

PROGRAM GUIDELINES
AND
ACHIEVEMENTS
OF
STATE DEVELOPMENTAL
DISABILITIES PROGRAMS



Development Disabilities Office
Office of Human Development
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

The publication of these Guidelines is made possible in partial fulfillment of Grant No. 54-P-71220/2-01 by the Developmental Disabilities Office to EMC Institute, Inc. Dr. R. Lee Henney, of EMC, is Project Director. The Guidelines herein contained are actual reproductions of the original issuances from the Developmental Disabilities Office, Washington, D.C., Mr. Francis X. Lynch, Director. The contents of the Summary Report are solely the work of the EMC Institute staff and in no way reflect the official position of the Federal Government. The material for the report is a summary of an analysis of 1978 State Plans. Mr. Irwin L. Schpok was Project Director of this effort.

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Department of Disabilities Office
Office of Human Development
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

Issuance No.: DDO-SPO-70-001

SEP 23 1977

Typet Program Regulation Guide

Title: State Planning Councils • Functions and
Responsibilities

ISSUANCE TO BE REPLACED

New Issuance

BACKGRUOND

The Developmental Disabilities Act as amended by P.L. 94-103 emphasizes very strongly the planning and advocacy roles of the State Planning Council (Section 137) and initiates the Design for Implementation as a means through which the Council monitors and evaluated the administration of the State Plan by the designated State agency (or agencies). Planning, as a primary reason for the Council's existence is reinforced by its change in name and by its responsibility to supervise the development of the State Plan by providing guidance as described in Regulstions, Section 1386.50.

WHAT TO DO WITH ISSUANCE


The Attached guidelines sets forth the Department's views concerning the functions and responsibilities of the State Planning Council and its relationships with the State Administering Agency (or Agencies) under the 1975 amendments. Since the 1975 amendnents established the need for a new level of Council/Agency cooperation, it is important that the functions and overall responsibilities of the State Planning Council be clearly delineated in accordance with the intent of the legislation as well as the regulations. These guidelines address the areas of continuity and the interplay of roles between the Council's planning functions and the administering agency's implementation responsibilities. They also complement the Guidelines and Instructions for preparing the State Plan.

SCOPE OF COVERAGE

These guidelines are primarily applicable to State DD Planning Councils and State Agencies, and useful to other persons, organizations and State government authorities interested or involved in services for the developmentally disabled.

DISTRIBUTION

DD staff Regional Offices, State Planning Councils, State agencies. constituent organizations. OHDS Central Register.


Francis X Lynch
Director
Developmental Disabilities Office

Office of Human Development Department of Health, Education, and
Welfare

GUIDELINES

State Planning Council ~ Functions and Responsibilities

I. Purpose of Guidelines:

The Developmental Disabilities Act (42 U.S.C. 6001, et. sea.; P.L. 91-517, as amended by P.L. **94-103**)* provides for comprehensive planning and implementation of a formula grant program through the joint efforts of the State Planning Council and the State Administering **Agency(ies)**. These guidelines are intended to clarify the Council functions and responsibilities as described in legislation and regulations.

II. Legislative Authority:

Section 133(a) states that any State desiring to take advantage of the DD Basic Formula Grant Program must have a DD State Plan submitted to and approved by the Secretary.

Section 133(b) specifies (among other things) that, in order to be approved by the Secretary, a State Plan for the provision of services and facilities for persons with developmental disabilities must:

1. describe the state Planning Council and its responsibilities;
2. provide that the State Planning Council be adequately

*References to "the Act" in these guidelines are to P.L. 91-517, as amended by P.L. 94-103.

staffed to discharge its responsibilities and identify the staff of the Council;

3. provide that the State Planning Council will from time to time, but not less often than annually, review and evaluate its approved State Plan and submit appropriate modifications to the Secretary.

Each State which receives assistance under the basic formula grant program shall establish a State Planning Council which will serve as an advocate for persons with developmental disabilities.' The members of the Council shall be appointed by the Governor in accordance with Section 137(a) of the Act. Each State Planning Council shall at all times include in its membership representatives of the principal State agencies (i.e. at least those agencies which administer the programs cited in Section 133(b)(2) of the DD legislation).

Section 137(b) states that the State Planning Council shall:

1. supervise the development of and approve the State Plan;
2. monitor and evaluate the implementation of such State Plan;

'Unlike the system created pursuant to Section 113 of the Act, Advocacy carried out by the Council is not essentially geared to specific individuals, nor does the Council have to comply with the requirements of Section 113.

3. to the maximum extent feasible, review and comment on all State Plans in the State which relate to programs affecting persons with developmental disabilities; and
4. submit to the Secretary, through the Governor (for review and possible comments) such periodic reports on its activities as the Secretary may reasonably request.

Section 145(b) states that the Secretary may not approve an application for a "special project" under the discretionary funds program unless the State in which the applicant's project will be conducted has an approved State Plan. Further, the Secretary shall provide to the Planning Council of the State an opportunity to review the application for such "special project" and to submit its comments to the Secretary.

III. Regulatory,. Authority:

Section 1386.60 - .63 and Sections 1387.23 - .31-

IV. Relationships with Administering Agency*:

Although legislation and implementing regulations address Council and Agency roles and responsibilities as separate and distinct areas of concern, in practice they are not mutually exclusive and cannot be successfully performed in isolation from each other. Program success depends on an environment of close working relationships between the Council and the Administering

*Or Agencies, as applicable.

Agency based on a clear appreciation of their respective roles and responsibilities. The environment must be motivated by active commitments on the part of public and private individuals and agencies to meeting the needs of persons with developmental disabilities.

The 1975 amendments (P.L. 94-103) of the Developmental Disabilities Act modify the major Council/Agency roles and responsibilities as compared to those under previous legislation, and intend to provide a climate which encourages working accommodations between them.

The following statement is taken from the Preamble to the Regulations dated January 27, 1977 (42 Federal Register 5273): "...it is the Department's belief that Congress intended the State council to remove itself from dealing with individual grant applications, and to be more concerned with advocacy and with comprehensive planning, monitoring, and evaluation of the State Plan rather than with the administrative activities. The preamble to the NPRM sets forth the basis and purpose for the regulations dealing with the preparation of the State plan, and also with the award of individual grants. For emphasis and clarity the pertinent part is repeated:

... (Based) upon legislative history, the Department believes that Congress wished to highlight the crucial advocacy role and strengthen the supervisory, planning, and monitoring functions

of the State planning councils to meet increased responsibilities effectuated by the 1975 amendments, leaving the actual day-to-day administration of the programs to the designated State agencies. (See Appendix, pg. 36583-)" Section 137 of the DD legislation addresses the specific nature and responsibilities of the Council, identifies its major role as the core planning body and advocate for persons with developmental disabilities and mandates among its responsibilities that it "supervise" (exercise control over) the development of the State Plan, and monitor and evaluate its implementation. With regard to the development and preparation of the State Plan, it is clearly Congressional intent that the State Council supervise the development of and approve the State Plan, but that the State agency prepare the plan. (See pg. 33, Report No. 94-473, Conference Report to accompany H.R. 4005).

Section 1386.60 of the Regulations defines the role of the Council in regard to the development, monitoring, and evaluation of the implementation of the State Plan. The State agency which develops the State Plan will have a role in the way the State Plan will ultimately evolve in line with the Council's planning determinations and the Council will have a role in the way the State Plan is implemented by the Agency through its responsibility to monitor and evaluate the implementation by the Agency. Thus, the Council provides guidance (supervision) by acquiring and interpreting the data and information needed to

make a total needs assessment and to identify gaps and resources. These arrangements establish the process upon which the Council establishes goals, measurable objectives, and priorities for the allocation of Developmental Disabilities Federal funds. In the latter process, the Agency and the Council might find reason to negotiate around the goals and priorities with respect to the allocation of funds since it is the State Agency which ultimately must establish the agreements and the implementing mechanics among programs toward meeting the Council's goals and objectives. Constraints to the realization of the Council's goals and priorities become some of the issues to be dealt with within the Council's advocacy role. If priorities cannot be realized because of legal, administrative, fiscal, procedural or other constraints within the State, their resolution becomes the Council's own goals.

Neither the legislation nor the regulations specify clearly all the details involved in the expected relationships between the Council and the Administering Agency, but the tasks are clear and the Council/Agency responsibilities must remain as specified by legislation. It is up to the State to resolve the problems of Council/Agency working relationships without conflicting with what is stated in legislation, regulations or guidelines.

V. Functions of the State Council:

A- Supervise the Development of the State Plan

The State Council supervises the development of the State

Plan (in line with "Guidelines and Instructions for Developing and Preparing the Comprehensive State Plan for the Developmental Disabilities Program") prepared by the designated State agency by providing guidance through the establishment of measurable goals and objectives (goals and objectives which specify criteria to measure progress), identification of gaps, and the setting of priorities for the allocation of funds. In order to establish credible goals, the State Council shall be responsible for needs assessment, analysis of programs currently and potentially capable of providing services to the developmentally disabled, and establishment of priorities to deal with identified gaps.

The State Council shall also establish methods for monitoring and evaluating the implementation of the State Plan to ensure that established goals and objectives are being achieved. Methods to accomplish these activities include, but are not limited to, written reports, site visits and direct communication with State, local and private agencies. Periodic reports should be required by the State Council from the State Administering agency indicating program performance *or* lack thereof and the reasons for delay.

Monitoring involves continual review and updating of data and information required for planning purposes in order to improve the delivery of services in accord with the goals and objectives of the State Plan.

Evaluation is the assessment of the extent to which the goals and objectives of the State Plan have been achieved.

Evaluation information leads to the selection of new goals and objectives and the beginning of a new planning cycle.

This means that objectives must be stated in measurable terms, so that a meaningful evaluation may be made.

B. Review All Plans of the State

As the core planning body and advocate for the developmentally disabled population in the State, the State Planning Council is commissioned to look into the total needs of all developmentally disabled persons in the State. Its functions include monitoring the State service systems with respect to services for the developmentally disabled, identifying unmet needs, establishing goals and objectives to serve all developmentally disabled persons in the State through those service systems, and reviewing to the maximum extent feasible all relevant State Plans, and analyzing other public and private programs which impact or have potential to impact on developmentally disabled persons. The State Plans to be reviewed and analyzed include at least the following Federally assisted programs: Education for the handicapped, vocational rehabilitation, public assistance, medical assistance, social services, maternal and child health,, crippled children's services and comprehensive health and mental health plans. Its interests transcend administrative

and organizational lines and involve all areas **affecting** developmental disabilities services. **This** function may be met by a variety of strategies including **having** the Governor designate the State Council as his official agency to review and comment on all State Plans affecting developmentally disabled persons for compliance with OMB Circular *A-95*.

C. Planning; Process

The Council must establish a planning process that relates to all pertinent agencies without conflicting with those agencies' authorities. The task of implementing the State Plan lies with the designated State agency. The Council establishes clear-cut, measurable objectives to assure that the State Plan will be implemented in line with the intent of the Council's goals. The State agencies will select from alternative strategies to achieve those objectives most pertinent and feasible to their specific programs, and in a manner that fulfills the intent of the State Plan. The State Planning Council may specify resources that are available to the State for the purpose of achieving goals, and may identify the appropriate State agencies which will participate in carrying out the design for implementation.

In addition to the determination of needs and resources, planning activities are concerned with the analysis, coordination and realignment of existing generic and Specialized services so that all needed services will become available to

developmentally disabled persons, especially in their communities. Services in generic agencies may need to be adapted when applied to developmentally disabled persons so that programs to fill gaps in services will be put in place and an adequate variety of alternative programs will become available to meet specific needs. This requires a study of all resources in the State - public and private - to ferret out what each might be capable of contributing toward the objectives and to consider the circumstances required in order to bring them about. This is a major function of the Council and is brought about by an effective planning process and by the effective participation of all Council members, especially State agency representatives.

The following statement appeared in the Preamble of the Regulations dated January 27, 1977 (42 Federal Register 5275) :

"The Department further believes that this (the fact that the Act is designed to assure that councils have the capacity for getting cross-agency cooperation) requires that the State planning council and State agency(ies) complement each other's functions through effective working relationships. These regulations restate the statutory requirements to make it clear that planning council members and staff are required to review their own and other State plans, and that such analysis, as a com-

ponent of a systematic planning process, contributes information on needs, actual and potential resources, and leads to the development of short-term objectives to meet long-term goals. It also contributes to the development of council insight into the best methods to effect cross-agency coordination to develop a reliable system of services for the developmentally disabled persons in the State". (See Appendix, pg. 36584).

VI. Council Staffing:

There must be a sufficient number of appropriately qualified staff available to the Council in order to carry out its responsibilities. Section 133(b)(8) states that the State Plan must provide that the State Planning Council be adequately staffed — and Section 133(b)(7) states that the State Plan must include provisions, meeting such requirements as the U.S. Civil Service Commission may prescribe, relating to the establishment and maintenance of personnel standards in a merit basis. Staff is not to have joint responsibilities to the Council and agency. The Conference Report No. 94-473 (Page 36) to Accompany H. R. 4005, states:

"Conferees deleted provisions relating to minimum and maximum percentage of the State allotment required to be expended on staff to the State Councils because this provision would have been difficult to implement across all States because they vary greatly population and State allotments. The

conferees intend, however, that adequate funds from the State allotments shall be expended to provide qualified staff solely for purposes of assisting the State councils in carrying out their responsibilities and that such staff shall not have joint responsibilities to the State Council and to any State agencies, but shall be responsible only to the State council." Instructions to and supervising of State Council Staff must take place directly between the Council and its staff in carrying out State Council activities.

In order to carry out Council activities, the staff listed below should be provided. As a minimum, however, the staff should consist of one Executive to the Council and one Secretary - Technical Assistant.

1. Executive to the Council: Shall be a full-time position and responsible for administering total Council functions and directing staff to the Planning Council: developing goals and implementing policies consistent with the Council's functions; initiating activities relating to all areas of Council functions and responsibilities; acting as Director to the Council and carrying Out such work as required by the Council. Supervision is received from the Council Chairperson. It is recommended that this individual have rank, in the merit system, and status consistent with responsibilities and comparable to other State governmental officials serving on Council

2. Secretary/Clerk Stenographer

3. Planner/Program Analyst: Has professional responsibility for analysis of other State Plans and assisting the Council in identifying and setting goals and objectives for the overall Developmental Disabilities program; developing monitoring and evaluation strategies; conducting surveys and developing management strategies.

The following additional positions are identified as desirable and are subject to resources available and specific needs Of the Council. Some of these positions may be fulfilled by contractual arrangements:

1. Program Evaluator
2. Associate planners
3. Legal counsel
4. Information specialist (public awareness, public information, etc.)
5. Assistant Director
6. Special Assistant (manpower development, special studies)

VII. Organizational Location of the Council

In fulfilling its role as advocate for developmentally disabled persons and reviewing and monitoring programs affecting the developmentally disabled, the Council should be organizationally located with appropriate stature and resources within the State system to effectively provide for services and to advocate for developmentally disabled persons. These roles may be supported

by having the State council located within (1) the immediate Office of the Governor, (2) the State planning office, or (3) the immediate office of the head of the administering agency. In any case, however, the Council shall report directly to the Governor.

VIII. State Council Membership:

1. The legislation requires that the State Planning Council have membership from State agencies representing at least nine specified State-level service systems. The representatives of agencies should be in a position to influence the policies of the agencies they represent and to make judgments and commitments on behalf of their agencies which can reasonably be supported and implemented, both professionally and administratively. An agency representative's appointment to the Council by the Governor presupposes that the appointee will bring the resources and commitment of his/her program(s) to bear on the problems of the developmentally disabled consistent with their priority needs. The representative should contribute to the development of Council insight on the best methods to effect cross-agency coordination toward the development of a reliable system of services for developmentally disabled persons in the State. This, in effect, is a prime charge to any State agency representative in terms of participation in State Council planning activities.

In general, other membership on the Council should include representatives of various ethnic and socio-economic groups, sex, age, and geographic areas of the State.

2. At least one-third of the membership of the State Council shall consist of developmentally disabled persons, or their parents or guardians, who at the time of appointment to the Council, are not officers of any organization, or employees of any State agency, or any other entity which receives funds or provides services under the Developmental Disabilities program.

Ordinarily, an officer of any agency or organization providing services to developmentally disabled persons means, in the case of nongovernmental agencies, those officers specified as such in the article of incorporation or charter of the organization who are elected or appointed for a specified term and who exercise authority or control over the policy, activities, staff, funding or operation of the facility. In the case of governmental officers which receive DD funds, the term applies to either appointed or elected public officials or persons included under State civil service systems.

In the event a developmentally disabled person or his/her representative is subsequently appointed or elected as an officer of a disqualifying entity, he/she shall be replaced

on the council by a qualified developmentally disabled person or his/her representative. This provision does not prohibit officials of such entities from being representatives of local governmental or nonprofit agencies concerned with services to developmentally disabled persons. Whenever possible, the State Council should have at least one representative from each of the disability categories included under the State Plan and where applicable, a representative of a university- affiliated facility or a satellite.

The responsibility of the "consumer" representative on the Council is to participate in Council activities in behalf of all developmentally disabled persons, not for just a particular category or group.

IX. Expenses of the Council:

In addition to providing adequate staff for the State Council, adequate support services must be provided. These include space, utilities, equipment, maintenance, provisions for contractual services, and travel and per diem for planning related purposes.

X. Submission of the State Plan:

1. The original and five (5) copies of the State Plan or Annual Revision, signed by the Chairperson of the State Planning Council, are to be submitted to the Director, Regional

Developmental Disabilities Office, Department of Health, Education, and Welfare. Form OHD-OPE-1 shall be used for this purpose.

2. The State Plan or Annual Revision must be submitted to the Regional Office not later than August 1 preceding the fiscal year covered **by** the Annual Revision. This is especially important so that the Federal DDO and the State program can provide for the most judicious and effective use of funds for the year and allow sufficient time for necessary adjustments to the State Plan or Annual Revision prior to the beginning of the fiscal year.

Failure to submit an approvable State Plan or annual revision by the beginning of the fiscal year will:

- a) result in the loss of FFP in the cost of expenditures during the period of the fiscal year for which an approvable State Plan or annual revision has not been submitted (45 CFH Section 1386.2(b), and
- b) reduce the time (by the corresponding period of delay) available in which to make expenditures against the DD allotment .

Expenses incurred prior to an approvable State Plan are not eligible for FFP and cannot be applied to State matching requirements under the program; such expenses will have to be paid **by** funds other than the DD allotment.

3. Interim changes to an approved State Plan (concerning policy, procedures or other substantive issues) which the State Council elects to effect may be submitted to the Regional Office at any time for review and approval. Such changes must be accompanied by an accentable explanation.

XI. Review of Special Project Grants:

Applications for special project grants (sec. 145 of the Act), except those for Projects of National Significance, require review and comment by the State Planning Council in order to insure that the proposed project is consistent with the State Plan goals and objectives or the comprehensive planning and monitoring responsibilities of the State Planning Council.

The comments with regard to a particular application must be submitted to the appropriate Regional DDO Director by the State Planning Council within 30 days from the date of submission by the applicant in order to assure consideration of such consents.

XII. Report of State Council Activities:

In order to carry out the requirement of the Act and regulations regarding a report of the Council's activity during the year, the Chairperson of the State Council shall submit a narrative report through the Governor to the Secretary. This report is to be submitted as part of the quarterly Program Performance Report according to the accompanying instructions.

STATE ADMINISTERING AGENCY (IES)
AND PROGRAM UNIT FUNCTIONS
AND RESPONSIBILITIES



Developmental Disabilities Office
Office of Human Development
VS. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMIYYAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

Date

TRANSMITTAL

Issuance No.: DDO-SFO-10-001

Type: Program Regulation Guide

Title: State Administering Agency(ies) and Program Unit Functions and Responsibilities

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

The Developmental Disabilities Act as amended by P.L. 94-103, clearly recognizes the designated Administering Agency (or Agencies) as the focal point in the State for the implementation of the DD State Plan. It requires that the Agency be so staffed and organized as to adequately perform and place responsibilities for all functions involved. The 1975 amendments introduce the Design for Implementation (DFI), to be developed by the State Agency subject to approval by the State Council. The DFI is essentially an overall strategy by which the Agency will achieve the goals and objectives of the State Plan as determined by the State Council. These provisions are contained in Section 133(b) of the legislation and in various Sections of the Regulations, primarily Sections 1386.3(a) and (b), 1386.4, and 1386.50.

WHAT TO DO WITH ISSUANCE

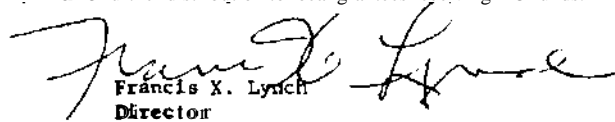
The attached guidelines set forth the Department's views concerning the functions and responsibilities of the State Administering Agency(ies) and a description of a Program Unit for the efficient and effective administration of the State Plan. These guidelines should be used as a reference by State Administering Agencies in evaluating their organizational set-up and their functions and responsibilities as they perceive them to be, with respect to the administration of the DD State Plan.

SCOPE OF COVERAGE

These guidelines are applicable to State Agencies which are designated to administer or supervise the administration of all or portions of the DD State Plan. They are also applicable to State DD Councils and all other entities and authorities in the State government and in the private sector who are in any way involved or concerned with matters related to the administration of the DD State Plan.

DISTRIBUTION

DD staff Regional Offices, State Planning Councils, State Agencies, constituent organizations, OHD Central Register. State DD administering agency(ies) should make further distribution to local grantees receiving DD funds.


Francis X. Lynch
Director
Developmental Disabilities Office

GUIDELINES

State Administering Agency(ies) and Program Unit Functions and Responsibilities

I. Purpose of Guidelines:

The Developmental Disabilities Act (42 U.S.C. 86001, et seq . P.L. 91-517| as amended by P.L. 94-103)* provides for the implementation of a formula grant program through the joint efforts of the State Planning Council and the State Administering Agency or Agencies. These guidelines are intended to expand and clarify certain provisions of legislation and governing regulations with respect to functions and responsibilities of the State Agency(ies), and the location and functions of the DD administrative unit which has primary responsibilities for the proper and efficient administration of the State Plan.

II. Legislative Authority:

Section 133(a) and (b) of 'the Act.

