 to provide the training. It was well attended and has resulted in the establishment of five regional governance groups in addition to the state committee. We are continuing to work with the remaining seven regions to pursue their own.

Two other efforts related to youth have been launched since our last report. We have requested and been granted two Americorps/Vista positions and a Foster Club All-Star.

One of the A-Vista positions will be assigned to the development and support of statewide and local youth governance activities. The second will work with the DCF Planning, Policy, and Practice Unit on the development of adolescent specific policy and practice guidance.

The Foster Club All-Star will be working here in Vermont on Positive Youth Development training and with the NRCYD on national trainings and conference. These are very exciting new members of our and should allow us to significantly advance our adolescent programming efforts.

National Youth in Transition Database (NYTD)

DCF Family Services submitted its initial NYTD served youth and cohort youth survey data several weeks late due to a variety of issues related to data quality and completeness, and challenges with IT resources. Clearly, there are lessons that need to be learned from our first year's effort. During the summer, we will review and revise the business process elements so that our next collection and submission process can be timely, accurate, and effective.

Monthly Caseworker Visit Funds

IV-B funds to support caseworker visits have been used to contribute to the cost of the deployment of smart phones for social workers. Smart phones allow social workers to return phone calls and emails when in the field, and to connect their laptops to the internet to complete casework documentation.

Collaboration and Coordination with Partners and Constituents

Child and Family Service Delivery System

Vermont has many, many collaborative structures in place to ensure that services are coordinated and that the voices of stakeholders are heard – not only within the Family Services Division, but across the Agency of Human Services, the Department of Education, etc.

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. We seek stakeholder and partner in many ways, on a regular basis. Here are some of the mechanisms we use:

- The Youth Advisory Board meets monthly. The commissioner and deputy commissioner meet with the board at least 4 times a year.
- The Vermont Foster and Adoptive Family Association (VFAFA) holds monthly board meetings, which division staff attends. They hold networking meetings quarterly, which the commissioner and deputy commissioner attend. At VFAFA's annual conference, an open forum is traditionally held, as a mechanism for attendees to have direct access to the commissioner and deputy commissioner.
- The commissioner and deputy commissioner meet regularly with Vermont Kin as Parents to discuss issues of mutual concern.
- The Vermont Coalition of Residential Programs meets monthly, with division representatives attending. The commissioner and deputy commissioner meet with VCORP at least 4 times a year.
- The commissioner meets weekly with other AHS commissioners to ensure cross-departmental planning and trouble-shooting.
- The division participated in the New England Breakthrough Series on Safety and Risk, with three local teams. These teams had both youth and parent members who attended meetings locally and regionally.
- Our NCIC project has a major focus on partner and constituent involvement and input, with two workgroups dedicated to ensuring meaningful engagement.
- The Enhanced Family Services and Children's Integrated Service initiatives are major cross-systems initiatives, both of which incorporate parent and stakeholder voice.
- Vermont has a well established Coordinated Service Planning mechanism, with local teams meeting across the state, and a state-level team that meets monthly.
- The Children and Family Council for Prevention Programs (CFCPP) is the governor appointed advisory body that guides us in prevention and juvenile justice issues. They develop the Primary Prevention Plan for the Agency of Human Services and the required three year plan for the federal government. The CFCPP is required to include youth in their membership.

Court and Legal System

The commissioner and deputy commissioner are members of the Justice for Children Task Force, which meets quarterly and has standing committees to work on systems improvements. Vermont's Court Improvement Coordinator is a regular member of work groups formed to improve outcomes for children in care, such as our current permanency task force.

Staff Development and Training Plan

The Department's Human Resources Development Unit (HRD) 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 Department for Children and Families new Human Resources Division and through the State of 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 Masters or Bachelors degree in Social Work 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. 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. They contract to work for the Department for 3 years following graduation. There are no changes to the MSW/BSW training opportunities.

Short Term Training

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, practice model and system outcome priorities. The staff training program is reviewed and updated regularly.

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 amended Vermont's Public Assistance Cost Allocation Plan (PACAP) as required. There are no court related trainings in the training plan for July 2011-September 2012.