III. Regulatory Authority:

Department of Health, Education, and Welfare regulations, primarily 45 CFR Section 1386.1, .3 and .4.

'References to "the Act in these guidelines are to P.L. 91-517, as amended by P.L. 94-103.

IV. Designated State Agency or Agencies:

Flexibility is afforded in the selection of the State agency (or multiple agencies) in order to allow the Governor, or State legislature, to designate that agency and establish that administrative structure which will be most effective in developing and carrying out the State Plan within the purview of the Act, Regulations and Guidelines.

In light of the crucial need for the developmental disabilities program to coordinate with other programs in the State, the administering agency should be placed in an organizational position which allows it to operate at a level with other State agencies with which it must collaborate on behalf of developmentally disabled individuals.

The principal responsibilities of the State Agency (to be carried out through its administrative program unit) are the preparation and administration of the State Plan (in accordance with the policies, priorities and guides of the State Planning Council -- see Guidelines on State Planning Council Functions) and its implementation on a day-to-day basis. In accepting Federal funds, the State Agency assures that the program will be carried out in accordance with the Act, regulations and guidelines, and the policies and procedures set forth in the State Plan. In this connection, the State Agency has responsibilities in the following areas:

1. Development and writing of the State Plan (including the

- Design for Implementation);
2. Implementation of the State Plan;
 3. Program development (including project development and grant review);
 4. Monitoring and review of activities undertaken in accordance with the State Plan (except for State Planning Council activities);
 5. Program financial administration;
 6. Development and maintenance of service and construction standards;
 7. Personnel administration per 45 CFR Section 1386.21 (Merit system and other standards, affirmative action for equal employment) and other applicable legislation and DHEW regulations;
 8. Development and implementation of an affirmative action plan for the employment of handicapped individuals;
 9. Maintenance of fiscal and other records which shall be accessible for purposes of audit and examination;
 10. Preparation and submittal of reports as the Secretary may from time to time require;
 11. Implementation of all assurances as specified in legislation, regulations and the State Plan; and
 12. Others as specified in legislation or governing regulations.

V. Program Unit (Staff and Responsibilities):

The State Plan must show that there is an administrative program unit within the State Agency responsible for program administration (45 CFR Section 1386.1(b)(5)(iii) and 1386.4) and that adequate staff is available for the proper and efficient administration of the State Plan with reasonable State financial participation in the cost of carrying out the State Plan. If the State elects to adopt a multi-agency approach (as opposed to the designation of a single State Agency) for the administration of the DD program, it would be necessary for each designated State Agency to provide for the specific assignment of program responsibility and accountability to agency staff, for the adequacy of staff to perform all required functions and for the identification of such staff. For the administrative program unit to provide for the proper and efficient administration of the State program and all related functions, the staff of the unit should be sufficient in number and have appropriate qualifications. In order to carry out the functions of the identified administrative unit, an office and officer of the designated State agency must be assigned the responsibility of the day-to-day operation of the program. The program unit of the agency must:

1. have the primary responsibility for all phases of the developmental disabilities program under the State Plan, including services, facilities, coordination, and individual habilitation plans;

2. have responsibility for all decisions regarding the design for implementation and the nature and scope of services to be provided;
3. have adequate full time (or full and part time) staff employed in such developmental disabilities work for the full conduct of all activities of the State Plan.

Accordingly, the following minimal staff is required for the program unit:

1. Director (Officer) - Directs State Plan Development. Directs and coordinates staff; establishes, develops and maintains cooperative agreements and working relationships with State Council; prepares budget and justification; develops the Design for Implementation; supervises the expenditure of funds; develops procedures for and supervises the process of implementation, monitoring and review of activities funded under the State Plan.
2. Financial Management Assistant/Accountant - Responsible for monitoring expenditures of Federal/State/local funds relative to the Developmental Disabilities program; has overall audit responsibility; prepares necessary financial documents.
3. Secretary/Clerk Stenographer
4. Other positions are identified as being necessary to the program and are subject to resources available:
 - a) Program Developer
 - b) Program Evaluator

5. Other Support Services - May be provided **by** the State Agency's existing units in the various areas such as:
- a) Personnel
 - b) Accounting
 - c) Fiscal
 - d) Budgets
 - e) Public Information/Education
 - f) Training
 - 1. In-Service
 - 2. Staff Development
 - g) Research/Statistics

The program unit should be in an organizational position to exercise an effective voice in the making of key policy decisions in matters effecting the conduct of the program, and should be in an organizational environment with clearly established lines of administrative and supervisory authority. The program unit staff is responsible for the proper and efficient administration and accountability of the program. Although there may be some functions related to the responsibilities of the Program Unit which may be performed by State Agency staff outside the Program Unit, the Program Unit is nevertheless the center of responsibility and accountability, and represents the primary contact point within the State Agency. The functions of the State Agency are to be performed through the DD program unit and include, among others, the

following:

1. Development and Writing of the State Plan'-

- a) The Council supervises the development of the State Plan prepared by the designated State Agency (Section 1386.60 of the Regulations). In developing and writing the State Plan, the designated State Agency organizes the planning data and information acquired by the Council as well as the Council's findings (needs, resources, gaps, goals and objectives, and priorities) into the required form as specified by State Plan Guidelines (Regulations 45 CFR 1386.1(b)). The State Agency also completes other portions of the State Plan which are not tied into the planning process of the State Planning Council. The completed document, including the Design for Implementation which the State Agency develops based upon Council findings, is subject to the Council's review and approval.
- b) The State Agency also develops and writes the interim amendments to the State Plan, and the Annual Revisions through the same process as in (a) above.

2. Implementation of the State Plan:

The State Agency through its administrative program unit is responsible for:

- a. developing a Design for Implementation (see DFI guidelines) which describes the methodology and other

strategies to be employed by the State Agency to achieve the goals and plan year objectives as developed by the State Council;

- b. the development of agreements with pertinent other agencies, public or private, in line with DFI provisions in order to accomplish the objectives. This responsibility carries with it the obligation to monitor and evaluate performances under these agreements to insure that the expected extent and quality of achievements are met;
- c. adequately meeting pertinent assurances as specified in the State Plan. These assurances include the legislative requirements for Habilitation Plans as provided for under Section 112 of the Act, and for an Evaluation System as provided for under Section 110 of the Act.

3. Financial and Program Reporting::

The State Administering Agency is responsible for the financial management of the LD program under the State Plan. These responsibilities include fiscal accountability and reporting as required:

- a) HEW 601T: Financial Status Report;
- b) HEW 605T: Outlay Report and Request for Reimbursement for Construction Programs (See Construction Guidelines);
- c) Program Performance Report: A quarterly report required under HEW regulations (See 45 CFR Part 74 implementing

Federal Management Circular No. 74.7, formerly OMB Circular No. A-102 "Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments.") Subpart J, Section 74.80 through 74.86 of the regulations set forth the requirements for monitoring and reporting program performance under DHEW grants, including the developmental disabilities program, and refers basically to relating program accomplishments to program purposes and objectives; and

d) Other reports as may be required.

4, General Administration of the DD Program

The designated State agency through its administrative program unit is responsible for the general administration of the developmental disabilities program. The following provides guidelines on some of the major areas of program administration:

a) Administrative Costs:

At the request of the State Agency, up to 5 percent of the State allotment, or \$50,000, whichever is the least, may be used to pay not more than one half of the expenditures for proper and efficient administration of the State Plan. Any portion of the amount allowable for administration costs which is not utilized for that purpose may be utilized for implementing other activities as set forth in the State Plan. The State Plan must include a statement

of proposed expenditures, including the amount requested from the allotment for the administration of the State Plan.

1) Allowable Administrative Costs

Costs of compensation of personnel and other administrative **expenses**, including supportive services related to administering or supervising the administration of the State Plan.

2) Non-Allowable Administrative Costs

- a) Administrative costs exceeding 5 percent of the State allotment, or \$50,000, whichever is least.
- b) Administrative costs attributable to other grant-assisted programs
- c) Expenses of central administrative departments of State and local governments other than those directly related to administration of the State DD Plan.
- d) Costs of activities or projects relating to planning service projects or construction of facilities for persons with developmental disabilities.
- e) Expenses of the State Planning Council and Regional planning groups to the extent that such groups provide planning advice to the State Council or State Agency.

3) Other Allowable Costs

Federal Financial Participation in planning, provision of services and costs of construction of facilities provided for under the approved State Plan may include costs which the State agency is authorized to undertake or support. This includes the costs of specialized training, in-service and short-term training. All costs, including costs for administration of the State Plan (see 1 above), are subject to the cost principles set forth in Subpart 0 of 45 CFR Part 74, for State and local governments. These principles apply to all grantees receiving Federal funds under the program.

4) Other Non-Allowable Costs

In addition to the items of non-allowable costs outlined in Subpart Q of 45 CFR, Part 74, the following costs are not allowable for Federal Financial Participation:

- a) The acquisition of land;
- b) An amount equal to the sum of 1) the amount of any other Federal grant which the applicant has obtained (or is assured of obtaining) with respect to any project under any provision of law other than Section 132 of the Act, State Allotments, and 2) the amount of any non-Federal funds required to be expended as a condition of such other Federal grant

(Section 136 of the Act; 45 CFR Section 1386.14);

and

- c) Such other costs as the Director, DDO, determines to be inconsistent with the Act, regulations and these guidelines.

(b) Federal Financial Participation;

- 1) Section 134(a) of the Act provides that the State shall be paid the Federal share of expenditures incurred during the fiscal year under an approved State Plan. For approval, the State Plan must meet the requirements specified in Section 133(b)(1) through (30) and must be in accord with other relevant provisions of the legislation.

If at the time of submittal to the appropriate Regional DC Office a State Plan (or Annual Revision) is approvable (and subsequently approved), the date of submittal is when the Federal Financial Participation (FFP) begins. This date is either:

- a) When a State Plan reaches the DDO/RO or;
- b) The "certified" mailing date of the State Plan.

A State Plan is considered "approvable" by the RO when the review identifies no need for changes in order for it to be officially approved. There can be no "conditional approval" of a plan; any communication to

a State to the effect that a plan is approvable if certain conditions are met, or if certain changes are made, constitutes a failure by the Regional Office to legally approve the plan.

At the time of the approval of the DD State Plan the full allotment becomes available to the States. The Grant Award Notice will follow upon approval of the State Plan.

Failure to submit an approvable State Plan or annual revision by the beginning of the Fiscal year will:

- a) result in the loss of FFP in the cost of expenditures during the period of the fiscal year for which an approvable State Plan or annual revision has not been submitted (45 CFR Section 1386.2(b)), and
- b) reduce the time (by the corresponding period of delay) available in which to make expenditures against the DD allotment.

Expenses incurred prior to an approvable State Plan are not eligible for FFP and cannot be applied to State matching requirements under the program; such expenses will have to be paid by funds other than the DD allotment.

- 2) It should be noted that no allotment may be made under

Title I, Part C of the DD legislation for FY 1978 unless the State has in effect a Protection and Advocacy system as described in Section 113 of the legislation. Thus, FFP will be delayed under the basic formula grant program unless the P&A system is approved by the Secretary.

(c) Federal Share

- 1) Effective October 4, 1975, the Federal share for a State may not exceed 75 percent of the expenditures incurred under the approved State Plan except for activities or projects located in or serving urban or rural poverty areas. In those cases, the Federal share may be up to 90 percent of the expenditures.
- 2) The non-Federal share of any program, activity or project assisted by a grant may be provided by cash or in-kind. For the purposes of this program, "in-kind" shall have the same meaning, criteria and procedures for matching and cost sharing as outlined in Subpart G, 45 CFR, Part 74, DHEW regulations,
- 3) The non-Federal share (matching funds) refers to State, local and private non-profit funds expended on this program. "State" funds are those appropriated by the State legislature; "local" funds are those appropriated by a local political sub - division of the State; and

"private non-profit funds" are those derived from gifts, contributions (fund-raising) and sources other than Federal, State and local governments, available to the organizations participating in the program. There is no Federal requirement that matching be shared by the three participating sources. The non-Federal Share may consist of only one source, e.g., State funds, or it may be a combination of two or more sources, State, local, and private non-profit funds.

The Federal share relates to the aggregate of all expenditures incurred under the State Plan, i.e., when all activities for which funds are expended under the State Plan are accounted for there must be expended a sufficient amount of non-Federal money to earn the Federal allotment. There is no Federal requirement that Federal and State funds must be apportioned on a pro rata basis for individual activities funded under the State Plan. However, the State Plan may include a policy which imposes upon sub-grantees a requirement that the grantee must provide a pro rata share of the non-Federal funds. On the other hand, it is conceivable that in some instances State funds alone would supply the entire non-Federal share.

(d) Accounting Procedures

The State Plan shall provide for such written fiscal con-

control and fund accounting procedures as are necessary to assure the proper disbursement of and accounting for funds paid to the State under this program. Such procedures should clearly differentiate between the basic services formula grant funds (Part C) allotted under P.L. 94-103 and those received by the State from all other Federal formula and project grant programs.

The accounting procedures shall provide for an accurate and timely recording of receipts of Federal funds paid to the State, for expenditures incurred or to be incurred under the approved plan, of the amounts and purposes of expenditures made in carrying out such plan, and of any unexpected balances of Federal funds paid to the State. In addition, such procedures must:

- 1) Provide for the determination of allowability and the allocation of costs in accordance with the Department of Health, Education, and Welfare regulations, 45 CFH Part 74, Subpart Q.
- 2) Provide adequate information to show exclusion from expenditures claimed for Federal participation of those costs for which payments have been received or are due under other Federal grants or contracts or which are required or used to match other Federal funds.
- 3) All records shall be retained in accordance with the requirements of ~~DHEW~~ regulations 45 CFR Part 74, Sub-

part D.

Each recipient (grantees and contractors of assistance shall keep records 1) which fully disclose (a) the amount and disposition by such recipient of the proceeds of such assistance, (b) the total cost of the project or undertaking in connection with which such assistance is given or used, and (c) the amount of that portion of the cost of the project or undertaking supplied by other sources; and 2) such other records as will facilitate an effective audit.

(e) Expenditures By Private Non-Profit Agencies

Expenditures made by private non-profit agencies, organizations, and groups to whom the State agency has made grants are to be regarded as expenditures of the State (or political subdivision) subject to the following conditions and limitations:

- 1) Expenditures may be included only when made by an agency, institution, or organization to which the State authority has made available funds from Federal or State sources for activities, programs or projects under the approved State Plan.
- 2) Records of the expenditures by a non-profit private agency in administering the State Plan shall be maintained and be available for inspection and audit for the period specified in Section VI of these guidelines.

(f) Merit System

The State Plan shall provide for the establishment and maintenance of personnel standards on a merit basis for persons employed by the State Agency, and by official State or local agencies to carry out activities under the approved State Plan, and for State Agency supervision of compliance with such standards by official local agencies. (See the Act, Section 133(b)(7); 45 CFR Section 1386.21).

The Federal Standards for a Merit System of Personnel Administration, 45 CFR Part 70, including any amendments thereto, and any standards prescribed by the United States Civil Service Commission pursuant to Section 208 of the Intergovernmental Personnel Act of 1970 (P.L. 92-648), 84 Stat. 2925 modifying or superseding such Standards will be deemed to meet this requirement as determined by said Commission. Laws, rules, regulations, and policy statements, and amendments thereto, effectuating such methods of personnel administration and State Agency supervision shall be made available on request to the Secretary.

The State Plan shall contain an assurance that professional standards will be followed in approving individuals (other than employees under a governmental merit system), agencies, institutions, and organizations to carry out activities under the State Plan and that schedules *or* other bases upon which payments are made to such

individuals, agencies, institutions, and organizations will be in accord with the usual and customary practices in the State.

The State Plan shall also provide assurance that the State Agency and any other agency, organization, or institution administering and/or carrying out any activity under the Plan shall as a condition for the receipt of financial assistance under the program take affirmative action to employ and advance in employment qualified handicapped individuals on the same terms and conditions required with respect to the employment of such individuals by the provisions of the Rehabilitation Act of 1973 which govern employment (a) by State Rehabilitation Agencies and Rehabilitation Facilities; and (b) under Federal contracts and subcontracts.

(g) Maintenance of Effort

The State Plan must include an assurance that Federal funds will not supplant State, local and other non-Federal funds otherwise available for providing services and carrying out the activities under the Plan, and that such funds will, to the extent practicable, be used to increase the level of funds otherwise available for such services and activities. See Section 133(b)(2)(B) and 133(b)(4)(C) of the Act.

This means that the State expenditures for DD activities in any fiscal year may be no lower than the immediately preceding fiscal year. The Secretary may take into consideration the extent to which the level of such funds for any fiscal year may have included emergency funds or the funds for an activity of a non - recurring nature.

(h) Payments

- 1) From each State's fiscal year allotment, the State shall be paid the Federal share of the expenditures (other than for construction) incurred during that year under its approved State Plan. The DDO shall make such adjustments in amounts of payments as may be necessary to correct under- or over-payments previously made (including expenditures which are disallowed on the basis of audit findings). Payments will be made where practicable through a letter of credit system or, when such system is not practicable, on the basis of payment requests from the State to meet its current needs.
- 2) Grant payments for administration, planning and services are made in accordance with the instructions and forms set forth under DHEW Federal Assistance Financing System (DFAFS) brochure dated August 1974, and DHEW Regulations 45 CFR Part 74, Subpart 1.
- 3) For payments of construction projects see Guidelines on

Construction Program.

(i) Withholding of Payments

1) Whenever the Secretary, after reasonable notice and opportunity for hearing to the State Council and the appropriate State agency(ies), finds that there is failure to comply substantially with any of the requirements of the State Plan, or that there is a failure to comply substantially with any regulations of the Secretary which are applicable to this Part, the Secretary shall notify the State Council and Agency(ies) that further payments will not be made to the State (or, in his discretion, that further payments will not **be** made to the State for activities in which there is such failure) until he is satisfied that there will no longer be such failure. Until he is so satisfied, the Secretary shall make no further payments to the State or shall limit further payments under this subpart to such States to activities in which there is no such failure. (See Section 135 of the Act and 45 CFR Section 1386.16).

2) The State Council shall review the actions of the State for the purpose of determining if the State is complying with the requirements of the State Plan and its design for implementation. For the purpose of assisting the Secretary in the implementation of this

section, the State Council may notify the Secretary of the results of its review.

- 3) Procedures for a hearing are set forth in DHEW regulations 45 CFR, Part 1386, Subpart D.

(j) Expenditure Report (Form HEW 6Q1T) Financial Status

- 1) This form will continue to be used as the certified program report of grantee expenditures under the formula grant. HEW 601T is to be submitted by State agencies on a quarterly basis as follows: For each of the first three quarters of the fiscal year in which the grant was awarded, the report is to be submitted within 30 days after the end of each quarter; for the fourth quarter, the report is to be submitted within 60 days after the end of the fiscal year. Should the fourth quarter report reflect any unpaid obligations, reports are required thereafter on a continuing quarterly basis and should be submitted within 30 days after the end of 3ch quarter until all unpaid obligations have been liquidated.
- 2) Instructions for completing the form issued under the dates of October 10, 1973 and February 1, 1974 by Acting Associate Administrator for Management, Social and Rehabilitation Services remain in effect.

(k) Nondiscrimination

- 1) The State Plan shall provide an assurance that all services provided under the State Plan will be made available without discrimination on account of sex, creed, duration of residence, or ability or inability to pay for such services. In addition, Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d; 78 Stat. 252), which provides that no person in the United States shall, on the grounds of race, color, or national origin be excluded from participation in, **be** denied the benefit of, or be subjected to discrimination under any program or activity receiving Federal Financial Assistance, is applicable to services and programs provided under the State Plan.

-) If the designated State agency has previously submitted such an assurance, it should make reference to this fact and note that HEW Form 441 is on file for the agency. If the designated agency has not filed both an approved Civil Rights Plan and an EEO Affirmative Action Plan, the absent forms and plans are to be prepared and submitted together with all other necessary documents to the Regional Director, DDO.

DESIGN FOR IMPLEMENTATION

OF THE STATE PLAN (DFI)



Developmental Disabilities Office
Office of Human Development
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

	Date		
<u>TRANSMITTAL</u>	SEP	23	1977

Issuance No. ; DDO-SPO-00 -001

Type: Program Regulation Guide

Title: Design for Implementation of the State Plan (DFI)

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

The delopmental Disabilities Act **as** amended by P.L. 94-103, strengthens State Agency roles and responsibilities for the ongoing functions related to the administration of the State Plan. the Design for Implementation (DFI) is intended to **be** a document prepared **by** the appropriate State Agency (or Agencies) outlining the strategies **by** which the State Planning Council's goals end objectives will be achieved during the fiscal year. The State Council must approve the DPI and monitor and evaluate its implementation to assure that the fiscal year objectives are being achieved according to Council intent. These provisions are contained in Sections 133(b) (25) and 135(b) of the DD Act and Section 1386,50 of the Regulations.

WHAT TO DO WITH ISSUANCE

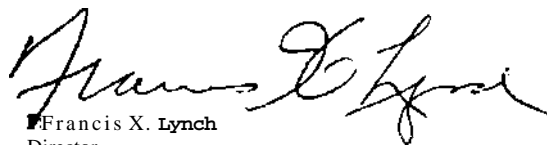
The attached guidelines set forth the Department" view as to the kinds of details which should be included in a Design for Implementation of the State Plan in order for it to meet statutory and regulatory requirements. These guidelines give further insight into regulatory requirements **by** informing States of the essential elements and details of a valid DFI. It is the intent of the guidelines to allow for flexibility to tailor such a DFI to specific State needs. They also complement the Guidelines and Instructions for developing and preparing the State plan. Section VI of the State Plan responds to most of the requirements of the DFI,

SCOPE OF COVERAGE

These guidelines ere primarily applicable to State Agencies and State DD Planning Councils, and useful to other persons and organizations interested in or involved in services for the developmentally disabled.

DISTRIBUTION

DD staff Regional Offices, State Planning Councils, State agencies, constituent organizations, ORD Central Register.



Francis X. Lynch
Director
Developmental Disabilities Office

GUIDELINES

Design For Implementation (DFI)

I. Purpose of Guidelines:

The DFI is a strategy description of how the designated State Administering **Agency(ies)** intend to accomplish the objectives specified in the fiscal year State Plan. These guidelines provide some details that should be addressed in the **DFI**.

II. Legislative Authority:

Sections 133(b)(25), 135(b) of the Developmental Disabilities Services and Facilities Construction Act (P.L. 91-517), as amended by P.L. 94-103, 42 U.S.C. Sections 6063(b)(25) and 6065(b) .

III. Regulatory Authority:

Department of Health, Education and Welfare regulations Section 1386.50.

IV. General:

According to the Act, the DFI shall include details on: 1) the methodology of implementation; 2) priorities for spending of funds under the State Plan; 3) a detailed plan for the use of such funds; 4) specific objectives to be achieved under the State Plan; 5) a listing of programs and resources to be used to meet such objectives, and 6) a method for periodic evaluation of the DFI's effectiveness in meeting such objectives.

Sections VI and VII of the Guidelines and Instructions for Developing and Preparing the Comprehensive State Plan for the Developmental Disabilities Program cover the major requirements of the DFI.

V. Methodology of Implementation:

The DFI should include details concerning the principles by which the agency(ies) will administer the Federal developmental disabilities funds allotted to it and includes descriptions for such details as: 1) identification of resources of programs in the State which can be brought to bear on DD services under the State Plan (staff, funds, administering unit of the agency); 2) procedures and time tables for funding actions to public and private sectors, including publicizing the availability of certain program funds; eligibility, priorities, terms and conditions for program funds; review process and criteria for approval of applications for funds; 3) methods of providing special financial and technical assistance to rural and urban poverty areas; 4) minimum requirements for affirmative action plans for recipients of funds under the Act for the recruitment of qualified, handicapped employees; 5) assurance concerning submission of fiscal and other reports to the State Council and to the Secretary by a State agency and other funded recipients; 6) mechanisms for monitoring of grants to grantees in the State; and 7) assurance of compliance with the provisions of the State DD Plan and with all other applicable Federal laws and

regulations in carrying out the DFI, such as the Domestic Volunteer Services Act of 1973, P.L. 93-113; Education for all Handicapped Children, P.L. 94-142.

VI. Priorities for Spending of Federal DD Funds:

The State agency should describe funding criteria and list in order of priority those activities or programs it deems necessary to fund in order to respond to the priorities of the State Plan. Special consideration is to be given to activities located in or serving developmentally disabled persons in urban or rural poverty areas. Only those activities which show promise of attaining stated goals and objectives are to be considered and ranked.

VII. Detailed Plan For Use of Funds Under the Act:

For each activity or program to be funded under an objective: 1) indicate specific amount to be committed to each objective consistent with provisions of the State Plan and how the required funds will be expended to achieve special goals, such as deinstitutionalization; 2) identify sources of the funds such as State and local governments, private nonprofit agencies, Federal DD funds and other Federal funds under the State Plan and proposed recipients of the funds (to the extent possible); 3) specify the period within the fiscal year for which commitment is to be made; 4) identify the proposed number of persons to be served, age groups, disabilities, and the services to be provided or activities to be performed by each recipient

of funds; 5) identify funds serving urban or rural poverty areas; 6) indicate the amount of Federal DD funds, if any, to be used for administrative purposes by a State agency.

VIII. Specific Objectives to be Achieved:

Identify the objectives toward which activities or programs will be funded, and outline the action steps to be taken, time limits, and measurable indices describing what will be done during the period for each of the objectives concerned. To the extent feasible, identify a contact point within each activity or program responsible for accomplishing the objectives and action steps

IX. Listing of Programs and Resources to be Used to Meet Funded Objectives:

The DFI must identify the programs (or agencies) and their resources which will be utilized to accomplish the plan-year objectives described in the State Plan. Explain how these programs will be coordinated with inter-related programs to assure compatibility of efforts and objectives.

X. Methods for Periodic Evaluation:

The DFI must describe the methods (and schedule) to be used to periodically evaluate the effectiveness of the DFI in meeting the State Plan objectives. The evaluation methodology should include a specific description of the strategy, procedures and techniques to be used (reflecting a scientific approach and

incorporating sound management and research concepts) and criteria for evaluating program effectiveness and program management.

XI. Submission and Approval of DFI:

The State Council and agencies involved should establish a schedule which will permit reasonable time for the State agency (or agencies) to develop and submit the DFI to the State Council without delaying the timely completion of the State Plan. This time period should be sufficient to allow an adequate review and negotiation of differences. In reality, the DFI could reasonably take shape during the "planning process while programs, service potentials and constraints are being analyzed and discussed among agencies on the State Planning Council and with other public and private agencies. Approval of DFI is the responsibility of the State Council, including the plan for expenditure of funds. The DFI as approved by the State Planning Council constitutes a part of the DD State Plan for submittal to the Secretary.

Based upon the periodic evaluation of the DFI, appropriate amendments may be submitted as perceived necessary during the implementation phase and approved by the State Council. All amendments shall be processed in the same manner as the original submission of the State Plan, including regional office approval and OHD-OPE-1 transmittal form.

DEINSTITUTIONALIZATION



Developmental Disabilities Office
Office of Human Development
VS. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE

DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

MAR 3

Issuance No.: DDO-SPO-60-002

Type: Program Instructions

Title: Deinstitutionalization

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

In 1971 the reintegration of one-third the institutionalized persons with mental retardation into community settings was launched as a national goal by Presidential announcement. In that connection, the Developmental Disabilities Office provided grants to States to initiate the deinstitutionalization (DI) effort and to develop model "Community Alternatives and Institutional Reform" projects. In the 1975 amendments (P.L. 94-103) to the Developmental Disabilities program, the DI goal was ascribed a mandated priority with provisions that at least a minimum percentage (10% in FY 1976 and 30% thereafter) be expended in that effort from the State's Federal allotments under the basic services formula grant program.

The Developmental Disabilities 1975 amendments also set out the general requirements of the DI plan, placing special emphasis on reducing the number of developmentally disabled persons in institutions in favor of community life, eliminating inappropriate admissions, and improving all aspects of institutional programs.

WHAT TO DO WITH ISSUANCE

The attached guidelines set forth the Department's views concerning, among other things, essential steps for developing a DI plan including the respective roles of the State, the institution and the community; some essential factors which should be considered in a DI plan; and expenditures appropriately chargeable to the State formula grant to be allocated to deinstitutionalization.

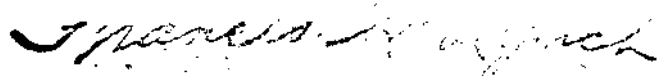
The guidelines also include a reporting format which modifies Table 4-4 of the Guidelines and Instructions for Developing and Preparing the Comprehensive State Plan for the Developmental Disabilities Program. States are asked to submit the Tables 4-4(a) and 4-4(b) of these guidelines in place of Table 4-4 as part of the State Plan. If a State has progressed in the development of the FY 1979 State Plan beyond the point of changing over to the modified tables included in these guidelines, the utilization of the new tables should be deferred to the next fiscal year.

SCOPE OF COVERAGE

These guidelines are applicable to State Administering Agencies and State Councils for developmental disabilities, They are also applicable to all other entities and individuals in the State and Local government and in the private sector who are in any way involved or concerned with matters related to the DI process,

DISTRIBUTION

DDO Staff, Regional Offices, Developmental Disabilities Administering Agencies and State Planning Councils. State agencies and Councils should make distribution to selected other entities and individuals in State and local governments and in the private sector who are concerned with the provision of services for developmentally disabled persons, particularly in institutional settings,



Francis X. Lynch
Director
Developmental Disabilities Office

GUIDELINES

Deinstitutionalization

I. Introduction:

One of the primary objectives of the Federal government in respect to the habilitation of the developmentally disabled is the provision of alternatives which allow for the achievement of maximum independence and full and equal opportunities for such persons in his/her least restrictive environment. The term used most often to describe these objectives is "deinstitutionalization," which has a statutory base in the legislation authorizing the Developmental Disabilities program formula grants to the States. 1/ These guidelines set forth the authorities with which the State are expected to comply and identify those State Plan informational and data components deemed necessary for planning the deinstitutionalization activities to be carried out by the States.

II. Purpose of Guidelines:

The purpose of this Chapter is to provide guidance and set forth policies for State Planning Councils and State administering agencies in developing and implementing a plan for deinstitutionalization.

1/ Sections 132(a)(4) and 133(b)(20) of the Act (42 USC. Section 6001, et seq; P.L. 91-517, as amended by P.L. 94-103)

All Section number references in these guidelines are to P.L. 91-517 as amended by P.L. 94-103.

In preparing the State deinstitutionalization plan, it will be necessary that the State identify an organizational structure which will be totally responsible for planning and implementing the program. These guidelines call for the involvement and cooperation of State and local Mental Retardation agencies and the Developmental Disabilities Council and Administering Agency if a fully comprehensive and well defined program is to be achieved. See Appendix A for a more detailed discussion of a System Organization and Accountability.

Attention is called to grants to 40 States approved by the Developmental Disabilities Office in FY 1974 to initiate a Deinstitutionalization plan (hereafter referred to as a "DI Plan") and model Community Alternative and Institutional Reform projects which may serve as the basis for this part of the State Plan. The planning process is a continuous effort and involves statewide consultation and agreement with the public, providers and purchasers of service, and various government officials. Although generalized goals and objectives may be stated at the outset, careful consideration must also be given to the most effective and responsive means of implementation.

For the purposes of this Chapter "deinstitutionalization" means:

- 1) reducing the number of developmentally disabled individuals in institutions by returning such individuals to useful lives in the community;

- 2) eliminating inappropriate admissions of individuals to institutions; and
- 3) improving the quality of care for those persons for whom institutional care is appropriate.

It should be mentioned, however, that deinstitutionalization is not accomplished by the mere transfer of a developmentally disabled individual from a larger institutional to a smaller one unless such action is consistent with an habilitation plan designed to increase his/her capacity for living less dependently.

III. Legal Authority:

Public Law 94-103.

- (a) Section 132(a)(4)(I) requires that for the FY 1977 and following , not less than 30 percentum of a State's allotment shall be used "for the purpose of assisting it in developing and implementing plans designed to eliminate inappropriate placement in institutions of persons with developmental disabilities.. ."
- (b) Section 133(b)(20) requires that a State Plan "contain a plan designed (A) to eliminate inappropriate placement in institutions of persons with developmental disabilities, and (B) to improve the quality of care and the state of surroundings of persons for whom institutional care is appropriate;. .."
- (c) Section 133(b)(23) requires that the State Plan "support the establishment of community programs as alternatives

to institutionalization and support such programs which are designed to provide services for the care and habilitation of persons with developmental disabilities, and which utilize, to the maximum extent feasible, the resources and personnel in related community programs to assure full coordination with such programs and to assure the provision of appropriate supplemental health, educational, or social services for persons with developmental disabilities."

IV. Regulatory Authority:

1386.42 Deinstitutionalization

"The State Plan goals, objectives, and strategies shall address:

a) The elimination of inappropriate placement in institutions of persons with developmental disabilities, and b) the improvement of the quality of care and the state of surroundings of persons who are appropriately placed in institutions."

V. Definitions:

(a) Deinstitutionalization encompasses the following:

- 1) Transfer to community settings of those developmentally disabled individuals who can benefit by such action.
- 2) The establishment, expansion, and improvement in quality of community-based services and facilities which will make possible the discharge of developmentally disabled individuals residing in institutions as well as preventing initial admissions for institutional care.

- 3) The improvement of habilitation programs within institutions in order to raise the capacity of selected developmentally disabled individuals to meet the requirements for community living.
- 4) The improvement of the quality of service for developmentally disabled persons whose continued placement in the institution is required.

(b) Meaning of Term Institutions

"Institutions" means public and private long-term care facilities providing 24 hour services. It does not include facilities such as general hospitals, MMR community centers, group homes or foster homes.

(c) Meaning of Term "Community"

- 1) "Community" in this context includes both the State and a defined geographical area (city, county, or multi-county entity).
- 2) Generally, the community will be a part of the geographical subdivision included in the service boundaries used for the State developmental disabilities plan.
- 3) It likewise encompasses the consumer groups, advocates for the developmental disabilities population, and elective and non-elective public officials.
- 4) In this guide material community encompasses those segments which are concerned particularly with the program serving the developmentally disabled, and with

those associated with the health, education and social service delivery systems.

VI. Essential Steps for Making a Plan for

Deinstitutionalization:

Six areas of activity are suggested for a State in making its plan for deinstitutionalization. These are:

- 1) the establishment of organizational structures at State and local levels to which responsibility for major actions are clearly assigned;
- 2) the development of information regarding the needs and character of the State's developmental disabilities institutional population;
- 3) the completion of a resource inventory available to meet needs of the developmental disabilities population;
- 4) the preparation of the plan and the setting of priorities;
- 5) where existing services and facilities are insufficient to meet deinstitutionalization needs, resource development must be undertaken, including cooperative activities with other agencies and departments; and
- 6) the creation of an habilitation program (client) management system which assures to the maximum extent possible the coordination of the various sources being provided for the individual.

The above points have been more fully developed in Appendix A. The Individual Habilitation Plan should be done by a team which includes

representatives of the community to which the resident should return.

The overall program goal of deinstitutionalization should be the creation of a statewide system of residential and support services which:

- 1) meets the needs of persons at all levels of disability;
- 2) fosters independence and maximizes individual potential;
- 3) represents the least restrictive alternative based on individual needs;
- 4) contributes to the expeditious return of the institutionalized individual to community living which is as nearly normal as possible; and
- 5) prevention of inappropriate admissions to institutional status.

VII. Respective Roles of the State, the Institution, and the Community:

The elimination of inappropriate placements of developmentally disabled individuals in the respective institutional settings is dependent upon the coordinated efforts of the State, the various institutions and the communities. Jointly, they carry the responsibility for determining:

- a) how many developmentally disabled individuals presently under institutional care (or on waiting lists) could be returned to or kept in community settings on the basis of existing services;

- b) how many individuals could be returned if additional services were initiated or expanded;
- c) what changes in various institutional programs will better prepare developmentally disabled individuals to return to community settings; and
- d) what improvements in care are required for those whose placement in the institution is appropriate.

The community, through its advocates and its comprehensive services systems, must not only prepare itself to develop acceptance of the developmentally disabled residing in its area, but also must seek financial support for the initiation and expansion of long-term maintenance services programs which will make possible the achievement of this deinstitutionalization objective.

The key to success in this effort will be the mutuality of concern by the State, the institution and the community. This can be achieved when the parties agree upon a joint plan for deinstitutionalization with the responsibilities of each clearly defined.

VIII. State Plan for Deinstitutionalization:

The State Plan should have a plan for deinstitutionalization which would consider such factors as:

- 1) Geographical areas/regions of the State used for planning purposes;

- 2) Projected number of those institutionalized who will be returned to community living in the next one to three year period.

Specifically, attached tables 4-4(a) (Summary of Deinstitutionalization Data) and 4-4(b) (Deinstitutionalization Data) have been developed to provide State DD agencies with a tool for the collection of data essential for the implementation of their DI plans. These forms will meet the requirements of Section 4.4 of the Guidelines and Instructions for Developing and Preparing the Comprehensive State Plan. In particular, Table 4-4(b) can be used for each institution in the State which cares for developmental disabled persons and will show:

- 1) The total number of developmentally disabled individuals in the institutions at the end of the last fiscal year (or reporting) year.
- 2) Total number of individuals to be deinstitutionalized.
 - a) The number of individuals in the institution who return to a community immediately and for whom the community is ready and capable to provide appropriate services and facilities.
 - b) The number of individuals in the institution who could be returned to the community in the current year but who have to be retained in the institution because of the lack of adequate and appropriate community services and facilities.

A narrative statement will be helpful in describing items (a) and (b). In the case of (a) indicate the specific schedule for release of the individuals from the institution by month; in the case of (b) above the narrative shall identify the number of individuals who should return to each community and explain the types of services/facility that are needed to be initiated or expanded in the community. The narrative should also address itself to any barriers that impede the establishment or expansion of services/facilities in the community and the policies and methods the State will undertake to remove these barriers.

- c) The number of individuals who, after receiving expanded training or other habilitation services for a short period (one year or less), could be returned to the community. An accompanying narrative could describe (1) the types of services to be provided, (2) the level of function, (3) on a semi-annual basis, evaluation and justification of the services provided, and (4) a schedule showing the movement of these individuals to categories (a) or (b).
- 3) The number of individuals for whom institutional care is appropriate with a description of the criteria used in making judgments that (a) institutionalization is "appropriate" whether or not appropriate and adequate community alternatives are available; (b) a discussion of

the admission policies of the institution that will prevent inappropriate placements in the institutions; and (c) policies regarding transfers between institutions for appropriate care and treatment.

- 4) Each institution should report the number of individuals that it has "approved" for admission to the institution if and when an opening occurs, with a description of the policies of the State regarding (a) pre-admission screening and the availability of community alternatives for services and facilities follow-up services and (b) procedures for admission.
- 5) The State should provide assistance to public agencies and appropriate private agencies to facilitate follow-up care for residents who have been discharged from institutions. This proposal is designed to assure adequate community support for those no longer in need of institutional care. Pre-discharge planning requires the analysis of individual needs by the institution and the community, if any, after institutionalization and a matching with available community resources. The narrative should describe pre-discharge planning procedures, community referral mechanisms, and a habilitation program management system to assure that identified treatment and domiciliary needs are being adequately addressed. Such follow-up care should be provided in conjunction with community facilities/programs-

Such narrative should identify the responsible facility or agency in each area, describe the policies to be followed in regard to those discharged from the institution, and indicate how the availability of services will be assured. These provisions are designed to enhance the continuity of care, but must not infringe on the rights of former residents to reject services and protect their privacy.

- 6) Employee protections. 1/ Provision must be made for the establishment of fair and equitable arrangements to protect the interests of employees affected by the State's deinstitutionalization plan. See Guidelines on "Employees Protection for State Plan Requirements." To document implementation of this provision, an annual estimate shall be given of (a) the number of public employees affected by the State DI plan, (b) the number for whom assignment is available using existing skills, (c) those who will need additional training, and (d) the number who will be a problem because of relocation or skill factors.
- 7) Manpower. There must be an adequate supply of appropriately trained personnel to assure the provision of the required services. In this connection a narrative including a summary of current manpower capability by major job categories, and three year projection of personnel

1/ A requirement of Section 133(b)(29) of the Act.

needs will assist in making this determination.

Attention should be given to changing requirements due to such factors as meeting Federal Standards such as Intermediate Care Facilities-Mentally Retarded, (ICF/MR), population shifts, functional changes in employee duties, increased use of paraprofessionals, and development of new facilities or services.

This narrative should describe: (a) the efforts being taken in the State to develop and maintain an adequate supply of needed personnel; (b) training programs, salary and fringe benefits, continuing education, and career development; and (c) the role of the University Affiliated Facilities and other Federal manpower programs, i.e., Comprehensive Employment Training Act (CETA).

- 8) Priorities. The narrative should list established priority activities which will further the State's effort to return developmentally disabled individuals from institutional care to community living which will be helpful to the State in implementation. These activities should be as specific as is feasible and the cost and source of funding identified.

IX. Appropriateness of Expenditures from the 30% State Formula Grant Allocated for Deinstitutionalization

In Item 8 above, reference is made to the State Plans containing a list of the established priority activities to achieve the deinstitutionalization goal. Expenditures from the allotment of 30%

are to be limited to the priorities listed. It is assumed that the priority list would encompass more activities than could be financed from the 30% portion. This somewhat larger list would allow the States reasonable flexibility in adjusting to unanticipated developments in the developmental disabilities and other related service programs.

a) Planning

In the development of the initial deinstitutionalization plan it is reasonable for some States to expend a major portion of their funds for planning purposes. In subsequent fiscal years a much smaller portion would be needed for updating the plan, with a greater proportion being utilized for the development of services.

b) Institutions

The only allowable expenditures for the Deinstitutionalization Plan within an institution are:

- 1) employment of an institutional based coordinator to make maximum use of community-based services; and/or
- 2) the initiation or expansion of special programs for developmentally disabled individuals selected for return to the community.

Nonallowable expenditures from the DD allotment are those financed by State or local governments, other Federal programs which are associated with the daily maintenance and operation of the institution.

c) Communities

Expenditures may include the costs of initiation, improvement, or expansion of community-based service activities which have been identified among the priorities and which will (1) facilitate the return of institutionalized developmentally disabled persons to the community, and (2) prevent the necessity for admission of such persons to institutional care.

d) Proposed Expenditures of Developmental Disabilities

Funds for the Current Year

This section of the narrative shall identify the purposes, priorities and source of funding for carrying out the State's DI plan. The information shall be specific, and detailed adequately to document that not less than 30% of the State's allotment is being expended for DI. Only the total amount by source of funds need to be reported in the Design for Implementation.

X. Relationships of DI Plan to Overall State DD Plan:

Since the statute requires planning and provision of services and facilities on a priority basis for community programs and activities, the State finds itself developing and implementing a "plan within a plan." That is, the overall State DD plan and a Plan for Deinstitutionalization. The Joint Conference Report on P.L. 94-103 states, "the conferees are in agreement that the development of community resources to serve previously

institutionalized individuals would be an appropriate purpose for which such funds could be expended and, where proposed, would be an integral part of any such (DI) plan and its implementation." (Report No. 94-473, page 32, dated September 11, 1957.) Accordingly, the DI plan is to address itself to the developmental disabilities population residing in institutions and those on the approved waiting list. The planning and services provided or to be provided within the community are to take into account the total developmental disabilities population of the State. It is recommended in the deliberations of the State Planning Council regarding the DI plan that a representative from an institution participate in these discussions.

Much of the data requested in this DI plan will have already been collected and analyzed from the sources needed in preparation and development of the overall State Plan. In a few isolated instances, the overall State Plan may include the DI program of the State. This is satisfactory, provided the State identifies such portions of the plan as relating specifically to deinstitutionalization; the plan should also incorporate the provisions of these Guidelines. It will be necessary, however, that preprinted Table 4-4(a) be included in the overall State Plan, and be submitted annually.

Instructions for Completing

Table 4-4(a)

Summary of Deinstitutionalization Data

The information required for this form summarizes on one page all of the data and information reported for each institution on Tables 4-4(b).

Instructions for Completing

Table 4-4(b)

Col. 1 : Identify region/area of the State which this report covers. The data requested are to be completed for each institution in the area serving the developmentally disabled. Column 4 is for reporting current data and Columns 5 and 6 are projections for the next 2 and 3 years.