New Employee Training

New employees complete Foundations for Family Centered Practice (FFCP) during their first six months on the job. FFCP is a three week program, with 2-3 weeks in the field between each week. Working with case scenarios, participants learn and practice skills and knowledge necessary for entry level child welfare and youth justice practice.

New employees complete seven days of more intensive training on selected topics during their first 18 months of hire. Each of these core trainings are offered annually and occur in a classroom setting.
They build on the skills and knowledge acquired in FFCP and in on the job training. Experienced employees are encouraged to take core training as needed.

Field Practice Manual

The Field Practice Manual outlines a structured program of reading, shadowing exercises, interviewing activities, self reflective activities, review of policy and statutes and so on. It provides a structured on-the-job training program which links with the Foundations for Family Centered Practice programs.

All Foundations For Family Centered Practice courses Core training are offered by CWTP staff in collaboration with FSD staff and community partners, and hired subject experts, 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 Foundations For Family Centered Practice program.

The following charts illustrate topics which will be covered in training, but will be woven throughout the three 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.

The costs included here include fees for outside trainers and honoraria for parents and youth who are part of panel presentations for training sessions.

FOUNDATIONS FOR FAMILY CENTERED PRACTICE

ɔpic	Syllabus	IV-E Functions addressed	Duration	Est. Cost	Cost allocation methodology
ssessment and ıgagement	Overview of the two weeks of training. Introduction to the Family Services Practice model. Overview of the historical and legal context of child protection and youth justice. General overview of the Vermont reporting law, centralized intake, and Vermont's differential response system of investigation and assessment responses. Understand solution focused intervention, and practice solution focused skills. Recognize how to be culturally sensitive when engaging with families.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; general overview of child abuse and neglect investigations, cultural competency related to children and families; development of case plan for children in foster care/ at risk of foster care.	5.5 hours	0	100% IVE
ssessment and ıgagement ɔols and rategies	Introduction to Structured Decision making, and how to use SDM and safety mapping to engage families. Understand what research tells us about risk and protective factors. Explore the use of the Three Houses tool to engage children, and the Youth Assessment and Screening Instrument (YASI) to engage and assess youth. Understand and practice using Family Safety Planning and genograms to engage and assess families in planning for safety.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; general overview of child abuse and neglect investigations; assessments to determine whether a situation requires a child's removal from the home; development of case plan for children in foster care/ at risk of foster care; permanency planning; case management and supervision; referral to services	5.5 hours	0	50% CAPTA 50% IV-E

ɔpic	Syllabus	IV-E Functions addressed	Duration	Est. Cost	Cost allocation methodology
ɛrmanency, ɔnnections, ɪmily Time ɔaching and ɪared Parenting ɐetings	Identify the steps in licensing a foster home. Explore the unique needs and strengths of kin caregivers. Understand the impact and needs of a child separated from her family. Understand the research about the importance of family time when children are separated from family. Understand the principles, philosophy and practice of family time coaching and shared parenting meetings.	Licensing of foster homes; Permanency planning including using kinship care as a resource for children involved with the child welfare system; effects of separation, grief and loss, child development, and visitation; Placement of the child; Development of case plan for children in foster care and at risk of foster care; Effects of separation; Case management and supervision.	5.5 hours	$300	100% IV-E
ɔmestic olence	Increase your understanding of the connection between child abuse and domestic violence. Understand the practice issues prevalent in cases involving domestic violence when working with child welfare cases. Learn strategies for effective response to DV in the child welfare context.	General domestic violence, and mental health issues related to children and families in the child welfare system (not related to providing treatment or services). development of case plan for children in foster care/ at risk of foster care; permanency planning; case management and supervision; Referral to service	3 Hours	0	100% IV-E
orking with dolescents	Understand adolescent brain development and the impact on decision making. Explore and practice strategies for working with youth including YASI and motivational interviewing. Understand from a youth's perspective what 'works'.	Social work practice, such social work methods including interviewing and assessment; development of case plan; case management and supervision; permanency planning; referral to service.	2.5 hours	0	20% JABG 80% IV-E