Facility: Give the name of the facility and its local post office address.

- 1) As of the last day of the reporting period, i.e., end of the fiscal year or such other date, record the number of developmentally disabled individuals residing in the institution.
- 2) As a result of needs assessment, record the total number of developmentally disabled individuals to be returned to the community.

2(a) Indicate the number that is to be returned to the community immediately (see Item 2a of the narrative).

2(b) The number of developmentally disabled individuals who could be returned to the community but must remain in the institution because of lack of community programs/services/facilities (see Item 2b of the narrative).

2(c) The number of individuals who have been identified through proper needs assessment as being able, with additional training services, to be returned to the community (see Item 2c of the narrative).

Item 3: The number of developmentally disabled persons for whom institutionalization is appropriate after applying the criteria included in Item 5 of the narrative.

NOTE: Individuals included in lines 2-4 should not be counted in more than one item. There should be no duplicate counting; lines 2-3 should add up to the total on line 1 and the totals of lines 2a,b, and c add to line 2. Line 5 is not included in total population.

Item 4: As of the last day of the reporting period, indicate how many individuals remain on the approved waiting list after taking into consideration the policies and factors set forth in Item B6 of the narrative.

Col. 2: Indicate ownership of the facility by the following initials:

P = Publicly-owned (State, city, county)

NP = Profit, nonprofit

PVT = Private proprietary

Col. 3: See definition for Institution, Section IV(b).

Cols. 5 & 6: Give the best combined estimates of the institution, local community and the State, in arriving at the numbers for individuals returning to the least restrictive environment.

Table 4-4(a)

Summary of Deinstitutionalization Data

(DDSP 4.3)

	Current Year	Year Two	Year Three
Total number of institutions in State			
Number of institutions owned by:			
State			
County			
City			
Nonprofit organization			
Proprietary			
Number of institutions by type:			
MR School/Hospital			
Units of Mental Hospitals			
Skilled Nursing Care			
ICF/MR			
Homes for the Elderly			
Other			
Total institutional population of State			
Total number of persons to be deinstitutionalized:			
a. Immediately			
b. Awaiting community resources			
c. Additional training needed			
Total number for whom institutionalization is appropriate			
Total number approved for waiting list			

Table 4-4(b)

Deinstitutionalization Data

(DDSP 4.3)

Region:	Ownership	Type of Facility	Current Year	Estimated Projections	Year Three
(1)	(2)	(3)	(4)	Year Two	(6)
Facility:				(5)	
1. Total population of institution	x	x			
2. Total number of persons to be deinstitutionalized	x	x			
a) Immediately	x	x			
b) Awaiting Community Resources	x	x			
c) Additional Training Needed	x	x			
3. Total number for whom institutionalization is appropriate	x	x			
4. Number approved for waiting list	x	x			

APPENDIX*

1. System Organization and Accountability

If a DD service system -- or any human services system -- is to function effectively, there should be an organizational structure in which responsibility for key actions is clearly assigned and mechanisms exist by which to hold the responsible actors accountable for performance. Without clear assignment of responsibility and accountability, there can be no assurance that services will reach those who need them and for whom they are intended. The creation of such a structure is particularly problematic in the case of DD services, however, because of the multiplicity of agencies with separate Federal and/or State mandates which command resources needed for a DD system as broadly defined above. For example, agencies with resources and authority directly relevant to the DD population include Crippled Children's Services, State Departments of Mental Health or Mental Retardation, the Social Security Agency (for SSI benefits), the State Developmental Disabilities Council, the State Department or Bureau of Special Education, the State Vocational Rehabilitation Agency, etc. Agencies with authority for generic supportive services include, e.g., the Title XX agency, agencies or bureaus responsible for Medicaid, AFDC and Food Stamps.

It is not likely that a single "Deinstitutionalization" agency with line authority over the entire system could be created from

*Excerpted from draft report by Human Services Research Institute and Lewin Associates, Inc., September 1977.

this multitude of independent agencies. Yet, if organizational structure is required to achieve a DD system, States must find some way to impose a structural framework, with responsibility and accountability, on these agencies. While there is no reason to assert that a particular structure is more likely to be effective than another, any mode of organization may be considered more likely to achieve system goals if it meets the following criteria:

- Some form of overall coordination mechanisms has been created.
- Major elements in the design and implementation of a DD program to meet needs of persons at all levels of disability have been identified and agencies/levels have been selected to have clear responsibility for each element or combination of elements.
- Agreements have been made that such agencies will in fact perform specified responsibilities.
- Performance criteria exist by which to determine if assigned responsibilities are in fact being performed adequately.
- Authority and mechanisms exist which to assess performance and hold actors accountable.
- Such mechanisms have in fact been used for accountability.

2. Needs Assessment

The development of information regarding the needs and characteristics of any population for whom services are to be provided is an important step in the design of a rational service system. With respect to the creation of a community-based system for the developmentally disabled in particular, State level policy makers need to ascertain the total numbers of developmentally disabled persons and the proportion of those who are and are not receiving services appropriate to their needs.

This initial step gives the State some sense of the total magnitude of the population which may over time come into contact with the public DD system. As the system progresses, however, needs assessment should become a more precise and sophisticated activity which concentrates on identifiable risk populations {e.g. , the middle aged developmentally disabled person living at home with older parents), utilizes trend data from other information systems {e.g., infant morbidity rates), and inspects service patterns and demand over the life of the program. Clearly, needs assessment is a key element in the development of a DD system; without this action, steps to reduce the institutional system and expand community-based resources would be merely arbitrary and unlikely to produce meaningful progress toward the DI goal.

Unfortunately, however, there are potential roadblocks to successful needs assessment which many States have or will encounter. One major difficulty occurs in trying to secure uniformly accurate data

on a statewide basis. Different State and local agencies which maintain data on the DD population frequently use different definitions of disability and report their data in non-comparable formats.

Additionally, in states where services have not reached into all geographical areas, it may be difficult to uncover needy cases which have never come to the attention of public agencies. This problem is compounded by the reluctance of some parents to come forth and admit to their child's disability.

In some States, needs assessments have tended to simply estimate the numbers of individuals in undifferentiated categories (MR, CP, etc.). A major flaw of such assessments is that they do not measure the client's ability to function in various social and self-help contexts nor the services already received by the client, and therefore do not lend themselves to a determination of what types of services are appropriate or actually needed.

Though an initial survey of all potential DD clients is an important building block in the early stages of the program, many States have not developed the technology which allows them to refine the needs assessment process. "Nose counts" every two or three years carried out as a result of a special grant or legislative mandate are insufficient to meet a burgeoning program's need for more focused and precise information. This problem is compounded if the State has not developed some general notions of service imperatives at various developmental stages and levels of functioning. Age and disability information is relatively useless unless it is measured against some norm based on appropriate service configurations.

It is also not unusual to find that one agency within the State (e.g., the DD Council) is conducting a needs assessment which has no relationship to the major planning processes being carried out by agencies other than the DD authority. Thus, the data serves only the narrow function of that agency and is never channeled into the larger process of priority setting and planning for a comprehensive DI effort.

A systematic approach to needs assessment, regardless of how it is organized in detail, would appear to minimally require the following:

- State has clear definition of service/setting needs for persons at different levels of disability.
- Data gathering system has clearly measured need as defined on statewide basis, taking into account services already provided to the DD population.
- Data is collected on all levels, types of DD persons who are potential recipients of the State's services.
- Potential demands on particular at-risk populations can be predicted.
- Data is reported in consistent, usable form.
- Data is updated and refined in timely manner for use in planning and priority setting.

3. Resource Inventory

Resource inventory is a key element which is integrally related to needs assessment. If States identify existing and potential residential and service resources in a manner which is consistent with the definitions of disability and need used in the needs assessment process, the two sets of data can easily be used to reveal resource gaps or imbalances which should be corrected by the DD system.

In addition to establishing the resource baseline on which the State must build, a resource inventory can help ensure maximum utilization of needed facilities and services by identifying under-utilization and can also assist consumers and local case managers in locating generic as well as specialized services for individual clients.

The inventory also enables the State to ascertain trends in the development of resources, to note regional differences in resource availability, and to assess service capacity in the private and public sectors alike. Repeated inventories should also indicate the extent to which service expansion goals have been realized.

Though a comprehensive inventory of resources can fulfill all of these expectations, there are several problems and pitfalls which States have experienced. For instance, some resource inventories have focused only on medical care and residential settings and have ignored the myriad of generic support services which DD clients also require. This means the surveys have only limited utility for planners, program managers, and consumers.

Some inventory attempts, though they have provided base line information regarding existing services, have failed to explore the potential for expansion in the system. These surveys have not included inquiries regarding the provider's desire and capability to expand services or to alter current programs in order to serve additional target groups. This further canvassing is also useful since it may expose those constraints which the providers feel may hamper expansion.

Along this same line, State inventories have also tended to be too simplistic and have ignored the importance of subtle distinctions which exist among programs (e.g., quality, fees, entry requirements) in an increasingly decentralized system. These other variables may significantly affect the actual availability of existing resources.

A systematic resource inventory process, then, would assure that:

- Resources are inventoried statewide (or projected by target data).
- Resource definition is consistent with needs assessment, thus permitting matching of needs and resources for all DD diagnoses and levels of functioning.
- The same format is used for resource inventory by all sources.
- The process permits assessment of expansion capability.

- The process identifies limits on quality and other characteristics of resources.
- The resource inventory is updated and coordinated with planning needs.
- The inventory includes identification of generic resources available to DD clients.

4. Planning and Priority Setting

This key element refers to the difficult issue of deciding which DO sub-groups, in what order, are to benefit from the application of service resources which are universally scarce in comparison with the resource needs of the entire *DD* population.

These determinations are the essence of planning and implementation of any new service effort. However, as is true to some extent of each of the key elements, planning and priority setting for the OD are particularly difficult due to the fragmentation of agencies whose resources could be used to provide the continuum of services required to meet the defined DD service system goals. However the leadership of a State DD effort proposes to order priorities -- by analysis of needs/resources data, court order, or any other mechanism -- it will be constrained by this fact. First, different federally-mandated and State programs may determine their own priorities for service to specific population groups. Very frequently, the priority-setting and implementation planning cycles of individual programs differ, so that coordination of efforts to ensure consideration of the DO

population itself constitutes a major obstacle. In addition, the DD group is inherently a low priority target for services in many potentially useful programs assessed (e.g., CETA training is directed at full-time substantial gainful employment and CETA performance is assessed in large part on the basis of successful placements; this necessarily excludes many DD persons from consideration by CETA).

To the extent that a potential resource program with mandated target populations (e.g., minorities, the poor) is willing to include the DD population as a priority group, it is faced with the technical complexities of creating sub-groups of DD persons who also meet other categorical program criteria.

Finally, the planning and priority-setting procedures of major resources such as Title XX and public housing, are structured so that they require organized political effort by different groups to achieve priority status. Federal procedural requirements for Title XX plans, for example, actually create a political arena in which the needs of one group must be argued against another and elected officials must ultimately be responsive to the pressures placed upon them by different groups. The DD population is not effectively organized for this kind of effort and, indeed, the needs of one sub-group (e.g., the mentally retarded) are usually pitted against another (e.g., the autistic), often with both losing out to more cohesive interests. State DD officials have not typically seen their role as one of organizing the DD constituency for such political efforts, and thus have done little to actively intervene in such planning processes.

The situation described is compounded in, e.g., the CETA program, which is the responsibility of chief elected officials at the sub-State level over whom the State has no programmatic control.

Therefore, those who would create a DD service system are faced with the formidable task of determining priorities within the DD population to be served and creating mechanisms across resource programs to ensure that these priorities can in fact be realized; in the absence of successful mechanisms to ensure multi-agency agreement on priorities, a fragmentation of effort and ineffective utilization of resources for the DD population will result.

An effective planning and priority setting process, then, would include:

- A Statewide DD service plan (or coordinated regional plans which cover the State).
- A planning process which includes participation of agencies expected to contribute to implementation.
- Consideration of the entire DD population as defined by State and Federal law.
- Priorities determined on the basis of clear criteria.
- Priorities communicated to resource agencies in a timely manner.
- Mechanisms developed to secure inclusion of DD priorities in other agency plans.

- DD priorities actually are included in other agency plans.

5. Resource Development

The development of community-based services and facilities as alternatives to institutional care has been identified as a major stumbling block in almost all States which have embarked upon programs of deinstitutionalization for the developmentally disabled. One aspect of the problem has had to do with the allocation of funds. Although, as a matter of policy and intent, many States have given increasing emphasis to the use of less-restrictive, community-based settings for care of the developmentally disabled, conventional institutions have continued to receive a preponderant, and in some cases, a growing share of available funds. The availability of Medicaid funds has frequently promoted the use of nursing homes as placement sites for persons discharged from State hospitals and similar institutions, but there is widespread concern that this shift has not been accompanied by recognizable improvements in the care such persons receive. Indeed, some have argued that nursing homes in general retain all of the restrictive features of the conventional institutions while offering no greater promise of genuine rehabilitation.

In short, funds have continued to flow to conventional institutions and to a new class of somewhat smaller institutions -- the nursing homes -- but have not been made available in significant or sufficient amounts to develop and strengthen the remaining segments of the "continuum" of alternative care settings and services which have, in principle, been a necessary component of a community-based service system.

Even in instances where funds have been made available for the creation and use of alternatives to institutional care, strong resistance to the establishment of such alternatives has often been encountered at the community level. On the one hand, communities which have a stake -- usually in the form of employment and income -- in the preservation of conventional institutions have lobbied actively to retain such institutions. On the other hand, many communities and neighborhoods which have been proposed as sites for alternative care facilities have objected strenuously, raising such issues as the potential loss of property values and the possibility of anti-social behavior on the part of the residents of community-based facilities. Restrictive zoning ordinances have commonly been used as a means of blocking the establishment of residential facilities at the local level.

Other factors have contributed to the difficulty of establishing and maintaining less-restrictive, community-based facilities and services for the care of the developmentally disabled. These factors include, among others, the lack of trained personnel to staff and operate such facilities, the inadequacy of measures to insure appropriate standards of care in local facilities, and the unwillingness of existing providers of generic and supportive services to grant the developmentally disabled access to such services.

It has been far easier, in other words, to discharge the developmentally disabled from conventional institutions than it has been to provide them with satisfactory alternatives for care in their own

communities. This is a truism which permeates the literature and experience of "deinstitutionalization" and solidly justifies a great deal of attention to the problem of resource development.

The characteristics of a systematic approach to this key element include:

- Provision for front-end financing of small group and independent living settings.
- Establishment of rate structures which do not discriminate against community care services for the DD population.
- Establishment of training and technical assistance capacity to foster quality resources.
- Establishment of mechanisms to overcome State employee and community resistance to community care.
- Creation of strong linkages between generic services and individual community care settings.
- Planned growth strategy for resources consistent with State DD priorities.

6. Cross-Program Funding

This key element is somewhat comparable to organization in that it encompasses the mobilization of funding from the multiplicity of agencies directly or tangentially concerned with DD clients.

These funding streams are thus as fragmented as the organizations

which dispense them. In addition, as was noted in the resource development and planning sections, major sources of Federal funds which could and should be used to support a continuum of services for the disabled are encumbered with regulations and fiscal incentives which tend to promote care in only certain settings (e.g., Medicaid payments for nursing home care) or inhibit substantial allocation of resources to the severely handicapped (VR, CETA). However, it is the development of a cross-program funding package to support the full range of DD service efforts which is the most realistic available mechanism to ensure that such an effort can be initiated and continued.

By "cross-program funding package" we do not mean a single budget which allocates funds across service needs, just as an organizational structure does not necessarily mean creation of a single DD agency with direct line authority for the entire effort. In the case of cross-program funding, States are constrained by the fact that many important sources of funds for the DD population cannot be allocated because they are entitlements to individuals; SSI is perhaps the best case in point. Rather, if the State is to systematically ensure that funds will be available when and where they are needed, a funding strategy must be developed which can maximize utilization of entitlements and at the same time bring about the reorganization of funding within the system of more discretionary funds (e.g., as between community-State institutional budgets), and identify other Federal, State, and local resources to fill gaps.

A State's approach to this most complex element would be considered optimal to the extent that:

- Levels of funding needed for DD priorities are clearly specified on basis of rational criteria, with a clear timeframe.
- The full range of potential funding resources has been surveyed.
- Procedures for maximum entitlement resource utilization have been implemented.
- Binding arrangements for fund allocation have been made with other resource agencies.
- Procedures exist for packaging and disbursing multi-program funds.
- Funding is available for all DD priorities.
- The balance of funding is shifting from institutional to community-based services.

TRANSMITTAL NOTICE

DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

MAR 3 8

Issuance No.: DDO-SPO-60-002

Type: Program Instructions

Title: Deinstitutionalization

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

In 1971 the reintegration of one-third the institutionalized persons with mental retardation into community settings was launched as a national goal by Presidential announcement. In that connection, the Developmental Disabilities Office provided grants to States to initiate the deinstitutionalization (DI) effort and to develop model "Community Alternatives and Institutional Reform" projects. In the 1975 amendments (PL. 94-103) to the Developmental Disabilities program, the DI goal was ascribed a mandated priority with provisions that at least a minimum percentage (10% in FY 1976 and 30%; thereafter) be expended in that effort from the State's Federal allotments under the basic services formula grant program.

The Developmental Disabilities 1975 amendments also set out the general requirements of the DI plan, placing special emphasis on reducing the number of developmentally disabled persons in institutions in favor of community life, eliminating inappropriate admissions, and improving all aspects of institutional programs.

WHAT TO DO WITH ISSUANCE

The attached guidelines set forth the Department's views concerning, among other things, essential steps for developing a DI plan including the respective roles of the State, the institution and the community; some essential factors which should be considered in a DI plan; and expenditures appropriately chargeable to the State formula grant to be allocated to deinstitutionalization.

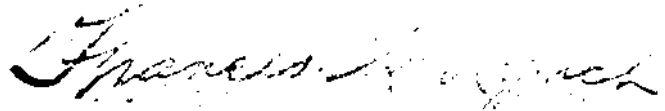
The guidelines also include a reporting format which modifies Table 4-4 of the Guidelines and Instructions for Developing and Preparing the Comprehensive State Plan for the Developmental Disabilities Program. States are asked to submit the Tables 4-4(a) and 4-4(b) of these guidelines in place of Table 4-4 as part of the State Plan. If a State has progressed in the development of the FY 1979 State Plan beyond the point of changing over to the modified tables included in these guidelines, the utilization of the new tables should be deferred to the next fiscal year.

SCOPE OF COVERAGE

These guidelines are applicable to State Administering Agencies and State Councils for developmental disabilities. They are also applicable to all other entities and individuals in the State and local government and in the private sector who are in any **way** involved or concerned with matters related to the DI process.

DISTRIBUTION

DDO Staff, Regional Offices, Developmental Disabilities Administering Agencies and State Planning Councils. State agencies and Councils should make distribution to selected other entities and individuals in State and local governments and in the private sector who are concerned with **the** provision of services for developmentally disabled persons, particularly in institutional settings.



Francis X. Lynch
Director
Developmental Disabilities Office

PROGRAM PERFORMANCE
REPORT (PPR)



Developmental Disabilities Office
Office of Human Development
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE

DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

March 9, 1978

Issuance No: DDO-SPO-10-002
Type : Program Regulation Guide
Title: Program Performance Report (PPR)

ISSUANCE TO BE REPLACED

Replaces TN-77-011

BACKGROUND

The program performance reporting system is designed to meet the requirements of Title 45 Part 74, CFR implementing Federal Management Circular No. 74. Part 74 established a regulatory umbrella for DHEW to implement the Office of Management and Budget (OMB) Circular N. A-102 "Uniform administrative requirements for grants-in-aid to state and local governments".

The PPR is not a financial report and is not restricted to a report of progress in only those items involving Federal funds under PL. 91-517, as amended by P.L. 94-103. It provides continuity to the accomplishments proposed in the State Plan for the fiscal year of the allotment, more specifically the Design for Implementation. An analysis of the report will reflect the extent to which a State responds to the purposes of the Act under which it receives funds.

The information is to be reported cumulatively each reporting period and will summarize the activities carried on during the period by the State Planning Council for developmental disabilities, State agencies and subgrantees in carrying out their approved plans.

WHAT TO DO WITH ISSUANCE

The PPR information will be of prime importance to the Regional Office in connection with its functional responsibilities in monitoring State accomplishments under the developmental disabilities formula grant program and in assisting State Councils and agencies to resolve problems they may have in meeting their established goals and objectives. The importance of the PPR in terms of (a) implementation of the Developmental Disabilities program at the State level in compliance with its State Plan, (b) the monitoring responsibilities of Regional Offices and, (c) the legal reporting requirements contained in FM Circular No. 74 and in Section 133(b)(10) of the Act, makes it imperative that Regional Offices insure the timely submittal of the PPR.

In these regards, the Regional Office Developmental Disabilities Director should take into consideration the reviews and comments on the PPR, from regional office representatives of other HBW programs. On the Central Office level the information provided by this report will provide an important base for a national overview of program direction and accomplishments and for other needs including program accountability, Congressional information, reports to the National Advisory Council, public information.

The PPR or an adaptation of it could be utilized at the State level to get data and information from recipients of Developmental Disabilities Federal funds, to be then translated to the requirements of the PPR.

SCOPE OF COVERAGE

These guidelines are applicable to State Agencies which are designated to administer or supervise the administration of all or portions of the State Plan. They are applicable to State Councils for providing information on progress in Council objectives to be included in the PPR. The completed PPR provides the State Council with information useful to monitoring the implementation of the State Plan.

DISTRIBUTION

Regional Offices, State Planning Council, State Administering Agencies, all recipients of DD Formula grant funds under the State Plan, other public or private entities responsible for the accomplishment of State Plan objectives as described in the Design for Implementation.



Francis X. Lynch
Director
Developmental Disabilities Office

PROGRAM PERFORMANCE REPORT

DEVELOPMENTAL DISABILITIES

GUIDELINES
FOR
QUARTERLY REPORTS

(UNDER TITLE 1, PART C, P.L. 91-517
DEVELOPMENTAL DISABILITIES
FORMULA GRANT PROGRAM
AS AMENDED BY P.L. 94-103)

U.S. DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
OFFICE OF HUMAN DEVELOPMENT
DEVELOPMENTAL DISABILITIES OFFICE

PROGRAM PERFORMANCE REPORT
DEVELOPMENTAL DISABILITIES BASIC FORMULA GRANT PROGRAM
(TITLE 1, PART C, P.L. 91-517
AS AMENDED BY P.L. 94-103)**

GUIDELINES

A. PURPOSE:

This program performance reporting system is designed to meet the requirements of Title 45, Part 74, CFR implementing Federal Management Circular No. 74.7, formerly Office of Management and Budget (OMB) Circular No. A-102 "Uniform Administrative Requirements for Grants-in-aid to State and local Governments." These requirements place reliance on the collaborative work of the State Council and administering agencies, particularly the State agency for developmental disabilities, to manage day-to-day operations of the program.

Subpart J, Section 74.80 through 74.86 of the Regulations sets forth the requirements for monitoring and reporting program performance under DHEW grants, including Developmental Disabilities Basic Formula Grant Program (DD Program), and refers to relating program accomplishments to program purposes and objectives. The PPR is not a financial report and it is not restricted to a report of progress in only those activities involving Federal funds under the DD Program. It documents the progressive achievement of goals and objectives which are specified in the State Plan (Specifically the DFI) for developmental disabilities, and identifies financial and program commitments for such purposes. It reflects: (1) the extent to which resources are being identified and utilized, (2) the manner in which gaps in the service program are being filled, (3) the extent of program commitments by various public and private agencies toward specialized and generic services for the developmentally disabled, and (4) the extent to which coordination is achieved among agencies.

The information to be reported will update the status of activities carried on during each reporting period by the State Council, the State agency or agencies, and the subgrantees in carrying out the approved State Plan. This performance reporting is only one element in the evaluation responsibilities of State Councils and agencies under the DD Program. The methodology adopted by the State Council and agencies to evaluate the effectiveness of the State in meeting the needs of persons with developmental disabilities are described in the State Plan, in accordance with applicable provisions of legislation, regulations and guidelines.

**The Mental Retardation and Community Mental Health Center- Constructions Act (P.L. 88-164) as amended by P.L. 91-517 and P.L. 94-103,

B . REQUIREMENTS :

1. Program Performance Reports require a brief presentation of the actions under each goal and plan year (Fiscal Year) objective which involve planning, administration, provision of services, or construction of facilities under the State Plan, including:
 - (a) A comparison of actual accomplishments to the goals and Plan Year objectives established for the period. (Site visits, in addition to written reports, may be utilized by representatives of the State Planning Council and the State administering agency(ies) to review program accomplishments and management control systems of subgrantees, and to provide such technical assistance as may be required. Appropriate DHEW regional and central office representatives have the option of joining the State representatives in the site visits, or perform independent site visits, if the need is indicated.)
 - (b) Reasons for stoppages (in program progress, time frame, etc.) in instances where established objectives are not being met.
 - (c) Other pertinent information.

Program Performance Reports are to be prepared by the State Agency(ies) based on data and information for the reporting period provided by each agency and organization contributing to the accomplishments of the objectives included in the State Plan for the current fiscal year. The reports are to be submitted to the Regional Office through the State Council for its review and comments. SOTE: The Plan Year objectives described in the State Plan are required to be quantified and measurable.

3. (a) The goals to be addressed in the PPR are those described in the State Plan for which Plan Year (fiscal year) objectives are established:
 - 1) Table 6-1 (Goals)
 - 2) Table 6-2
 - 3) Table 4-4 for Deinstitutionalization
 - 4) DFI- actions (projects, programs, other activities) to be undertaken (Table 6-3).

Some goals are addressed in the legislation :

- (1) *to eliminate inappropriate placement in institutions of persons with developmental disabilities;*
 - (2) *to improve the quality of care and the state of surroundings of persons for whom institutional care is appropriate;*
 - (3) *to provide for the early screening, diagnosis, and evaluation including medical care, developmental screening, home care, infant and preschool stimulation programs, and parent counseling and training) of developmentally disabled infant and preschool children, particularly those, with multiple handicaps;*
 - 4) *To provide for counseling, program coordination, follow-along services, protective services, and personal advocacy on behalf of developmentally disabled adults;*
 - 5) *to support the establishment of community programs as alternatives to institutionalization and support such programs which are designed to provide services for THE care and habitation of persons with developmental disabilities, and which utilize, to the maximum extent feasible, the resources and personnel in related community programs to assure full coordination with such programs and to assure the provisions of appropriate supplemental health, education, and social services for persons with developmental disabilities.*
3. (b) The PPK status sheet (with instructions) is provided for reporting progress toward stated goals, objectives, and activities.
 4. Significant developments which occur between scheduled program performance reporting dates will be reported as an Interim PRR in accordance with the Submittal Procedures (C.1 and C.2). Favorable developments or events which enable meeting objectives sooner or at less cost or with greater benefit than anticipated, adverse developments seriously impairing the attainment of objectives as planned, remedial actions taken or contemplated, or major changes in utilization of Federal DD funds should be reported. A State Plan revision reflecting these changes must be submitted as applicable.

PROGRAM PERFORMANCE REPORT
DEVELOPMENTAL DISABILITIES BASIC FORMULA GRANT PROGRAM
(TITLE 1, PART C, P.L. 91-517
AS AMENDED BY P.L. 94-103)*

INSTRUCTIONS

A PPR Status Sheet shall be prepared for each Table 6-3 which has been submitted in the State Plan. Items on the Status Sheet correspond to the items on Table 6-3 (Design for Implementation) and Table 6-4 if construction projects are involved. Accordingly, a number of items need only be restated as they appear in the DFI of the State Plan, especially items 1, 2, 3, and 4. The other items should report what has actually happened relative to the DFI. For example:

- Item 5: Show actual beginning and proposed ending date of activity (time frame).
- Item 6: Show actual cumulative expenditures, progressively each reporting period.
- Item 7a: Show the cumulative number of DD persons by service and disability served by activity through the reporting period. (Explain further in Item 14).
- Item 7b: Show the number of new DD persons served during the report period which shall have been included in the totals entered in 7a. (Explain further in Item 14).
- Item 7c: Briefly identify the reporting period accomplishments toward non-service type activities. (Explain further, if necessary, in Item 15).
- Item 8: State steps taken since last report period (e.g. 1. agreements with Agency "A." finalized; 2. staff recruited, etc.) to accomplish activity toward realization of objective.
- Item 9: Briefly state monitoring and evaluation findings (e.g. in line with anticipated progress in quality and quantity, etc.).
- Item 10: State cumulative status of achievement (e.g. in percentage of achievement, or by other measure) according to criteria given in the State Plan for this activity.
- Item 11: State (a) barriers (surmountable) or stoppages (insurmountable) to accomplishment of activity as related to the objective inability to effect coordination. administrative or legal constraints, etc.) and (b) needs for changes.

- Item 12: Need for Technical Assistance: Specify type needed, by whom, possible source, and time frame.
- Item 13: In a concise narrative briefly relate unique accomplishments and successes of the State Administering Agency(ies) including: New types of programs, new monitoring or evaluation instruments, publications, processes, implementation of service coordination and improvement strategies which, in the judgment of the State Administering Agency (or the State Planning Council) resulted in significant improvements in the DD service system and which they believe can be replicated or otherwise utilized by other States.
- Item 14: If necessary, continue a narrative for 7a and 7b giving overall breakdown of totals, if applicable, in terms (for example) of turn-over of Pre-School, School Age, and Adult persons; severity of disabilities: special groups served (persons from poverty pockets, native Americans, etc.).
- Item 15: continue, if necessary, a narrative clarifying statements given in Item 7c.
- Item 16: In a concise narrative, continued on a separate sheet, list the significant achievements by State Planning Council in:
- a. (1) Planning activities (extent accomplished including programs accessed, other successes);
 - (2) Influencing accomplishments (including coordination effected among programs, advocacy. etc.);
 - (3) Evaluation (including evaluation of Council's own activities, findings in evaluation of State Plan, method of Council reviews of Agency service and program evaluations).
 - b. Include information on difficulties encountered by the State Planning Council in the performance of its duties as outlined in Section 137(b) of the legislation, covering such matters as staff adequacy, review of other State Plans, and other issues which might inhibit Council operations.

The Council may enclose other reports which have bearing on the accomplishments or difficulties of the Council.

PROGRAM PERFORMANCE REPORT
DEVELOPMENTAL DISABILITIES FORMULA GRANT PROGRAM
(Title I, Part C, P.L. 91-517 as amended by P.L. 94-103)

FISCAL YEAR

PERIOD ENDING:

PREPARED AND SUBMITTED BY

1. _____
ADMINISTERING STATE AGENCY
_____ SIGNATURE RESPONSIBLE OFFICIAL
ADDRESS _____
_____ DATE
2. _____
ADMINISTERING STATE AGENCY
_____ SIGNATURE RESPONSIBLE OFFICIAL

TRANSMITTAL STATEMENT

The State Council for Developmental Disabilities state That it has recieved the action of the State in implementing the State Plan and the Design for Implementation.

ATTACHED

NOT ATTACHED

Report on the findings of the State Planning Council

DATE _____ STATE OF _____ COUNTY OF _____

Type name, address, zip, telephone including area code in the space below:

**PROGRAM PERFORMANCE REPORT
STATUS SHEET**

REPORT PERIOD:				STATE:					
1. OBJECTIVE NUMBER:									
2. RELATIONSHIP TO GOALS:									
3. DESCRIBE PROGRAM/PROJECT/ACTIVITY:									
4. RESPONSIBLE AGENCY:				5. TIME FRAME:					
6. CUMULATIVE EXPENDITURES TO DATE									
LOCAL		STATE				FEDERAL			
SOURCE	AMOUNT	SOURCE	AMOUNT	SOURCE	AMOUNT				
7A. SCOPE AND EXTENT OF SERVICES DELIVERED DURING THIS REPORT PERIOD									
SERVICE PROJECTS	RESIDENT	DAY ACTIVITIES			EMPLOYED	IDENTIFIED	CASE MANAGEMENT	TREATED	FAM./PROG
MENTAL RETARDATION		PRESCHOOL	SCHOOL AGE	ADULT					
EPILEPSY									
CEREBRAL PALSEY									
AUTISM									
OTHER (SPECIFY)									
7B. NEW THIS QUARTER									
SERVICE PROJECTS	RESIDENT	DAY ACTIVITIES			EMPLOYED	IDENTIFIED	CASE MANAGEMENT	TREATED	FAM./PROG
MENTAL RETARDATION		PRESCHOOL	SCHOOL AGE	ADULT					
EPILEPSY									
CEREBRAL PALSEY									
AUTISM									
OTHER (SPECIFY)									
7C. PROGRESS IN NON-SERVICE ACTIVITIES (SPECIFY):									
8. STEPS TAKEN TO IMPLEMENTATION:									

PROTECTION AND ADVOCACY (P & A)
'PROGRAM PERFORMANCE
REPORT (P P R)



Developmental Disabilities Office
Office of Human Services
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

Issuance No: DD0-SPO-40-002
Type: Program Regulation Guide
Title: Protection and Advocacy (P&A) Program Performance Report (PPR)

May 9 1978

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

The program performance reporting system is designed to meet the requirements of Title 45 Part 74 CFR implementing Federal Management Circular No. 74. Part 74 established a regulatory umbrella for DHFW to implement the Office of Management and Budget (OMB) Circular N. A-102 "Uniform administrative requirements for grants-in-aid to State and local governments".

The PPR is not a financial report and is not restricted to a report of progress in only those items involving Federal funds under P.L. 91-517, as amended by P.L. 94-103. It provides continuity to the accomplishments proposed in the Protection and Advocacy State Plan for the fiscal year of the allotment. An analysis of the report will reflect the *extent* to which a state responds to the purposes of the Act under which it receives funds.

The information is to be reported cumulatively each reporting period and will summarize the activities carried on during the period by the State Protection and Advocacy agencies.

WHAT TO DO WITH ISSUANCE

The PPR information, will be of prime importance to the Regional Office in connection with its functional responsibilities in monitoring State accomplishments under the developmental disabilities P&A formula grant program and in assisting State P&A agencies to resolve problems they may have in meeting their established goals and objectives. The importance of the PPR in terms of (a) implementation of the P&A program at the State level in compliance with its State Plan, (b) the monitoring responsibilities of Regional Offices and, (c) the legal reporting requirements contained in FM Circular No. 74 make it imperative that Regional Offices insure the timely submittal of the PPR.

In these regards, the Regional Office Developmental Disabilities Director may take into consideration the reviews and comments on the PPR, from regional office representatives of the HEW programs. On the Central Office level the information provided by this report will provide an important base for a national overview of program direction and accomplishments and for other needs including program accountability, Congressional information, reports to the National Advisory Council, public information,

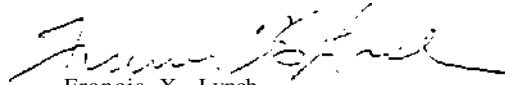
Protection and Advocacy Program Performance Report
Page 2

SCOPE OF COVERAGE

These guidelines **are** applicable to State P&A. agencies which **are** designated to administer or supervise the administration of all or portions of the P&A State plan.

DISTRIBUTION

Regional Offices, State Protection and Advocacy Agencies, State planning Councils, and **OHDS** Central Register.



Francis X. Lynch
Director
Developmental Disabilities Office

*Office of Human Development Services*Department of Health, Education,
and Welfare*

FISCAL YEAR:

PERIOD ENDING:

INTERIM

P&A PROGRAM PERFORMANCE REPORT

GUIDELINES
FOR
QUARTERLY REPORTS

DEVELOPMENTAL DISABILITIES
PROTECTION & ADVOCACY PROGRAM

under

SECTION 113
OF P.O. 94-103

U.S. DEPARTMENT OF HEALTH, EDUCATION AND WELFARE
OFFICE OF HUMAN DEVELOPMENT
DEVELOPMENTAL DISABILITIES OFFICE

INTERIM

PROTECTION & ADVOCACY PROGRAM PERFORMANCE REPORT

A. Purpose

The Interim P&A Program Performance Report documents the activities of the State P&A agencies in the achievement of their stated goals and objectives. It provides the means for measuring the output of the agencies in terms of their case intake and results, and in addition, will provide the necessary program data to DDO for national planning purposes. Specifically, the report will reflect, among other things:

1. the extent to which resources are obtained, managed and utilized;
2. the methods used by the P&A agency to publicize its activities and services and to attain general public awareness of the program;
3. the means by which developmentally disabled persons and/or their parents, guardians and representatives may access the services provided;
4. the number and manner of handling incoming cases;
5. the kinds of actions taken by the agency in pursuit of its objectives;
6. the ongoing liaison and coordination between the agency and other PRA organizations;
7. the types and extent of training activities being conducted by the agency and for whom; and
8. the published by-products of the agency efforts.

The information to be reported will document and update the status of activities carried on by the P&A agencies during each reporting period. The data will assist Central and Regional offices of DDO in evaluating the progress of the P&A agencies.

B. Requirements for Reporting

1. The Interim P&A Program Performance Report requires a simple tabulation and recording of the intake of P&A cases and their disposition, as well as a very brief description of some ongoing activities under separate headings, - all of which are and will be related to P&A State Plan goals and objectives.
2. A simplified analysis of program commitments has been devised which reflects trends and a cumulative Year-to-Date figure by category.
3. Instructions for the preparation of narrative reports and tables are provided under Section D of these Guidelines. P&A agencies should begin to record and tabulate the required information on a daily, weekly and monthly cumulative basis, so that the transfer of data to the Interim P&A Program Performance Report will be greatly facilitated.
4. Between scheduled reporting dates, events may occur that will have a significant impact upon the P&A operation. These should be reported and forwarded as amendments to the previous period, and could include such things as noteworthy court cases or decisions, or perhaps the settlement of an administrative procedure which resulted in a client or clients obtaining important remedies via negotiation.

C. Submittal Procedures

1. The original and three (3) copies of the quarterly or Significant Impact report are to be transmitted to the Regional Director for DD. The original and one copy will be retained by the regional office and one copy will be forwarded by the regional office to the P&A Section of DDO in Washington, DC. The other copy may be sent by the regional office to other bureaus within the region concerned.

2. The Interim P&A Program Performance Report must be received at the regional offices no more than 15 days after the end of the period covered by the report. The fourth quarterly report for the year must be submitted to the regional office no more than 30 days after the end of the fiscal year. The reporting schedule for each fiscal year is as follows:

1st Submittal: Due April 15, covering the first two quarters of the fiscal year.

2nd Submittal: Due July 15, covering the third quarter of the fiscal year.

3rd Submittal: Due November 30, covering the fourth quarter of the fiscal year.

D. Instructions for Preparing the Period Status Report

Each section of the Status Report should be completed by the P&A agency. In the event that there is no activity under a given section during a reporting period, the words, "Nothing to Report" should be entered in the appropriate space(s). The following specific instructions cover sections or parts indicated:

Transmittal Statement:

Must be filled in and signed by the State's P&A agency Director. Underneath the signature, the information re: the Director and the staff should be listed in the spaces provided. Staff paid by other than P&A funds, e.g., CETA, should be noted.

Section A. This table will provide immediate and cumulative data on the numbers of clients served by the agency. Column #1, (Open at Start of

Period), plus Column 2, (New Cases), MINUS Column 3, (Closed or Resolved), will result in the number entered in Column 4, (Still Open). Note that for the next reporting period, the amount in Column 4 will become the amount placed in Column 1.

Section B. Place total numbers in appropriate boxes. Be sure to identify "others" if listed. It is conceivable that for this section, the same person who has more than one complaint or grievance will be counted more than once. (See footnote on P. 9). This will be corrected under Section E, (page 10), which asks for an unduplicated count by individual cases.

Section C. The "Problem Areas" to be identified in this section are somewhat subjective. Therefore, the reporting agency should, after categorizing the data to be entered, use the same criteria in subsequent reporting periods so that the data will be consistent in all of the agency's records.

Section D. This listing may not cover all of the types of services covered by all the P&A agencies. For this reason, blank lines have been left under each main category so that such service(s) may be listed. Again, where this is done, the agency should use the same criteria in subsequent reporting periods as well as to describe the service(s) in other sections or under separate reports.

Section E. This section reflects a "corrected" figure for reports under Sections B and C. It should show the actual number of individuals served, counted only once per person, to rectify any overcount, if present.

Section F. The totals entered in this table will reflect the commitment of resources by the agency for listed categories. It is not necessary to give a financial accounting of agency expenditures, for this information will be forthcoming via HEW Form 601T at a later date. We are looking only for "program" commitments, i.e., those resources allocated for a specific program

feature. The "total" column at the bottom of the table will reflect total cumulative commitments of both Federal as well as non-Federal resources; the TOTALS column to the right of the table will reflect totals for the various "program" commitments. BOTH must be filled out.

Sections G through Section 0:

The data requested in these spaces should, in most instances, be brief. We are not looking for a repeat of the P&A State Plan submitted in FY 1977- However, where necessary, updates should be described, and significant happenings not previously reported or follow-ups of previously reported information, should be included. (NOTE: IF ADDITIONAL SPACE IS REQUIRED UNDER THESE SECTIONS, USE SEPARATE SHEETS PROPERLY IDENTIFIED AND INSERT IN APPROPRIATE SPACE IN REPORT.)

STATE

Interim P&A Program Performance Report

fiscal year:

period ending:

Prepared R Submitted by:

Home of State P&A Agency

Signature of Responsible Official

Address of Agency

Date of Report

Date forwarded to Regional Office

TRANSMITTAL STATEMENT

The

(insert name of the State P&A Agency)

herewith certifies that it has prepared and submitted this report pursuant to Sec. 1.7 of the P&A Preprint for FY 1978, and that it reflects an accurate description of its program operations in accordance with its stated goals and objectives

Date

Signature of State PRA Director

Type name, address, zip code, telephone #, incl. area code, in space below:

List the additional staff employed in Agency; indicate type of work, e.g., professional, clerical, rtc., & by whom paid. (Use additional page if necessary.)

INTERIM P&A PROGRAM PERFORMANCE REPORT
SUMMARY SHEETS

INDIVIDUAL CLIENT/CASE STATISTICS

	#Open at Start of Period	#New Cases	#Closed or Resolved	#Still Open
#This Period				
#Yr.-to-Date				

B. DEMOGRAPHIC DATA (By #s of Clients:)*

	#This Period	# Year-to-Date
1. <u>Age Categories</u>		
Ages: 0-5		
6-16		
17-34		
35 & Over		
2. <u>By type of DD:</u>		
a) MR		
b) CP		
c) Ep.		
d) Autism		
e) Dyslexia (If associated with above (a) (b) (c) (d)		
f) Others (identify): (If associated with above (a) (b) (c) (d)		
3. <u>Geographic Areas (where cases originate):</u>		
a) Urban		
b) Suburban		
c) Rural		
d) Out-of-State		
e) Institutions		
f) Others, (identify):		
4. <u>Who initiates request for services:</u>		
a) family		
b) friend		
c) consumer (self)		
d) Service Provider Agency		
e) Others, (identify):		

Informed of P&A Agency via:	# This Period	#Year-to-Date
a) TV		
b) Radio		
c) Newspapers, Periodicals, Publ., etc.		
d) Posters		
e) Word of mouth, by:		
1. Service provider		
2. Counselor		
3. Friend		
4. Consumer Advocate		
5. Others, (identify):		

C. SCOPE OF INTERVENTION*

Problem Areas Identified	# This Period	#Year-to-Date
1. Abuse/Neglect		
2. Inappropriate Institutionalization		
3. Discrimination in Employment, Housing, etc.		
4. Non-provision of services mandated by law, e.g., right to education, etc.		
5. Other needed services not being provided, e.g., housing, transportation.		
6. Need for financial resources, e.g., Welfare, SSI, VA, etc.		
7. Others, (identify):		

D. TYPES OF SERVICES RENDERED

	#This Period	#Yr.-to-Date
1. <u>Complaints re: Rights & Services</u>		
a) Education		
b) Employment		
c) Residency		
d) Support or Financial Assistance		
e) Case Management		
f) Supervision/Monitoring		
g) Others (identify):		

* Statistics for this section may reflect duplicated counts, i.e., a single individual who has more than one problem or grievance and is counted more than one time.