›pic	Syllabus	IV-E Functions addressed	Duration	Est. Cost	Cost allocation methodology
Family Safety Planning	Identify the practice principles of family safety planning as a case planning methodology throughout the life of a child welfare case. Develop skills to prepare yourself, families and providers to participate in an FSP meeting. Demonstrate the ability to distinguish between danger, risk and complicating factors in case planning. Understand the use of internal FSP consultation and family safety planning with families. Explore the experience of youth who have been involved in FSD services and family meetings.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve and reunify families communication skills required to work with children and families; 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 services.	5.5 hours	0	100% IV-E
ɛrmanency and ɔncurrent anning	Understand the underlying principles and value of permanence in the lives of children and youth. Explore permanence as it relates to a child's, youth's, parent's and caregiver's experience. Examine reunification, adoption, guardianship and other permanency options.	Permanency planning; development of case plan; case management and supervision; placement of the child.	5.5 Hours	0	100% IV-E
orking with ɔurts	Understand the laws supporting Vermont child protection, youth justice, as well as the structure and function of the state's court system. Understand key aspects of the legal process. Apply the Juvenile Proceedings Act. Examine the social worker's role in documentation, preparing for court and presenting facts in court. Explore the interface between social work practice and the family court system.	Preparation for judicial determinations; placement of the child; permanency planning case management and supervision;	5.5 hours	0	100% IV-E
ɜse Planning ith Families	Identify the principles of targeted case planning. Be able to describe Family Group conferencing to families. Examine strategies to engage families in case planning. Identify clear case goals and concurrent planning strategies that support safety, permanency and wellbeing for children and youth. Describe the challenges and opportunities that arise when case plan goals change from reunification to another permanent plan.	Development of case plan; case management and supervision; permanency planning; referral to service, placement of the child.	5.5 hours	$300	100% IV-E

›pic	Syllabus	IV-E Functions addressed	Duration	Est. Cost	Cost allocation methodology
sk Assessment	Understand purpose and practice of risk assessment as a key methodology to inform case planning and case management across the life of a child welfare care. Practice using SDM tools, YASI and "kitchen table" family safety planning. Practice developing clear and concise risk statements.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; communication skills required to work with families; activities designed to preserve and reunify families; development of case plan; placement of the child; permanency planning; case management and supervision; referral to service.	5.5 hours	0	33% CAPTA 33% JABG 33% IV-E
ɛxual Abuse: orking with ffenders and ctims	Understand the scope of behaviors and outcomes associated with child sexual abuse. Apply your knowledge about sexual abuse to assessment and response strategies. Explore strategies for engagement in the context of sexual abuse.	Child abuse and neglect issues, such as the impact of child abuse and neglect on a child; Social work practice, such as family centered practice and social work methods including interviewing and assessment; preparation for judicial determinations; placement of the child; development of case plan; referral to service; case management and supervision	5.5 hours	$2000	50% CAPTA 50% IV-E
hics, ıpervision, ɛaming and Self ıre	Understand the ethics of social work practice, and apply the NASW Code of Ethics to ethical dilemmas. Name specific strategies for self-care in the field. Discuss case closure, and the ethics of closure with children, youth and families. Examine teaming in the child welfare context, and explore how to be an effective team member.	Ethics training; development of case plan; placement of the child; permanency planning; case management and supervision; referral to service.	5.5 hours	0	100% IV-E (at 50% FFP)
Child and Adolescent Development	Increase knowledge of research related to child development from infancy through adolescence. Recognize cultural and social impacts on healthy development. Understand risk and resiliency research. Explore the impact of trauma and loss on development of children and adolescents. Discover concrete tools to assist with young people and families struggling with trauma issues.	Child development, Social work practice including assessment, development of case plan; case management and supervision; permanency planning; referral to services	5.5 hours	$1000	100% IV-E