- SECTION G. List hereunder any new methods or approaches used by the Agency to publicize its activities and to achieve program awareness among the public and clients. (NOTE: DO NOT REPEAT METHODS ALREADY REPORTED IN THE FY 1978 STATE PLAN.)
- SECTION H. Briefly list any up-date, if appropriate, of the method(s) by which clients or their representatives may access the services provided by the Agency.
- SECTION I. List new methods, if any, of recording complaints received from various sources. Enclose sample forms, if available. (Do not repeat previously reported descriptions.)
- SECTION J. Briefly describe any new system(s) for information and referral used, and the manner of follow-up on referrals made to other agencies. Enclose sample forms, if available. (Do not repeat previously reported descriptions.)
- SECTION K. Briefly describe any ongoing or intermittent training taking place in the Agency during this period. (Do not repeat previously reported items.)

SECTION L. List any SIGNIFICANT EVENTS concerning the Agency's operation during this period. (This could include significant court decisions, cases taken to arbitration, newsworthy items, etc., not previously reported.)

SECTION M. Briefly describe any publications in process or completed during this period. (Submit copies, if available.)

SECTION N. Briefly describe any agreements entered into with other public or private advocacy or service-provider agencies, during this period, which will greatly benefit the client population. (NOTE: if this is reported under SECTION L., (SIGNIFICANT EVENTS), do not repeat here.)

SECTION O. Aside from the need for additional financial resources, briefly identify in this Section the problems or barriers faced by the Agency in its day-to-day operations during this period.

TRANSMITTAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

Date: May 9 1978

Issuance No: DD0-SP0-40-002
Type: Program Regulation Guide
Title: Protection and Advocacy (P&A) Program Performance Report (PPH)

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

The program, performance reporting system is designed to meet the requirements of Title 45 Part 74, CFR implementing Federal Management Circular No. 74. Part 74 established a regulatory umbrella for DHEW to implement the Office of Management and Budget (OMB) Circular 4. A-102 "Uniform administrative requirements for grants-in-aid to State and local governments".

The PPR is not a financial report and is not restricted to a report of progress in only those items involving Federal funds under P.L. 91-517, as amended by P.L. 94-103. It provides continuity to the accomplishments proposed in the Protection and Advocacy State Plan for the fiscal year of the allotment. An analysis of the report will, reflect the extent to which, a state responds to the purposes of the Act under which it receives funds.

The information is to be reported cumulatively each reporting period and will summarize the activities carried on during the period by the State Protection and Advocacy agencies.

WHAT TO DO WITH ISSUANCE

The PPR information will be of prime importance to the Regional Office in connection with its functional responsibilities in monitoring State accomplishments under the developmental disabilities P&A formula grant program and in assisting State P&A agencies to resolve problems they may have in meeting their established goals and objectives. The importance of the P&R in terms of (a) implementation of the P&A program at the state level in compliance with its State Plan, (b) the monitoring responsibilities of Regional Offices and, (c) the legal reporting requirements contained in FM Circular No. 74 make it imperative that Regional Offices insure the timely submittal of the IPR.

In these regards, the Regional Office Developmental Disabilities Director may take into consideration the reviews and comments on the PPR from regional office representatives of the HEW programs. On the Central Office level the information provided by this report will provide an important base for a national overview of program direction and accomplishments and for other needs including program accountability, Congressional information, reports to the National Advisory Council, public information.

protection **and** Advocacy Programs Performance **Report**

Page 2

SCOPE OF COVERAGE

These guidelines **are** applicable **to** State P&A agencies which **are** designated **to** administer **or** supervise the administration **of** all or portions **of** the P&A State **Plan**.

DISTRIBUTION

Regional Offices, State Protection **and** Advocacy Agencies, State Planning Councils, **and** OHDS Central Register.

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Francis X. Lynch /
Director
Developmental Disabilities Office

*Office of Human Development Services Department of Health, Education,
and Welfare*

INDIVIDUALIZED
HABILITATION PLANS (IHP)



Developmental Disabilities Office
Office of **Human** Development
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE

Developmental DISABILITIES OFFICE

Date

TRANSMITTAL

SEP 23 1977

Issuance No.: DDO-SPO-20-001

Type Program Regulation Guide

Title: Individualized Habilitation Plans (IHP)

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

The Developmental Disabilities Act as amended by P.L. 94-103, Section 1386.47 of the Regulations, requires that after September 30, 1976 an Individualized Habilitation Plan (IHP) be developed for each DD person receiving services from a program which receives funds under Part C of the State's allotment.

The IHP is a document by which the agency and the DD client jointly formulate specific short and long term goals, objectives, and services needed for the development of the client. It also serves as a method for evaluating the quality and performance of the service agency in regard to client progress and desirable outcome of the client.

WHAT TO DO WITH ISSUANCE

The attached guidelines set forth the Department's view as to the kinds of details which should be included in the IHP in order for it to meet statutory and regulatory requirements. These guidelines give further insight into regulatory requirement by informing States of the essential elements and details needed to develop an appropriate IHP. It is the intent of the guidelines to allow for flexibility in tailoring the IHP to specific state/program needs.

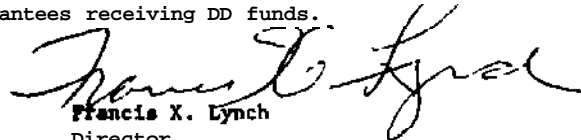
Section HI of the State Plan. Tables 3-10 serves as the reporting mechanism for the IHP.

SCOPE OF COVERAGE

These guidelines are primarily applicable to the State Agency and programs of any agency, facility, or project receiving funds under Part C of the State allotment.

DISTRIBUTION

DD staff Regional Offices, State Planning Councils, State Agencies, constituent organizations. OHD Central Register. State DD administering agency(ies) should make further distribution to local grantees receiving DD funds.



Francis X. Lynch
Director

Developmental Disabilities Office

GUIDELINES

Individualized Habilitation Plans (IHP)

I. Purpose of Guidelines:

The requirement for individualized habilitation plans in P.L. 94-103 is intended to initiate and formalize individual program planning and case management practices for developmentally disabled persons receiving services under Part C of the Act*. It requires the setting of goals and objectives, means and time frames for achieving them; formalizing the responsibilities of both the client and the service agencies in carrying out the implementation of the plan; and assure participation by the person for whom services are planned.

II. Legislative Authority:

Section 112(a) of the Developmental Disabilities Services and Facilities Construction Act as amended by P.L. 94-103.

iii. Regulatory Authority:

Department of Health, Education, and Welfare regulations, Section 1386.47.

*42 U.S.C. 6001, et seq. : P.L. 91-517, as amended by P.L. 94-103-
All references to "The Act" in these guidelines are to P.L.
91-517, as amended by P.L. 94-103.

IV. Nature of the Plan:

The initial plan should be understood as the starting point Of the primary agency's program of services, subject to addition and amendment by appropriate staff involved in individual program planning from intake through diagnosis, evaluation, and a goal oriented developmental program.

The initial plan and all subsequent entries should be dated and the plan should be a separate, identifiable part of the case record. The habilitation plan is essentially a plan of action emphasizing goals, objectives and action steps. Because the plan is developed with participation by the developmentally disabled person involved, it should be a statement of understanding between the client and the agency regarding rights and responsibilities of each.

V. Content of Plan:

in order to comply with the minimum requirement as mandated by Section 112 of the Act, the individualized habilitation plan shall incorporate the following criteria:

1. IHP shall be in writing;
2. IHP shall be jointly developed with a representative(s) of the program primarily responsible for delivering or coordinating the services and the developmentally disabled person or where appropriate, the person's parents or guardians ;
3. IHP shall state the long-term habilitation goals, and the

intermediate habilitation objectives relating to the attainments of each goal;

4. IHP shall state each objective specifically and in sequence and in behavioral or other terms that provide measurable indices of progress. It must:
 - a) Describe how each objective will be achieved and the barriers preventing achievement.
 - b) State objective criteria and an evaluation procedure and schedule for determining whether the objectives and goals are being achieved.
 - c) Provide for a program coordinator who will be responsible for the implementation of the plan.
5. IHP shall specify the role and responsibilities of all parties to the implementation of the plan;
6. IHP shall be reviewed annually by the coordinating or primary agency responsible for the delivery of services with the developmentally disabled clients and where appropriate, the parents or guardians.

VI. Development of the Plan:

The Act requires joint participation in the development of the plan by representatives of the primary service delivery agency, the developmentally disabled person for whom the plan is made or where appropriate, the developmentally disabled person's parents or guardians, or other interested persons such as a representative of the State Protection and Advocacy System.

When it is not possible to determine in an individual case which service agency is the primary service delivery agency to participate in the development of the habilitation plan, the agency receiving funds under Part C of the Act shall assume responsibility for development of the Plan. If more than one agency serving a developmentally disabled individual receives funds under Part C of the Act, the agency providing the program meeting the most basic and prevalent need of the developmentally disabled individual shall assume the planning responsibility.

In those instances where the primary service delivery agency is a State Rehabilitation agency providing services under P.L. 93-516, as amended, the Individualized Written Rehabilitation Program (IWRP) would serve as the habilitation plan required by the Developmental Disabilities Act.

In those instances of ICF-MR residential services, the regulations implementing the Title XIX program are sufficient to meet the requirements for the habilitation plans for DD persons if the ICF individual plan of care includes other services that are appropriately provided to a DD client by an agency funded by Part C funds.

To assure that services will be coordinated with the primary service delivery agency and the principal agencies and programs concerned with services to the client, a written agreement of understanding will be developed between the primary service

delivery agency and the developmental disabilities service agency delineating the mutual objectives and the respective roles and responsibilities of the parties to the agreement.

To reemphasize, a habilitation plan means an individually-determined, focused and organized effort to fulfill each DD person's fullest functional capacity. It requires an integrated and individually tailored program of services directed to achieving developmental objectives that can be measured in behavioral terms. In order to plan and implement such a program for each client, specific developmental needs of the client must be identified establishing priorities for meeting all of them at once, determining programs for meeting the priority objectives, and assigning responsibility for carrying out those programs; reviewing on a regular basis, and at least annually, the client's progress toward the objectives set; and modifying the objectives and/or the programs in the light of the current progress of the client.

VII. Reporting; Form:

The following proposed habilitation plan form is a suggested form to be used or adapted as appropriate.

PROPOSED INDIVIDUALIZED WRITTE N HABILITATION PL A N

Date: _____

Name of Client _____

You currently have been found to be in need of the following services, programs or activities to accomplish the goals and objectives set forth in this document.

This is your Habilitation Plan. It contains understanding and a plan of action which were previously discussed with you and/or guardian.

Understanding

It is understood that this plan, developed jointly by the client and counselor, is subject to change on the basis of changing circumstances and new information.

Annual Review of Plan

It is understood that at least annually there will be a review of this plan at which time the client will have the opportunity to jointly re-develop its terms.

Client Responsibilities

In this section list **any** agreed upon client responsibilities

Plan

I. Goals ~ Long-Term

List goals to be completed by this program.

The goals should reveal assumptions being made about the future effect of program treatment on client (include target date).

II. Short-Term Objectives

The short-term objectives should reveal events, activities, strategies to be used by the agency in achieving objectives. (Include name of unit, other agencies or outside activities).

III. Activities to Achieve Objectives

Describe those activities that will be part of the program treatment such as:

1. Medical

- a. Long term (one year plus) _____
- b. Short term (one year or less) _____
- c. Needed, but unavailable _____
- d. Alternative treatment _____

2. Social Development

- a. Long term (one year plus) _____
- b. Short term (one year or less) _____
- c. Needed, but unavailable _____
- d. Alternative treatment _____

3. Developmental

- a. Long term (one year plus) _____
- b. Short term (one year or less)_____
- c. Needed, but unavailable _____
- d. Alternative treatment _____

4. Educational

- a. Long term (one year plus)_____
- b. Short term (one year or less)_____
- c. Needed, but unavailable _____
- d. Alternative treatment _____

5. Other _____

State specifically and in sequence, and expressed in behavioral or other terms that provide measurable indices of progress (with target dates and agencies.involved). Describe how objectives will be achieved and list any barriers that might interfere with their achievement.

IV. Identification of Services and Agencies Involved in Plan

	Yes	No	Needed- Un- Available	Starting Date Of	Ending Date Of	Primary Agency Providing Service
1. Evaluation						
2. Diagnosis						
3. Treatment						
4. Day Care						
5. Training						
6. Education						
7. Sheltered Employment						
8. Recreation						
9. Personal Care						
10. Domiciliary Care						
11. Special Living						
12. Counseling						
13. Information						
14. Follow-Along						
15. Protective						
16. Transportation						

For each service to be provided, describe the personnel and qualifications necessary for the provision of such services.

V. Evaluation of Plan

In this section, describe criteria and evaluation procedures (with dates) to be used to determine outcome of objectives and goal(s),

VI. Anticipated Future Needs:

In this section, describe any anticipated developmental or medical factors that may occur or continue for the client over his life span, and list possible needed services to be required.

VII. Client Participation in Costs of Services, and Similar Benefits

(If applicable, summarize the particulars of client participation in the cost of **any** of the planned services, or the particulars regarding the use of **any** similar benefits for which the individual is eligible).

VIII. Views of the client regarding goals, objectives, and services planned.

**I have participated in the development of this
Habilitation Plan. I understand and accept it.**

Client and/or Guardian

Name of Agency Representative

VOLUNTEER SERVICES



Developmental Disabilities Office
Office of Human Development
U.S. DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE

TRANSMITTAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

Date:

SEP 23 1977

TRANSMITTAL

Issuance No.: DDO-SPO-00-002
Type: Program Regulation Guide
Title: Volunteer Services

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

The Developmental Disabilities Act as amended by P.L. 94-103, Section 133(b)(26) of the Regulations, introduces the provision for the use of volunteer services. The volunteer services plan will be prepared by the appropriate State agency outlining the strategies, activities and resources for the maximum utilization of appropriate voluntary organizations, including volunteers serving under the Domestic Volunteer Services Act of 1973. The use of such services shall supplement, but shall not be in lieu of, paid employees,

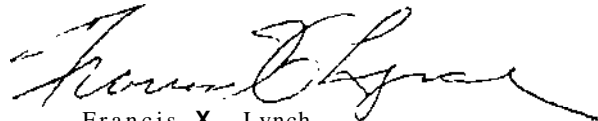
WHAT TO DO WITH ISSUANCE.

The attached guidelines set forth the Department's view as to the kinds of details which should be included in the State Plan in order to meet statutory and regulatory requirements. It is the intent of the guidelines to allow for flexibility to meet specific state and program needs.

SCOPE OF COVERAGE

These guidelines are primarily applicable to the State Agency and programs of any agency, facility, or project receiving funds under Part C of the State allotment.

DD staff Regional Offices, State Planning Councils, State Agencies, constituent organizations, OHDS Central Register, State DD Administering Agency(ies) should make further distribution to local grantees receiving DD funds.



Francis X. Lynch
Director
Developmental Disabilities Office

•Office of Human Development Services Department of Health,
Education, and Welfare*

GUIDELINES

Volunteers

I. Purpose of Guidelines:

To provide for the maximum utilization of all available community resources including volunteers serving under the Domestic Volunteer Services Act of 1973 (P,L, 93-113) 87 Stat. 394 and other appropriate voluntary organizations. The use of such services shall supplement, but shall not be in lieu of paid employees

II . Legislative Authority:

Developmental Disabilities Services and Facilities Construction Act, as amended by P.L. 94-103.

III. Regulatory Authority:

Department of Health, Education, and Welfare regulations, Section 1386.26.

IV. Volunteer Programs:

Most communities have access to a variety of "volunteer" programs which could assist developmentally disabled individuals in their efforts to become independent and live a more normal life.

Such "volunteer" programs come under a federally-funded program

office called ACTION. *ACTION's objective is to bring more of America's mainstream of people into volunteer service.

It is a process of decentralization of authority to local citizens and organizations begun in 1973, giving more responsibility to those closest to the communities being served. ACTION volunteers do not replace people already at work in the community .

One of the six goals in the ACTION program is to stimulate interest by the local citizenry to join in the efforts to solve local profile, and to generate such interest by allowing local citizens greater input into the design and operation of programs,

The program makes grants to local public and private non-profit agencies and organizations. Included under ACTION are the following:

1. Foster Grandparents

The program is designed to make it possible for older Americans, 60 years old and over, to volunteer their services to children 18 years old and under. Foster Grandparents may work 20 hours per week. Stipends vary, but average

*Address: 812 Connecticut Ave., N.W., Washington, D.C. 20525.

Brochure may be obtained at this address.

approximately \$2000 per year. Any outside agency, not the agency which will use the services of the Foster Grandparents, must sponsor the program. Financial guidelines state that ten percent, soft or hard match, must be provided locally.

2. Senior Companion Program (SCP)

This SCP is similar to Foster Grandparents Program, except that a Senior Companion works on a one-to-one relationship with an individual.

3. Volunteers in Service to America (VISTA)

VISTA program applications are usually developed by a consortium of Developmental Disability Programs in a State. Activities of VISTA are very broad. The program has the ability to blend idealism with basic realities. It offers a stipend of approximately \$3500 per year.

4. Retired Senior Volunteer Program (RSVP)

The program provides a restricted reimbursement plan for volunteers; no stipends are awarded. This program may be applied to most service needs in the community.

5. Senior Corporation of Retired Executives (SCORE)

SCORE participants could be utilized in developing economic avenues for the developmentally disabled, specifically workshops, sheltered industries, etc. No stipends are awarded.

6. Talented Student Volunteer Program

This program is located in colleges, universities, high schools and are mostly applicable to short-term Developmental Disability program goals. No stipends are included.

7. University Year Program

Students may receive college credit for working on community projects. The incentive is college credit; there are no stipends.

8. Senior Aid Program

National program contractors are:

- a) National Council of Senior Citizens
- b) National Council on Aging
- c) American Association of Retired Persons
- d) National Retired Teachers Association
- e) U.S. Forest Service

This is an outstanding, least restrictive, senior citizen employment program. It provides part-time employment to persons of low income who are 55 years of age or older. Participants are placed in non-profit community service agencies. They are paid minimum wage or over.

9. Nationally Community-Based Volunteer Referral Agencies

Includes such agencies as Red Cross Volunteers and Local Volunteer Screening and Referral Agencies.

10. Related Resources

Manpower (Public Service Employment), (On-The-Job-Training Contracts), (Comprehensive Employment and Training Act), (Work Incentive), etc. Contracts may be made through the State Employment Service and Manpower agencies on the city or county level.

V. Volunteer Development System:

Not only a staffing resource, volunteers can be ambassadors for target populations at every level from service delivery to national priorities.

All short- and long-range plans should reflect the necessary explicit administrative provisions for volunteer participation in-service and interpretive roles to carry out program goals. A sound volunteer system is essential to obtain and retain volunteers, based on sound principles such as the following:

1. A volunteer is a person who gives gratuitous service, with enabling reimbursement of expenses involved as needed.
2. A volunteer supplements, but does not supplant paid staff, working in concert toward shared objectives on individual or group assignments.
3. Volunteering, a basic right, is an essential human development experience for all persons. A means for learning, developing improved self-images, wholesome relationships and contributing to the quality of life, volunteer opportunities should be provided for all

persons, particularly the members of vulnerable groups we serve: "Everyone can help someone." Consumers have a right to give as well as to receive.

4. Freedom of choice, essential to the volunteer, the staff involved and the persons being served, carries responsibility best defined in clear contractual terms: Volunteers work with, and not for other people.
5. Mobility and progression for volunteers are dynamic values to all the persons involved in matching interests and needs in order to realize more fully the human development potential. Volunteer assignments are subject to periodic review, evaluation with, by and of volunteers, and range from prevention to rehabilitation objectives, with appropriate training opportunities for volunteers and staff to work with volunteers at all levels of activities.
6. Evaluation of volunteer participation means assessing the impact of the service on the recipient, the paid staff work, the agency and on the volunteer himself. Assessment feedback is essential to show volunteers, staff, recipients and administrators the effectiveness of the service. Quantification should reflect numbers of volunteers, nature of services, extent of target population served. Impact should be expressed in human benefit terms, such as institutionalization, recidivism prevented, capacities built, and signs of development in the people involved. **A** cost/benefit ratio must be

amplified by analysis of these intangibles to be meaningful.

7. A volunteer system starts small, and involves building a climate in which people can risk giving their best. An ideal program is staffed with a full time administrator who decentralizes administration to line staff as readiness is indicated. Provision of opportunities to participate in policy development, program innovation and advocacy roles attracts and motivates the best volunteers. The volunteer system is a continuous intrinsic part of the overall program planning cycle and fits into the total system, rather than being a separate program.
8. A volunteer development system produces enriched and more effective services and an informed dedicated citizenry ready to participate in collaborative efforts outside the agency in meeting human needs and attacking problems. Solving some problems may create new ones so there is an ever-expanding need for this kind of citizen network.
9. The following Proposed Volunteer System provides an outline suggesting essential elements to be considered with respect to any agency interested in developing a volunteer system.

PROPOSED VOLUNTEER SYSTEM

DIVISION OF RESPONSIBILITIES IN OVERALL OPERATION CYCLE

PHASE I PREPARATION

<u>EXECUTIVE</u>	<u>VOLUNTEER DIRECTOR OR COORDINATOR</u>	<u>LINE STAFF AND SUPERVISORS</u>
<p>Demonstrate support for incorporating volunteer staff:</p>	<p>Define goals and objectives for Volunteer Services, and plan:</p>	<p>A. Define unit and specific program objectives, unmet needs, volunteer opportunities, requirements</p>
<p>A. Clarify goals for total program: leadership, paid staff work, focus For board or committee and service volunteer</p>	<p>A. Work with unit heads, line staff representative volunteers and consumers defining needs for volunteers</p>	<p>B. Contribute ideas for volunteer assignments, group projects</p>
<p>B. Suggest objectives For volunteer participation:</p>	<p>8. Community assessment for resources for:</p>	<p>C. Suggest ways target group members could volunteer</p>
<p>Program Enrichment Outreach and Extension Interpretation Mobilizing support Set standards and norms</p>	<p>1. Volunteers Voluntary Action Center Service Groups Schools and colleges, etc.</p>	<p>D. Schedule time for:</p>
<p>C. Appoint qualified Director to focus efforts</p>	<p>2. Voluntary Agency Allies For collaboration</p>	<p>1. own training 2. counselling, placing, working with and through volunteers 3. participation in orientation and training of volunteers 4. unit staff meetings to include volunteers</p>
<p>D. Designate staff time for work analysis to define roles, prepare training, continuing supervisory relationships, evaluation plans</p>	<p>C. Establish referral, reporting and record systems</p>	<p>5. recording and reporting quantity and quality, impact.</p>
<p>E. Communications Staff meetings Memos of authorization</p>	<p>D. Plan and budget for: office services volunteer expenses public relations recognition process</p>	
	<p>E. Arrange orientation and training for Staff - to work with volunteers records and reporting procedures and policies Volunteers - orientation Lo agency - goals, service;; target population opportunities for service</p>	

PHASE II OPERATION

<u>EXECUTIVE</u>	<u>VOLUNTEER DIRECTOR</u>	<u>UNIT LINE STAFF AND SUPERVISORS</u>
Overall:	Organizing, delegating, monitoring:	
A. Monitoring	A. Active Targeted Recruiting	A. Interviewing and placing volunteer
B. Informal observation	B. Developing skill bank and records of opportunities for volunteer assignments	11. Referring target group members for placement
C. Rewarding collaborating staff, not exclusionary	C. Counselling new volunteers, referring to units	C. Recruiting from professional groups, membership organizations, referral to Volunteer Office
D. Explicit encouragement, aa greeting trainees	1). Operating Orientation and Training Events	D. On-the-job training for volunteers often counseling or supervision in groups in the unit as well as individuals
E. Recruiting in general activities In community, promoting volunteering	E- Recording assignments, Training	E. Unit volunteer participation review of impact and extent in unit, record of service
F. Allocation support as possible	F. Continuous development of opportunities and of community resources	f. Regular reports of service, changes, new needs, training requests, program recommendations
	G. Participation in Program Development	G. Participation in recognition process: selection, awards, etc.
	H. Collaboration with other agencies, educators on learning opportunities and joint programming	11. Feedback from experience into future planning, public education and citizen recruitment, promotion to greater responsibilities when required
	1, Operation of Feedback System through meetings, round tablets, evaluations	
	J. Representing volunteer!sw, Reporting to executive, staff, volunteers, volunteer resource groups, public	
	K. Arranging fur mobility and progression recognition of volunteers	
	L, Collaborates with community volunteer administrators, professional groups,	

PHASE 111

EVALUATION FUTURE **PLANNING**

(completes the cycle as this is preparation for next cycle)

EXECUTIVE

Offers overall perceptions of volunteer participation impact on agency

Provides access to new program development cycle of volunteer perspectives on impact, community culture, traditions, changing resources

Makes recommendations for future priorities for volunteer participation

Awards recognition and status to Volunteer Director as member of top administrative team

VOLUNTEER DIRECTOR

Summarizes and makes recommendations from data gathered for future priorities for volunteer participation, cost/benefit, analysis, impact on volunteers, consumers, staff

Its-targets recruiting, referral and training plans in tune with new priorities

Insures the volunteer perspective in future program development efforts

UNIT LINE STAFF AND SUPERVISORS

Summarize and make recommendations from staff reports. target group responses and volunteer assessment of program effectiveness

Submits future requests for volunteer recognition, recommends volunteers for leadership, recruitment, training, mentor roles

EMPLOYEE PROTECTIONS
AS RELATED TO
DEINSTITUTIONALIZATION



**Developmental Disabilities Office
Office of Human Development
US . DEPARTMENT OF HEALTH,
EDUCATION, AND WELFARE**

TRANSMITTAL NOTICE

DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

MAR 3 1970

Issuance No: DDO-SPO-60-003

Type: Program Regulation Guide

Title: Employee Protections as Related to Deinstitutionalization

ISSUANCE TO BE REPLACED

New Issuance

BACKGROUND

It is anticipated that the implementation of the national deinstitutionalization priority will effect a significant progressive decline in the caseload of institutions as residential facilities. Recent Developmental Disabilities State Plans demonstrate the trend toward providing settings that are least restrictive of the personal liberties of developmentally disabled persons. The increasing State efforts toward community alternative programs and the improvement of residential programs will create varying circumstances in which current institutional employees will require relocation or retraining, or both, to continue working, in the general field of their present employment. Accordingly, Section 133(h)(29) of the Act, mandates that the State provide for fair and equitable arrangements to protect the interests of employees affected by actions to carry out the deinstitutionalization plan as described in Section 133(b)(20) of the Act.

WHAT TO DO WITH ISSUANCE

The Guidelines are intended to set forth the mandatory requirements of the statute, and, where appropriate, the agency's interpretation of such requirements. They are not intended to impose requirements that are properly the subject of the rulemaking process. In some instances arrangements or actions are suggested in these Guidelines, rather than set forth as requirements, because the Department believes that they are properly the subject of rulemaking, rather than an interpretation of statutory requirements. Whenever there are any questions with respect to whether a provision is mandatory, or with respect to the basis of any requirement, such questions should be directed to the appropriate Regional Office, or the Central Office in Washington.

SCOPE OF COVERAGE

These guidelines are primarily applicable to (1) State Planning Councils and State Administering Agencies for the developmental disabilities program, (2) authorities of the State and its political subdivisions and employee representatives concerned with employment and job rights for employees who will be affected by any program funded in whole or in part under provisions of the Act. They may be useful to other persons, organizations and governmental authorities interested or involved in services for the developmentally disabled.

DISTRIBUTION

Regional Office, DD State Planning Councils, DD State administering agencies, constituent organizations, U.S. Department of Labor, OIDS Central Register. DD State administering agencies must make further distribution to pertinent governmental and labor authorities and organizations concerned with institutional programs and with the protection of employees of institutions.

Francis X. Lynch
Director
Developmental Disabilities

GUIDELINES

Employee Protections

I. Purpose of Guidelines

These Guidelines are transmitted by Transmittal Issuance No. DDO-SPO-60-003, TN-78-007, The Guidelines constitute the determination of the Secretary of Health, Education, and Welfare as to what, at a minimum, constitute fair and equitable arrangements to protect the interests of employees affected by actions to carry out State deinstitutionalization plans under the Developmental Disabilities Assistance and Bill of Rights Act, P.L. 91-517, as amended by P.L. 94-103, 42 U.S.C. Sec, 6001, et seq. The Secretary of Health, Education, and Welfare has consulted with the Secretary of Labor with respect to the provisions of these Guidelines.

II. Legislative Authority

Section 133(b)(20). In order to be approved by the Secretary a State Plan for the provision of services and facilities for persons with developmental disabilities must... "contain a plan designed (A) to eliminate inappropriate placement in institutions of persons with developmental disabilities, and (B) to improve the quality of care and the state of surroundings of persons for whom institutional care is appropriate;..."

Section 133(b) (29) "...provide for fair and equitable arrangements (as determined by the Secretary after consultation with the Secretary of Labor) to protect the interests of employees affected by actions to carry out the plan described in paragraph (20)(A), including arrangements designed to preserve employee rights and benefits and to provide training and retraining of such employee's where necessary and arrangements under which maximum efforts will be made to guarantee the employment of such employees; . . .

III. Regulatory Authority:

Department of Health, Education, and Welfare Regulations, Section 1386.27.

IV. State Plan Requirements (Part 1386 of the Regulations):

The State Plan (Sec. 133, P.L. 94-103), as a minimum, shall 1) provide for fair and equitable arrangements to protect the interests of all employees affected by deinstitutionalization plans assisted under the Developmental Disabilities Act, and 2) provide that employees be given written notice at least six months prior to the formation of such deinstitutionalization plans for the State. Specific conditions for the protection of employees affected by actions taken pursuant to the deinstitutionalization plan will be developed as a result of negotiations between appropriate State authorities and employee representatives. Such protective arrangements shall include, without being limited to, such provisions as may be necessary for:

1. the preservation of rights, privileges, and benefits (including continuation of pension rights and benefits) under existing collective bargaining agreements or otherwise;
2. the continuation of collective bargaining rights;
3. the protection of individual employees against a worsening of their positions with respect to their employment;
4. maximum efforts be made to guarantee employment to employees of any State political subdivision thereof who will be affected by any program funded in whole or in part under provisions of this Act; and
5. employee training or retraining programs.

V. Performance Standards:

The terms and conditions of such protective arrangements must include the following performance standards:

1. Preservation of Rights and Benefits

The preservation of rights and benefits requires that any new job offer to an employee displaced due to deinstitutionalization plans will not result in the termination of accrued benefits such as pension benefits, vacation benefits, health and insurance benefits, seniority rights or similar such benefits.

5. Training and Retraining Programs

Where necessary, States must provide training and retraining programs for current employees displaced by deinstitutionalization plans. No employee may be compelled to work in a capacity for which they have had no previous training. All training and retraining must be conducted during regular employment hours; an employee must keep receiving his regular salary while being trained or retrained; all training programs are to be provided at no expense to employees; and each affected employee will receive job counseling and vocational guidance.

VI. Action by State Agency

The State agency is responsible for devising and implementing the employee protection provisions. It is suggested that the State agency notify, in writing, all affected employees and their collective bargaining representatives at least six months prior to the implementation of a State's proposed deinstitutionalization plan. Early employee participation in formulation of deinstitutionalization planning is necessary to effectively implement employee protections. In the event that the implementation schedule is set and does not allow for the six months notification, it is recommended that at least forty-five days be provided for notification and for time to work out a satisfactory employee protection system. If the implementation is already in progress, employees and their collective bargaining representatives should enter into cooperative relationships with the State agency without delay to work out a satisfactory employee protection system. Employees' and their collective bargaining representatives' participation in the deinstitutional planning will lend itself to cooperative relationships with management, thereby eliminating uncertainties about employment and reducing many obstacles in establishing a strong community-based delivery system.

The State Plan must include protections for all employees affected by the State's Plan for deinstitutionalization. Accordingly, employees at all levels of State or local government whose employment is jeopardized by a State's Plan to close or reduce institutional services to the developmentally disabled population must be protected. For example, employees in administrative or support service jobs, even though they may not work directly in an institution, are entitled to employment protections.

A detailed statement from each grantee for implementing the State's deinstitutionalization plan for each protective arrangement enumerated under Section IV of these guidelines is to be obtained by the State agency as a part of the project application so that a complete review

can be made to ascertain whether the requirements of the terms and condition;; of the protective arrangements are be in, met. To that end, comprehensive information should be solicited which would identify the employees in the project to be assisted and to determine if any other program might also be affected by the prujcct. Names of any unions representing these employees should be also obtained.

The anticipated effect of the project upon these employees (whether or not it is believed to be adverse) must be described in full, including the possible impact on the project upon their collective bargaining contracts, employment rights, privileges and benefits, including pension benefits, vacation and insurance benefits. Further, the arrangements must include procedures and mechanises to provide for the resolution of disputes with respect to the interpretation, application, and enforcement of protective arrangements in order to insure employees the Lull range of protections afforded by the statute and regulations as interpreted by these guidelines, me- results of any discussions or negotiations with representatives of workers who nay' be affected by the project and any understandings reached must be stated. If agreements have not been reached respecting protective arrangements for employees affected by the project the reasons should be fully explained prior to submitting the Stateplan to the appropriate Regional Office for approval,

Copies of individual agreements arc not required to be submitted with the State Plan or its annual revision since each agreement is negotiated on an individual basis. However, copies of 211 such agreements are to be retained by the designated State administering agency and are subject to review by appropriate Department of Health, Education, and Welfare representatives.

TRANSMITTAL NOTICE
DEVELOPMENTAL DISABILITIES OFFICE

Date:

TRANSMITTAL

Issuance No. : DDO-SPO-00-

SEP 23 1977

Type : Program Regulation Guide

Title: Construction Program

ISSUANCE- -T-O- BE REPLACED

sew Issuance

BACKGROUND

The Developmental Disabilities Act as amended by P.L. 94-103, Sections 1385.3 -.10 and 1386.17, 48, .419 of the Regulations, provides for the development of a program of construction, renovation or modernization of facilities for the provision of services for persons with developmental disabilities. P.L- 94-103 removes previous requirements that the Secretary approve construction grants. Funds for facilities construction are limited to 10 percent of the total allotment to a State and are to be designated in the State Plan under specific projects.

WHAT TO DO WITH ISSUANCE

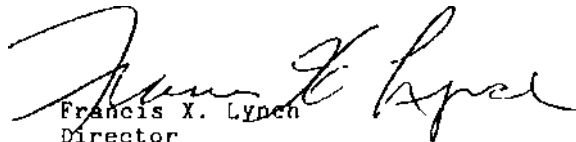
The attached guidelines set forth the Departments views as to the procedures to be followed by the State agency in developing, processing, and administering a facilities construction program within their State in-order to meet statutory and regulatory requirements.

SCOPE OF COVERAGE

'These guidelines are primarily applicable to the State Agency and programs of any agency, facility, or project receiving funds under Part C of the State allotment.

DISTRIBUTION

DD staff Regional Offices, State Planning Councils, State Agencies, constituent organizations, Office of Human Development Services Central Register. State Developmental Disabilities administering agency(ies) should make further distribution to local grantees receiving DD funds.


Francis X. Lyden
Director
Developmental Disabilities Office

'Office of Human Development Services Department of Health,
Education, and Welfare*

GUIDELINES

Construction Program

i. Purpose of Guidelines:

To provide for the development of a program of construction, renovation or modernization of facilities for the provision of services for persons with developmental disabilities.

II. Legislative Authority*:

Developmental Disabilities Services and Facilities Construction Act as amended by (P.L. 94-103), Title I, Part C, Sections 125, 132(a)(3) and 133(b)(13) - (19), 42 U.S.C. Section 6042, 6062 and 6063(b) (13) - (19).

III. Regulatory Authority:

Department of Health, Education, and Welfare regulations Sections 1385.3 - .10; 1386.17, .48, .49.

IV. Construction Funds:

Funds for facilities construction are limited to 10 percent of the total allotment to a State. These funds are to be designated in the State Plan under specific projects. If at the end of the fiscal year in which funds have been so designated

*All references to Sections of "The Act" are to P.L. 91-517, as amended by P.L. 94-103.

remained unobligated, these monies may be carried forward into the next fiscal year. If the amount carried forward and the amount designated for the same construction project are still inadequate to support the project, they may be carried forward for a third year.

In order to account for this carry-forward balance, the final financial statement should indicate the amount and state that it is not available for withdrawal. The notice of grant award will also indicate the amount brought forward so that these funds are not "lost" in the three-year time period that they are available.

V. Applicability:

The following procedures and guides pertain only to grants approved on or after the date of enactment of P.L. 94-103, i.e., October 4, 1975. Projects previously approved under P.L. 88-164 or P.L. 91-517 shall be processed in accordance with policies and procedures in effect at the time of approval of the initial application. In the event that an application previously approved is to be supplemented by a grant from P.L. 94-103 allotment, the revised application is to be processed in the original manner.

VI. Submission of Construction Application:

The application shall be submitted by the applicant to the designated State Agency for construction. Application forms are

available from the State Agency. That agency shall review the application for completeness and conformance with the State Plan. Compliance with the design criteria and design assurances shall also be ascertained if design documents are included. Applications need not be forwarded to the HEN Regional Office for review and approval. The DD Amendments (P.L. 94-103) removed previous requirement that the Secretary approve the construction grants. However, the State Agency (and the applicant) may seek consultation and technical assistance (preferably at the onset of anything to do with construction) from the Regional staff and the Department of Health, Education, and Welfare (DHEW) Division of Regional Operations for Facilities Engineering and Construction (ROFEC), in the development of and review of applications to resolve specific problems relating to facility construction.

VII. Assurances for Construction Projects:

All applications for construction shall provide that the applicant will agree to the assurances, terms and conditions specified in Regulations, with special reference to Sections 1385.3, .4, .7-.10, and 1386.17.

VIII. Construction Contract Wage Determination:

The State Agency shall submit a written request for wage determination to the Division of Regional Operations for Facilities Engineering and Construction (ROFEC) approximately 45 days prior to the scheduled date for bid advertising. The

Regional Office will promptly provide the data to the State Agency which, in turn, will furnish the applicant with a copy of the wage rates. Refer to HEW Form 514 for necessary specification phrasing for inclusion in the construction contract documents. The form is included in Technical Handbook 2.2, Information on Federal Wage Rates and Labor Standards, and is available from the ROFEC office in the appropriate Region.

IX. Payment of Construction Projects:

1. Grant payments for construction projects shall be made by the State agency directly to the grantee on the basis of an inspection by the State that work has been performed upon a project or purchases have been made in accordance with approved plans and specifications, and that a payment is due. Certification of such shall be submitted to the Regional Director, DDO, at the time payment is made to the grantee using DHEW Form 605T, "Outlay Report and Request for Reimbursement for Grants." Final payment shall be made after an inspection by representatives of the State agency designated to administer construction grants. Appropriate representatives from ROFEC, if possible, should accompany the RO, DDO representative. The final report shall certify that appropriate and periodic inspections have been made by appropriate State authorities and that all applicable construction standards and codes have been met. A copy of the final inspection

report is to be provided the grantee, the State agency and the Regional and Central DDO.

2. If the Secretary, after investigation or otherwise, has reason to believe that any act (or failure to act) has occurred requiring withholding of funds (Section 135(a) of the legislation) payment may be withheld in whole or in part after giving the State Agency designated to administer the construction grants, an opportunity for a hearing. All such hearings shall follow the procedures set forth in Subpart D of the regulations, 45 CFR 1386.80 - 1386.112.

PROGRAM ISSUE REVIEW

STATUS & ACHIEVEMENTS
OF
STATE
DEVELOPMENTAL DISABILITIES
PROGRAMS

A
Briefing
Compiled
from
FY 1978 State Plans

PREPARED BY

EMC INSTITUTE

PNS 51-P-71220/2-01

BRIEFING AGENDA

- MISSIONS OF THE DD PROGRAM
 - TARGET POPULATION AND PROGRAM ENVIRONMENT OF THE DD PROGRAM
 - ORGANIZATION & STRUCTURE OF THE DD PROGRAM
- THE COMPREHENSIVE PLANNING MISSION
 - HISTORY
 - RESULTS
- THE ADVOCACY MISSION
 - IMPLEMENTATION STATUS OF THE P&A SYSTEMS
 - COORDINATION
 - EARLY INTERVENTION
 - PUBLIC AWARENESS/EDUCATION
 - QUALITY OF SERVICES (EVALUATION & MONITORING)
- « THE FILLING OF SERVICE & PROGRAM GAPS
 - COMMUNITY ALTERNATIVES
 - INSTITUTIONAL REFORM
 - EXPANSION OF THE SCOPE & EXTENT OF CURRENT SERVICES
 - DEMONSTRATION OF NEW SERVICE TECHNIQUES

PRINCIPAL MISSIONS

OF

STATE DD PROGRAMS

(PL 91-517 AS AMENDED BY PL 94-103)

- . DEVELOP A CONTINUING & COMPREHENSIVE PLAN FOR SERVICES FOR PERSONS WITH DEVELOPMENTAL DISABILITIES

- IDENTIFY SERVICE/PROGRAM NEEDS

- ANALYZE EXISTING RESOURCES

- IDENTIFY GAPS & BARRIERS

- ESTABLISH GOALS, OBJECTIVES, & PRIORITIES

- SPECIFY A DESIGN FOR IMPLEMENTING THE STATE PLAN

- ADVOCATE FOR APPROPRIATE SERVICES/ PROGRAMS FOR PERSONS WITH DEVELOPMENTAL DISABILITIES

- COORDINATION OF EXISTING SERVICES/PROGRAMS

- EARLY INTERVENTION

- PUBLIC AWARENESS/EDUCATION

- QUALITY OF SERVICE (MONITORING & EVALUATION)

FILL GAPS IN SCOPE & EXTENT OF SERVICES/PROGRAMS

- COMMUNITY ALTERNATIVES

- INSTITUTIONAL REFORM

- EXPANSION OF SCOPE & EXTENT OF CURRENT SERVICES/PROGRAMS

- DEMONSTRATION OF NEW SERVICE TECHNIQUES

DD POPULATION

CHARACTERISTICS

DEFINITION: PERSONS WITH MENTAL RETARDATION, CEREBRAL PALSY, EPILEPSY OR AUTISM ACQUIRED BEFORE AGE 18, THE DEGREE OF WHICH MUST PRESENT A SUBSTANTIAL HANDICAP TO NORMAL FUNCTIONING

NATIONAL POPULATION ESTIMATES

(BASED ON PREVALENCE RATES REPORTED BY 49 STATES)

● <u>TYPE</u>	<u>TOTAL (MILLIONS)</u>	<u>SUB. HANDICAP (MILLIONS)</u>
	NO. .PREV. RATE	NO. PREV. RATE
MENTAL RETARDATION	5.5 (2.54%)	3.40 (1.56%)
CEREBRAL PALSY	0.8 (0.36%)	0.55 (0.25%)
EPILEPSY	4.2 (1.93%)	1.39 (0.64%)
AUTISM	<u>0.09</u> (0.04%)	<u>0.08</u> (0.036%)
TOTAL	10.59 (4.87%)	5.42 (2.486%)
a <u>AGE GROUP</u>	<u>TOTAL (MILLIONS)</u>	<u>SUB. HANDICAP (MILLIONS)</u>
PRESCHOOL	0.94	.51
SCHOOL AGE	3.23	1.74
ADULT	6.43	3.18

FROM FAMILIES WITH LESS THAN POVERTY INCOMES 1.26 MILLION
(11% OF TOTAL DD POPULATION)

DD POPULATION

SERVICE NEEDS

- PERCENT OF ALL PERSONS WITH DEVELOPMENTAL DISABILITIES NEEDING EACH TYPE OF SERVICE (MET OR UNMET) AS REPORTED BY 41 STATES

DIRECT SERVICES

•• SUPPORT SERVICES

SPECIAL LIVING ARRANGEMENTS	20%	DIAGNOSIS & EVALUATION	50%
SCHOOL AGE EDUCATION	20%	INFORMATION & REFERRAL	50%
ADULT EDUCATION/TRAINING	20%	COUNSELING	50%
SHELTERED EMPLOYMENT	20%	PROTECTIVE & SOCIO-LEGAL	50%
COMPETITIVE EMPLOYMENT	20%	FOLLOW ALONG	50%
DOMICILIARY CARE	10%	TREATMENT (MED., DENT)	50%
SCHOOL AGE DAY CARE	10%	RECREATION	50%
SCHOOL AGE TRAINING	10%	TRANSPORTATION	50%
ADULT DAY CARE	6%	PERSONAL CARE	30%
PRE-SCHOOL EDUCATION/TRAINING	4%		
PRE-SCHOOL DAY CARE	4%		