ɔpic	Syllabus	IV-E Functions addressed	Duration	Est. Cost	Cost allocation methodology
ıild Physical ɔuse	Understand factors that increase and protect from risk of child maltreatment. Identify ways to build on strengths and protective factors as way to engage families and inform case planning and case management. Describe the various types of child maltreatment and the signs that may indicate that maltreatment has occurred. General overview of the roles of social worker, police, medical personnel and others in assessment of suspected maltreatment.	Child abuse and neglect issues, such as the impact of child abuse and neglect on a child, and general overviews of the issues involved in child abuse and neglect investigations. This training is not related to how to conduct an investigation of child abuse and neglect.	5.5 hours	0	25% CAPTA 75% IV-E
ıronic Neglect	Explore current research regarding the impact of chronic neglect on children/youth, as well as the underlying causes of neglect. Explore recommended child welfare practice to achieve the best outcomes, including methods for family engagement, assessment, case planning and case management.	Child abuse and neglect issues, such as the impact of child abuse and neglect on a child, and general overviews of the issues involved in child abuse and neglect investigations. This training is not related to how to conduct an investigation of child abuse and neglect.	5.5 hours	0	100% IV-E
ıbstance Abuse	Explore substance abuse as it impacts parenting. Understand prevalent drug use in Vermont. Explore impact of substance use on families. Practice motivational interviewing skills as intervention strategy with substance users. Understand recommended strategies for assessment, case planning and engagement of families throughout the life of a child welfare case.	General substance abuse issues related to children and families in the child welfare system; social work practice, such as family centered practice and social work methods including interviewing and assessment. This training is not related to how to conduct an investigation of child abuse and neglect.	5.5 hours	$2000	100% IV-E
ıderstanding ıbstance Use sorders, 'eatment and ımily Recovery: Guide for Child elfare 'ofessionals	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	General substance abuse issues related to children and families in the child welfare system, 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	National Center on Substance Abuse and Child Welfare 10 hours	Free	Not applicable

CORE PERSPECTIVES IN FAMILY CENTERED PRACTICE

)sequent to Foundations for Family Centered Practice, but while in trainee status during their first 18 months of hire, new employees complete the following short term classroom ıing. All are coordinated by the CWTP. Subject experts are hired for some, and experts within the Department provide others in collaboration with CWTP trainers. Each is ıred once annually.

ıbstance Abuse ıd Dual agnosis	Explore impact of the use and abuse of various substances on parenting and on development of young people. Explore treatment resources available, to ınform appropriate referral and case planning. Practice motivational interviewing. Working with drug treatment providers.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; general substance abuse issues related to children and families in the child welfare system; preparation for judicial determinations; placement of the child; development of case plan; permanency planning; case management and supervision; Referral to services	5.5 hours		100% IV-E
ɔmestic olence in Child elfare	Increase understanding of the connection between child abuse and domestic violence; Understand the practice issues prevalent in cases involving domestic violence; Learn strategies for effective response to domestic violence in the context of child welfare.	General domestic violence, and mental health issues related to children and families in the child welfare system; social work practice, such as family centered practice and social work methods including interviewing and assessment; development of case plan for children in foster care/ at risk of foster care; permanency planning case management and supervision; referral to services	5.5 hours		100% IV-E
orking with Kin	This day will take a deeper look at how working with kin impacts safety planning, the tensions that may exist in engaging kin, assessing for risk and identifying strengths and protective factors.	Permanency planning including using kinship care as a resource for children involved with the child welfare system; recruitment and licensing of foster homes; activities designed to preserve and reunify families development of case plan for children in foster care/ at risk of foster care; permanency planning case management and supervision; referral to services	5.5 Hours		100% IV-E