DD PROGRAM ENVIRONMENT

- MAJOR GENERIC SOURCES OF SERVICES FOR PERSONS WITH DEVELOPMENTAL DISABILITIES (STATE PLAN FINDINGS (34))
 - THE MOST COMPLETE SCOPE OF TYPES OF SERVICES APPROPRIATE TO PERSONS WITH DEVELOPMENTAL DISABILITIES ARE PROVIDED BY MR/DD INSTITUTIONS & PROGRAMS
 - MR/DD INSTITUTIONS & RELATED PROGRAMS ARE INDICATED AS THE SERVICES MOST UTILIZED BY PERSONS WITH DEVELOPMENTAL DISABILITIES
 - FEDERAL/STATE SPECIAL EDUCATION, HEALTH & TITLE XX PROGRAMS PROVIDE NEARLY A FULL ARRAY OF SUPPORT SERVICES (i.e. EVALUATION TREATMENT, RECREATION, ETC.)
 - TITLE XX & SPECIAL EDUCATION SERVICES ARE INDICATED AS THE NEXT MOST UTILIZED SERVICE BY PERSONS WITH DEVELOPMENTAL DISABILITIES
 - VOCATIONAL EDUCATION/REHABILITATION SERVICES ARE INDICATED AS THE SERVICES LEAST UTILIZED BY PERSONS WITH DEVELOPMENTAL DISABILITIES (ONLY B STATES REPORTING)

DD PROGRAM ENVIRONMENT

GAPS IN THE SERVICES

- TYPES OF SERVICES MOST FREQUENTLY CITED AS REQUIRING EXPANSION FOR PERSONS WITH DEVELOPMENTAL DISABILITIES (40 STATES REPORTING)*

	# STATES	%
•• RESIDENTIAL	30	75%
- SPECIAL LIVING	21	53
rr DAY CARE FOR PRESCHOOLERS & ADULTS	23	58
•• CASE MANAGEMENT	23	58
- FOLLOW ALONG	11	28
or EMPLOYMENT	18	45
•• DIAGNOSIS, EVALUATION & INFORMATION & REFERRAL	17	43
at RECREATION, PERSONAL CARE, TRANSPORTATION	17	43
•• EDUCATION/TRAINING FOR PRESCHOOLERS & ADULTS	15	38
TREATMENT	12	30
re EDUCATION FOR SCHOOL AGE CHILDREN	10	25

14 STATES DID NOT REPORT ON SERVICE GAPS IN THE STATE PLAN

% OF REPORTING STATES

DD PROGRAM ENVIRONMENT

GAPS AND BARRIERS I N PROGRAM AREAS

PROGRAM AREAS MOST FREQUENTLY CITED AS EXPERIENCING MAJOR BARRIERS AND GAPS

	#	
	STATES	
GAPS I N NATIONAL PROGRAM GOAL AREAS		
LACK OF COMMUNITY ALTERNATIVES		
AVAILABILITY OF COMMUNITY PROGRAM	33	77%
AVAILABILITY OF COMMUNITY RESIDENTIAL FACILITIES	31	72%
LACK OF INSTITUTIONAL REFORM	26	60%
LACK OF ADULT PROGRAMS	24	56%
GAPS I N OTHER PROGRAM AREAS		
PUBLIC AWARENESS	30	70%
LACK OF FUNDS TO EXPAND SERVICES	26	60%
INFORMATION DEVELOPMENT	23	53%
PERSONNEL DEVELOPMENT	20	47%
TRANSPORTATION I N RURAL AREAS TO ACCESS PROGRAMS	15	35%
COUNCIL ORIENTATION, TRAINING AND TECHNICAL ASSISTANCE	24	56%

% OF 43 STATES REPORTING GAPS & BARRIERS INFORMATION

ORGANIZATION & STRUCTURE OF STATE DD PROGRAMS

STATUS & FINDINGS (FY 1978)

FUNDS (OPERATING) 54 STATES & TERRITORIES

	DDSA	\$30,900,000
co	25% REQUIRED MATCH	\$10,250,000
	REPORTED MATCH	\$12,300,000
	AVER. FED. ALLOC. RANGE	\$572,000 \$50,000-\$2,890,000
	AVER. 25% MATCH	\$190,700
	AVER. MATCH ACHIEVED	\$ 232,900 (22% ABOVE REQUIRED)

a ORGANIZATION 54 STATES & TERRITORIES

	STATE PLANNING COUNCIL	54
co	COUNCIL MEMBERS	1331
	AVERAGE NO OF MEMBERS	25 (6 54 RANGE)
eo	ADMINISTERING AGENCY & COUNCIL PLACEMENT	
	- 1 IN GOV. OFF. OR 1 LEVEL REMOVED	28%
	- 2 LEVELS REMOVED FROM GOV. OFF.	65%
co	COMMITTEES	243
	- SYSTEM A D V . RELATED	24%
	- PLANNING & EVALUATION	29%
	- OTHER	26%
	- COUNCIL OPERATIONS	21%

ORGANIZATION & STRUCTURE OF STATE DD PROGRAMS

STATUS & FINDINGS (FY 1978) (CONT D)

a STATE PLANNING COUNCIL & STAFF COMPOSITION

•• COUNCIL MEMBERS	1331 (53 STATES REPORTING)
- CONSUMERS	40%
- STATE AGENCIES	37%
- PRIVATE PROVIDERS	23%
COUNCIL STAFF	<u>221</u>
- EXEC. DIR.	10%
- PROFESSIONAL (PLANNING & EVALUATION)	43%
- PROFESSIONAL '(OTHER)	19%
- CLERICAL	28%

THE COMPREHENSIVE PLANNING MISSION

HISTORY

FY 1975- DDO EMBARKS ON PROCSRAM IMPACT EVALUATION & STATE PLANNING CAPACITY BUILDING STRATEGY (3 years)

PHASE I - FEASIBILITY/EVALUATION STUDY (EVAL. FUNDS)

PHASE II- NATIONWIDE TEST OF PLANNING MODEL (EVAL. FUNDS)

PHASE III-IMPLEMENTATION OF PLANNING GUIDELINES AND TECHNICAL ASSISTANCE (PNS FUNDS)

FY 1975- FEASIBILITY TEST RESULTS

RESEARCH MODEL OF STATE PLANNING PROCESS/GUIDE TESTED

COMPREHENSIVE PLANNING POSSIBLE WITHIN PROGRAM ENVIRONMENT & RESOURCES

PROGRAM IMPACT EVALUATION POSSIBLE USING TREND DATA FROM STATE PLANS

FY 1976- NATIONWIDE TEST RESULTS

30 STATES VOLUNTARILY PARTICIPATE USING REVISED MODEL OF PHASE I (PILOT TEST IN 4 STATES) (ALL STATES TRAINED)

44 STATES INDICATE USE OF MODEL IF IN GUIDELINE FORM & ASSISTANCE AVAILABLE

REVISED MODEL STATE PLAN DEVELOPMENT GUIDE

FEDERAL GUIDE FOR **IMPACT** ASSESSMENT DESIGNED **USING** STATE PLAN INFORMATION

FY 1977- IMPLEMENTATION & TECHNICAL ASSISTANCE

MODEL CONVERTED TO FEDERAL GUIDELINES

INTRODUCED IN FEB. 1977 THROUGH 10 REGIONAL MEETINGS

ON SITE ASSISTANCE TO 44 STATES & TERRITORIES

ALL STATES SUBMIT FY 1978 STATE PLANS IN FORMAT

FY 1978- STATUS

23 STATES HAVE PLANNING GOALS

32 STATES HAVE FY 1978 PLANNING & INFORMATION OBJECTIVES

78 OBJECTIVES FOR 1978 HAVE BEEN SET

95 FY 1978 ACTIVITIES IN PLANNING & INFORMATION OBJECTIVES AVERAGE COST \$8,700 (90% DOSA FUNDS)

20-25 STATES HAVE REACHED ADVANCE STAGES OF FY 1979 STATE PLANS

THE COMPREHENSIVE PLANNING MISSION

RESULTS FY 1978

WHAT STATES WERE ASKED TO DO:	# INFORMATION ELEMENTS
SPECIFY SERVICE NEEDS OF DD POPULATION	46
• ASSESS SCOPE, EXTENT, QUALITY OF CURRENT SERVICE RESOURCES	56
• DETERMINE GAPS & BARRIERS	53
• SPECIFY GOALS, OBJECTIVES, PRIORITIES & DESIGN FOR IMPLEMENTATION	36
REVIEW COUNCIL OPERATIONS	28
• GIVE ADMINISTRATIVE ASSURANCES & OPERATION PROCEDURES	41
• SUMMARIZE	<u>15</u>
	275

WHAT STATES ACHIEVED

BEST RESPONSE TO STATE PLAN DEADLINE IN THE HISTORY OF THE PROGRAM IN 1975 ONLY 53% IN BY FUNDING DEADLINE and 43% WERE OVER 5 MONTHS LATE

IN 1978 95% WERE IN BY FUNDING DEADLINE AND 70% IN BY SUBMISSION DEADLINE

30% (16) OF THE STATES REPORTED 70% OR MORE OF REQUESTED INFORMATION

78% (42) OF THE STATES REPORTED 50% OR MORE OF REQUESTED INFORMATION

NATIONWIDE 61% OF THE REQUESTED INFORMATION WAS REPORTED

48% (26) STATES SUBMITTED PLANS OF ADEQUATE AND OR BETTER QUALITY

42% (23) STATES REPORTED 50% OR MORE OF THE INFORMATION AND WERE OF ADEQUATE OR BETTER QUALITY

FINDINGS OF THIS PRESENTATION ARE BASED ON THE FY 1978 STATE PLANS

ME COMPREHENSIVE PLANNING MISSION

RESULTS

STATES WITH TECHNICAL ASSISTANCE
WITH MORE THAN ONE(1) DAY ON SITE:
AVERAGE 14 DAYS/STATE

QUALITY BATING

	INADEQUATE	ADEQUATE TO EXEMPLARY	
LESS THAN 50% OF INFOR.	4 STATES 11%	2 STATES 5%	TOTAL 3 8
50% OF INFOR. REQ. OR OVER	1 4 STATES 37%	1 8 STATES 47%	

STATES WITHOUT SIGNIFICANT TECHNICAL ASSISTANCE ONE (1) DAY OR LESS

QUALITY RATING

	INADEQUATE	AOEQUATE TO EXEMPLARY	
LESS THAN 50% OF INFOR.	5 STATES 31%	1 STATE 7%	TOTAL 16
50% OR MORE OF INFOR. REQUESTED	5 STATES 31%	5 STATES* 31%	

FOUR (4) OF FIVE (5) STATES STAFF TRAINED AT REGIONAL MEETINGS
OVER 2 YEAR PERIOD BY 1978 TA PROVIDER

THE SYSTEM ADVOCACY MISSION

STATUS IN FY 1978
SUMMARY

GOALS OF DO PROGRAM

COORDINATION OF POLICY/SERVICES	28 STATES
EARLY INTERVENTION	31 STATES
PUBLIC AWARENESS/EDUCATION	25 STATES
IMPROVEMENT IN QUALITY OF SERVICE (EVALUATION & MONITORING)	31 STATES
PROTECTION & ADVOCACY	20 STATES

FY 1978 OBJECTIVES	#	% OF 826 REPORTED
COORDINATION OF POLICY/SERVICES	138	17%
EARLY INTERVENTION	43	5%
PUBLIC AWARENESS	75	9%
QUALITY OF SERVICES	149	
		49%
TOTAL	405	

FY 1978 ACTIVITIES		% OF 872 REPORTED
COORDINATION OF POLICY/SERVICES	153	18%
EARLY INTERVENTION	36	4*
PUBLIC AWARENESS	100	11%
QUALITY OF SERVICES	148	<u>17X</u> 50%
	437	
TOTAL TYPES OF ACTIVITIES		

PLANNING/EVALUATION	142	(33%)
SERVICE PROVISION	183	(42%)
SYSTEMS IMPROVEMENT	112	(25%)

COSTS (319 ACTIVITIES)

TOTAL	\$10,062,311
% OF ALL COSTS REPORTED*	44%
% DDSA FUNDS	42%
AVERAGE ACTIVITY COST	\$31,543

MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1: 1.8

*PERCENT OF TOTAL COSTS REPORTED IN DFI'S \$ **22,718,354**

THE ADVOCACY MISSION
STATUS OF PROTECTION & ADVOCACY SYSTEM

- FUNDS (OPERATING) 52 STATES & TERRITORIES
 - TOTAL FUNDS \$6,155,588
 - DDSA \$3,372,739
 - MATCH REQUIRED - NONE -
 - REPORTED ADDITIONAL FUNDING \$2,782,849 (37% OTHER DDSA FUNDS)
 - t AVERAGE DOSA ALLOC. \$64,860
 - RANGE \$20,000 - \$228,635
 - #• AVERAGE FUNDING/STATE \$120,698 (86% ABOVE AVE. ALLOCATION)

- ORGANIZATION 52 STATES & TERRITORIES
 - 17 (33%) IN GOV'T OR QUASI GOV'T AGENCY
 - 10 (19%) IN EXISTING NON-PROFIT AGENCIES
 - 25 (48%) IN NEW NON-PROFIT AGENCIES

ME ADVOCACY MISSION
STATUS OF COORDINATION

NO. OF STATES WITH GOALS IN THIS AREA	28
NO. OF FY 1978 OBJECTIVES REPORTED	138
NO. OF FY 1978 ACTIVITIES REPORTED	153
• ACTIVITIES 153 (18% OF 872 ACTIVITIES REPORTED)	
POLICY COORDINATION	90
SERVICE COORDINATION	63
•• RESPONSIBILITY-POLICY COORDINATION	
COUNCIL	59 (66%)
OTHER AGENCY	31 (34%)
•• RESPONSIBILITY - SERVICE COORDINATION	
COUNCIL	39 (62%)
OTHER AGENCY	24 (38%)
• TYPE OF ACTIVITIES	
- PLANNING/EVALUATION	48 (31%)
- SERVICE PROVISION	51 (33%)
- SYSTEM IMPROVEMENT	54 (35%)
COSTS (134 ACTIVITIES)	
TOTAL	\$1,567,003
% OF ALL COSTS REPORTED*	7%
% DOSA FUNDS	58%
AVE/ACTIVITY	\$11,690
MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:1.3	

PERCENT OF TOTAL COSTS REPORTED IN DFI'S \$22,718,354

THE ADVOCACY MISSION

STATUS OF
EARLY INTERVENTION

NO. OF STATES WITH GOALS IN THIS AREA	31
NO. OF FY 1978 OBJECTIVES REPORTED	43
NO. OF FY 1978 ACTIVITIES REPORTED	36

• ACTIVITIES 36 (44 OF 872 ACTIVITIES REPORTED)

•• RESPONSIBILITY

COUNCIL	5 (14%)
OTHER AGENCY*,	31 (86%)

TYPES OF ACTIVITIES

PLANNING/EVALUATION	6 (17%)
SERVICE PROVISION	27 (75%)
SYSTEMS IMPROVEMENT	3 (8%)

•• COSTS (30 ACTIVITIES)

TOTAL	\$49,867,400
% OF ALL COSTS REPORTED	21%
% DDSA FUNDS	6%
AVE. ACTIVITY COST	\$162,246

• MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:13.1

THE ADVOCACY MISSION
STATUS OF
PUBLIC AWARENESS/EDUCATION

NO. OF STATES WITH GOALS IN THIS AREA	25
NO. OF FY 1978 OBJECTIVES REPORTED	75
NO. OF FY 1978 ACTIVITIES REPORTED	100

ACTIVITIES 100(11.5% OF 872 ACTIVITIES REPORTED)

RESPONSIBILITY

COUNCIL	57 (57%)
OTHER AGENCY	43 (43%)

TYPES OF ACTIVITIES

PLANNING/EVALUATION	22 (22%)
SERVICE PROVISION	68 (68%)
SYSTEMS IMPROVEMENT	10 (10%)

•• COSTS (65 ACTIVITIES)

TOTAL	\$1,156,739
% OF ALL COSTS REPORTED	5%
% DDSA FUNDS	81%
AVE. ACTIVITY COST	\$17,795

- MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:0.93

THE ADVOCACY MISSION

STATUS OF
QUALITY OF SERVICES

NO. OF STATES WITH GOALS IN THIS AREA	31
NO. OF FY 1978 OBJECTIVES REPORTED	149
NO. OF FY 1978 ACTIVITIES REPORTED	148

ACTIVITIES 148 (17% OF 872 ACTIVITIES REPORTED)

•• RESPONSIBILITY

COUNCIL	57 (39%)
OTHER AGENCY	91 (61%)

re TYPES OF ACTIVITIES

PLANNING/EVALUATION	66 (45%)
SERVICE PROVISION	37 (25%)
SYSTEMS IMPROVEMENT	45 (30%)

•• COSTS (90 ACTIVITIES)

TOTAL	\$2,471,313
% OF ALL COSTS REPORTED	11%
% DDSA FUNDS	87%
AVE. ACTIVITY COST	\$27,459

- MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:0.86

THE GAP FILLING MISSION

STATUS IN FY 1978
SUMMARY

• GOALS OF DD PROGRAM

COMMUNITY ALTERNATIVES	30 STATES
INSTITUTIONAL REFORM	7 STATES
EXPANSION OF GENERIC SERVICES	24 STATES
DEMONSTRATION OF NEW TECHNIQUES	15 STATES

• FY 1978 OBJECTIVES	#	OF 826 REPORTED
COMMUNITY ALTERNATIVES	66	8%
INSTITUTIONAL REFORM	16	2%
EXPANSION OF GENERIC SERVICES	180	22%
DEMONSTRATION OF NEW TECHNIQUES	<u>35</u>	
TOTAL	297	

• FY 1978 ACTIVITIES

		% OF 872 REPORTED
• AREAS		
COMMUNITY ALTERNATIVES	66	8%
INSTITUTIONAL REFORM		
EXPANSION OF GENERIC SERVICES	18	2%
DEMONSTRATION OF NEW TECHNIQUES TYPES		
	178	20%
	29	3%
	291	33%

PLANNING/EVALUATION ,	29	(10%)
SERVICE/PROVISION	233	(80%)
SYSTEMS IMPROVEMENT	29	(10%)

COSTS (267 ACTIVITIES)

TOTAL \$11,355,333

% OF ALL COSTS REPORTED 50%

% DDSA FUNDS 56%

AVERAGE ACTIVITY COST \$42,529

MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:1.35

THE GAP FILLING MISSION

STATUS OF
COMMUNITY ALTERNATIVES

NO. OF STATES WITH GOALS IN THIS AREA	30
NO. OF FY 1978 OBJECTIVES REPORTED	66
NO. OF FY 1978 ACTIVITIES REPORTED	66

ACTIVITIES 66(8% OF 872 ACTIVITIES REPORTED)

RESPONSIBILITY

COUNCIL	9 (14%)
OTHER AGENCY	57 (86%)

•• TYPES OF ACTIVITIES

PLANNING/EVALUATION	5 (8%)
SERVICE PROVISION	49 (74%)
SYSTEMS IMPROVEMENT	12 (18%)

COSTS (65 ACTIVITIES)

TOTAL	55,932,251
% OF ALL COSTS REPORTED	26%
% DDSA FUNDS	53%
AVE. ACTIVITY COST	\$91,265

- MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:1,4

THE GAP FILLING MISSION
STATUS OF
INSTITUTIONAL REFORM

NO. OF STATES WITH GOALS IN THIS AREA	7
NO. OF FY 1978 OBJECTIVES REPORTED	16
NO. OF FY 1978 ACTIVITIES REPORTED	18

• ACTIVITIES 18 (2% OF 872 ACTIVITIES REPORTED)

RESPONSIBILITY

COUNCIL	5 (28%)
OTHER AGENCY	13 (72%)

•• TYPES OF ACTIVITIES

PLANNING/EVALUATION	7 (39%)
SERVICE PROVISION	7 (39%)
SYSTEMS IMPROVEMENT	4 (22%)

COSTS (14 ACTIVITIES)

TOTAL	\$1,217,954
% OF ALL COSTS REPORTED	5.4%
% DDSA FUNDS	5%
AVE. ACTIVITY COST	\$86,996

1 MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:14.6

THE GAP FILLING MISSION
STATUS OF
EXPANSION OF SCOPE & EXTENT
OF CURRENT SERVICES

NO. OF STATES WITH GOALS IN THIS AREA	24
NO. OF FY 1978 OBJECTIVES REPORTED	180
NO. OF FY 1978 ACTIVITIES REPORTED	178

- ACTIVITIES 178 (20% OF 872 ACTIVITIES REPORTED)

RESPONSIBILITY

COUNCIL	31 (17%)
OTHER AGENCY	147 (83%)

TYPES OF ACTIVITIES

PLANNING/EVALUATION	14 (8%)
SERVICE PROVISION	160 (90%)
SYSTEMS IMPROVEMENT	4 (2%)

- re COSTS (160 ACTIVITIES)

TOTAL	\$2',611,449
% OF ALL COSTS REPORTED	11%
% ODSA FUNDS	72%
AVE. ACTIVITY COST	\$16,321

- MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:1.04

THE GAP FILLING MISSION
STATUS OF
DEMONSTRATION OF NEW TECHNIQUES

NO. OF STATES WITH GOALS IN THIS AREA	15
NO. OF FY 1978 OBJECTIVES REPORTED	35
NO. OF FY 1978 ACTIVITIES REPORTED	29

» ACTIVITIES 29 (3% OF 872 ACTIVITIES REPORTED)

RESPONSIBILITY

COUNCIL 9 (31%)

OTHER AGENCY 20 (69%)

•• TYPES OF ACTIVITIES

PLANNING/EVALUATION 3 (10%)

SERVICE PROVISION 17 (59%)

SYSTEMS IMPROVEMENT 9 (31%)

COSTS (28 ACTIVITIES)

TOTAL \$1,593,679

% OF ALL COSTS REPORTED 7%

% DDSA FUNDS 80%

AVE. ACTIVITY COST \$56,917

* MINIMUM FORMULA GRANT PROGRAM EXPANSION RATIO: 1:0.94