orking with imilies affected r Trauma and tachment sues	Learn what the latest research is reporting about the neurodevelopmental impact on trauma on the brain; and what comprises best practice. Examine the impact of complex trauma on attachment and the implications of traumatized parents. Evaluate how to make decisions about the needs of families based on a trauma-informed lens. Learn about vicarious trauma for workers and define ways to organize for effective self care.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; development of case plan for children in foster care/ at risk of foster care; Permanency planning Case management and supervision; Referral to service	5.5 hours		100% IV-E
upervising outh with exually fending ehaviors in ommunity	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.	Child abuse and neglect issues, such as the impact of child abuse and neglect on a child; assessments to determine whether a situation requires a child's removal from the home; 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	5.5 hours		50% IV-E 50% JABG
orking with imilies Affected r Sexual Abuse	Identify key areas of assessment in safety planning when sexual abuse is a factor in the home environment. Develop engagement strategies for inviting parents to participate in planning for their children when these issues are complicating the relationship between the family and the professionals. Evaluate risk and protective factors as they relate to the context of prevention of placement and reunification. Unpack our values that are surfaced when considering the long term. Generate thoughtful case plans utilizing assessment skills and collaborative planning.	Child abuse and neglect issues, such as the impact of child abuse and neglect on a child; assessments to determine whether a situation requires a child's removal from the home; development of case plan for children in foster care/ at risk of foster care; permanency planning; case management and supervision; referral to services. This training is not related to how to conduct an investigation of child abuse and neglect.	5.5 hours		100% IV-E

ssessment and vestigation cills	Learn skills for engaging families and communities right from the start. Understand our policy and legal mandates. Understand differential response, family assessment, and forensic interview techniques. Practice interviewing children and adults.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve, strengthen, and reunify the family; preparation/ participation in judicial determinations, development of case plan, case management and supervision.	5.5 hours		100% CAPTA
ıfety Planning th Families	Explore safety planning in more depth. Deepen your skills in articulating clear risk statements and working with families to formulate individualized safety plans.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; communication skills required to work with children and families; activities designed to preserve and reunify families activities designed to preserve, strengthen, and reunify the family development of case plan, case management and supervision, placement of the child, permanency planning, referral for services.	5.5 hours		100% IV-E

SPECIALIZED TRAINING

:cialized training is offered once annually, except Introductions and Advanced courses in Family Safety Planning and Family Group Conferencing, Family Group Conferencing and :torative Justice, and YASI are offered twice. Staff choose to take specialized training most closely related to their work responsibilities and interests. Some of it is provided in aboration 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 :sroom setting. All the workshops below are designed for child welfare social workers, supervisors and managers and contracted meeting facilitators.

Course	Syllabus	IV-E Functions addressed	Provider			Cost allocation methodology
ntroduction to Family Safety Planning Meetings	Review the FSP framework used in Vt. Examine the practice principles and elements of Signs of Safety and research which support FSP meetings. Practice facilitation and solution focused practice.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve and reunify families communication skills required to work with children and families; 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 services.	CWTP trainers and community partners			100% IVE
ntroduction to Family Group Conferencing	Review the Vt. FGC practice guidance. Examine the values and practice principles underlying FGC. Review the research on impact and outcomes of FGC. Practice skills needed for preparing for and facilitating an FGC.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve and reunify families communication skills required to work with children and families; 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 services.	CWTP trainers and community partners			100% IVE

Course	Syllabus	IV-E Functions addressed	Provider			Cost allocation methodology
Youth Assessment Screening Instrument	Understand the research, philosophy and practice of engaging with and assessing risk and protective factors for youth using YASI. Practice motivational interviewing skills. Understand case planning with youth and their families that focuses specifically on risk and needs.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; development of case plan for children in foster care/ at risk of foster care; permanency planning; case management and supervision; referral to services.	CWTP trainers and FSD staff			50% JABG 50% IV-E
Motivational Interviewing in Child Welfare and Youth Justice	Review the basic philosophy and skills of motivational interviewing in the child welfare and youth justice contexts. Understand the Trans-theoretical model of change, and how it applies to your assessment, case planning and case management with children, youth and families. Practice skills of motivational interviewing.	Social work practice, such as family centered practice and social work methods including interviewing and assessment.; placement of child, development of case plan, case management and supervision, permanency.	Hired subject experts and CWTP trainers			100% IV-E

Course	Syllabus	IV-E Functions addressed	Provider			Cost allocation methodology
Family Group Conferencing and Restorative Justice	Understand the research, philosophy and practice associated with using the FGC model in the context of youth justice. Focus on what is needed to use FGCs to enable youth who have harmed another to make reparations, and those who have been harmed to participate in a restorative conference. Understand the use of family group conferencing as a key case planning methodology.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; communication skills required to work with children and families; activities designed to preserve and reunify families activities designed to preserve, strengthen, and reunify the family development of case plan, case management and supervision, placement of the child, permanency planning	CWTP trainers and community partners			50% JABG 50% IV-E
Advanced Family Safety Planning	Extend your knowledge and skill with facilitating and participating in FSP meetings with families. Content varies, but can focus on developing clear risk statements, ensuring safety when DV is present, and other specialized topics.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve and reunify families communication skills required to work with children and families; 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 services.	CWTP trainers and community partners			50% CAPTA 50% IV-E
Advanced Family Group Conferencing	Extend your knowledge and skill with facilitating and participating in FGCs. Content varies, but may include ensuring safety when DV is present, engaging children and youth in the process, coping with family conflict, and other specialized topics.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve and reunify families communication skills required to work with children and families; placement of the child; development of case plan for children in	CWTP trainers and community partners			100% IV-E

Course	Syllabus	IV-E Functions addressed	Provider			Cost allocation methodology
		foster care/ at risk of foster care; permanency planning; case management and supervision; referral to services.				
Casework Practice Reflective Training Groups	Monthly groups, designed to facilitate development of professional skills through collaborative discussions regarding prevention of foster care, case planning, family safety planning, family group conferencing, permanency, and case management in the context of the Family Services Practice Model.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; assessments to determine whether a situation requires a child's removal from the home; activities designed to preserve and reunify families communication skills required to work with children and families; 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 services.	CWTP trainers			Not applicable
Engaging Fathers and Paternal Families	Explore the research on the importance of males in the development of children. Understand the impact of your own experience with fathers in your practice. Learn skills to engage fathers and paternal families of children in foster care.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; communication skills required to work with families; cultural competency related to children and families; activities designed to preserve and reunify families; placement of child, development of case plan for children in foster care and at risk of foster care, case management and supervision, referral to services	CWTP trainers, FSD staff, community partners, hired subject experts			100% IV-E
Engaging DV Offenders	Understand how to safely engage DV offenders in the lives of their children and how to appropriately assess, develop case plans, and provide case	General substance abuse, domestic violence, and mental health issues related to children and families in the child welfare system, communication skills required to	To be determined			100% IV-E

Course	Syllabus	IV-E Functions addressed	Provider			Cost allocation methodology
	management services to these offenders. Review relevant research. Discuss case examples and practice.	work with children and families; assessments to determine whether a situation requires a child's removal from the home, placement of child, development of case plan, case management and supervision, permanency				

Course	Syllabus	IV-E Functions addressed	Provider			Cost allocation methodology
Teaming Symposium	Deepen understanding and skills related to collaborative approaches within social work units to the assessment of safety and risk, case planning, child placement, permanency planning and case management.	Case management and supervision, development of case plan, permanency planning, placement of child, referral to services.	DCF staff, CWTP			100% IV-E
Engaging and Assessing Children and Youth	Explore and practice use of the Three Houses, Wizard/Fairy and Words and Pictures tools to engage children and young people in case planning.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; communication skills required to work with children and families; placement of child, development of case plan for children in foster care and at risk of foster care, case management and supervision	CWTP and DCF staff			100% IV-E
Working with Youth Conference	The annual conference focused on youth in care – what works, what they perceive as important, how best to engage with youth to achieve safety, wellbeing and permanency.	Social work practice, such as family centered practice and social work methods including interviewing and assessment; communication skills required to work with children and families; placement of child, development of case plan for children in foster care and at risk of foster care, case management and supervision	Youth, hired subject experts, partners			
VFAFA Conference	Support participation of social workers and other staff in the annual conference of the Vermont Foster and Adoptive Families Association offers a wide variety of workshops related to children and youth in care.	Recruitment of foster parents, kinship care as a resource, placement of child, development of case plan, case management and supervision, permanency planning, referral to services.	Hired subject experts, CWTP trainers, community partners			

District-Based Training

The Child Welfare Training Partnership (CWTP) provides skills- based training in districts that is tied to foundations and core training. This model has proven both popular and effective in facilitating transfer of learning, thereby enhancing the professional development of FSD staff and spreading knowledge and improving practice skills.

Delivery of training is mutually agreed upon by CWTP, the FSD Operations manager, and each district's individualized plan for development of practice, in the context of the Family Services Practice Model. Community partners and other DCF department staff are invited and welcome at the discretion of the district.

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. This year, a cohort of experienced supervisors will participate in the online Leadership Academy for Supervisors at the National Child Welfare Workforce Institute.

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 available on the web.

Cost Allocation Methodology

The Title IV-E eligibility statistics are compiled quarterly from Family Services MIS, using data on all children in custody, including their custody category, and then indicating their Title IV-E eligibility status, also by custody and category. The number of Title IV-E eligible children is divided by the total number of children in custody to determine the Title IV-E eligibility rate (penetration rate).

The same information is provided for the children on adoption subsidy, which are categorized as Title IV-E eligible children. The number of Title IV-E eligible children is divided by the total number of children on adoption subsidies to determine the Title IV-E eligibility rate.

UVM Contract and Foster Parent Training

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

We are currently working with or will be working with the following National Resource Centers during the next reporting period.

- NRC for Child Protective Services
- NRC for Permanency and Family Connections
- NRC on Organizational Improvement
- NRC for Youth Development

Coordination and Consultation with Tribes

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 Juvenile Proceedings Act requires social workers to provide information required by the Indian Child Welfare Act at the Temporary Care Hearing, held within 72 hours of custody. Our initial case plan format is also designed to identify and address Indian Child Welfare issues.

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.

The University of Vermont's Social Work Department supports development of practice with the Abenaki and other indigenous communities in several ways:

- A formal course is offered on Social Work with Indigenous Communities;
- Support is available for IV E trainees and other social work students who wish to complete independent study or other projects related to this topic;
- Materials are available on the Title IV-E project website, including a cultural competency curriculum. These are available for use by FSD district offices.

Health Care Services

The Department for Children and Families (DCF) and the Vermont Department of Health (VDH) have a longstanding collaboration called Fostering Healthy Families: This collaboration is focused in particular on the early identification of health issues for children newly entering custody and the establishment of a medical home for the child.

VDH has committed medical and non medical professional staff to assist DCF social workers to perform initial and follow up screenings, develop health services plans and to make contact with medical homes to determine appropriate medical treatment for children. However, the DCF social worker is responsible for assuring appropriate health care for children in custody.

The Health Information Questionnaire (HIQ) is an automated tool designed to assist in the screening and monitoring of health issues and health needs. When a child enters DCF custody and is expected to stay at least 30 days, the social worker will refer the child to VDH by completing as much information as possible on the HIQ and submitting it electronically to VDH. All children are automatically electronically referred to VDH on the 7th day in custody, but an earlier referral is preferred.

The VDH public health nurse works with the child's primary care physician to complete the health screen which includes the following information:

- Provider name and last visit
- Allergies
- Prescriptions
- Nutrition
- Sexuality
- Immunizations
- Assistive devices
- Significant health history
- Active health needs

All of this information is used to develop a Health Services Plan and a screening plan of care which is then sent to the social worker and the medical home (primary care provider) for use in ongoing monitoring and treatment.

Health related components included in all case plan formats which are completed within 60 days of custody and every 6 months. This is the time when the social worker and the child and family support team updates and monitors health care information and activity.

Vermont's Blueprint for Health

Vermont's Blueprint for Health is a highly coordinated, systemic approach to health wellness, disease prevention and care coordination. The Blueprint is a program for integrating a system of health care for patients, improving the health of the overall population, and improving control over health care costs by promoting health maintenance, prevention, and care coordination and management.

The Blueprint is seen as a cutting edge health reform program and public-private partnership. All major insurers must participate in this model as it is expanded statewide. While first conceived as an approach to maximize adult health, the project has now incorporated pediatric practices. This benefits children in foster care, who are known to have a higher incidence of chronic health issues than children in the general population.

In 2010, a legislative act mandated statewide expansion of Blueprint Integrated Health Services, a model that includes Advanced Primary Care Practices with recognition as patient-centered medical homes and community health teams, supported by multi-insurer payment reforms.