

ACF

**Administration
for Children
and Families**

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration on Developmental Disabilities**

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Disabilities

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Performance Report

5. Basic State Grant

6. Annual

7. New Format

PROGRAM INSTRUCTION

TO : Executive Directors, State Planning Councils
Chairpersons, State Planning Councils

SUBJECT : Developmental Disabilities Basic State Grant
Annual Program Performance Report (PPR)
Instructions and Reporting Format.

LEGAL AND
RELATED
REFERENCES : Developmental Disabilities Assistance and Bill
of Rights Act of 1990 (42 USC 6000, et seq.),
Public Law 101-496.

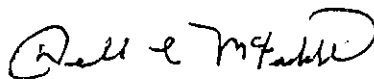
CONTENT : Section 107(a) of the Developmental Disabilities
Assistance and Bill of Rights Act of 1990
(42 USC 6000, et seq.), Public Law 101-496,
requires that, by January 1 of each year, each
State Planning Council prepare and transmit a
report concerning activities carried out during
the preceding fiscal year. Attached are the
format and instructions which States are to
follow in preparing their annual Program
Performance Reports.

INSTRUCTION : The Program Performance Report (PPR) covers
activities under Part B during the Federal
fiscal year, October 1 through September 30 (the
reporting period). Following the end of the
reporting period, two copies of the PPR are to
be submitted to the appropriate Regional Office
by January 1. The attached format and
instructions are to be used for reporting all
fiscal years starting with fiscal year 1992.

ATTACHMENT : Developmental Disabilities Basic State Grant
Program Performance Report Instructions and
Reporting Format -- OMB #0980-0172 (Expiration
Date 1/31/94).

EFFECTIVE DATE: The attached format and instructions are to be used for reporting all fiscal years starting with fiscal year 1992.

INQUIRIES TO : Regional Administrators, Administration for Children and Families, Regions I-X.



Deborah L. McFadden
Commissioner
Administration on
Developmental Disabilities

cc: Regional Administrators, Regions I-X
Asst. Regional Administrators, OFSS Regions I - X
Executive Director, National Association of
Developmental Disabilities Councils

ANNUAL PROGRAM PERFORMANCE REPORT

Developmental Disabilities Basic State Grant Program
Developmental Disabilities Assistance and Bill of Rights Act of 1990, Part B
Federal Assistance for Planning Priority Area Activities
for Persons with Developmental Disabilities

INTRODUCTION

Section 107 of The Developmental Disabilities Assistance and Bill of Rights Act of 1990 requires the State Planning Council of each State to prepare and transmit to the Secretary, Department of Health and Human Services an annual report. The report is to describe the activities and resultant accomplishments carried out with Part B funds received for the federal fiscal year, and the general situation in the State for persons with developmental disabilities.

This Program Performance Report (PPR) format is suggested by the Department for the annual report. The information, is required to provide data to be used by the Administration on Developmental Disabilities (ADD) in the preparation of the Annual Report to the President, the Congress, and the National Council on Disability.

The Basic State Grant PPR format includes the following information for a Federal fiscal year beginning October 1 and ending the next September 30, and shall be due to the Regional Office (two copies), by January 1st of the succeeding year:

- I. Identifying data.
- II. Lists of descriptions of objectives, innovative activities, and resultant accomplishments.
- III. A reporting of the uses of federal funds under Part B.
- IV. Descriptions of the State Planning Council's response to the most significant State actions taken on Intermediate Care Facilities for the Mentally Retarded (ICFs/MR).
- V. Descriptions of the improvements in the State in independence, productivity, and integration into the community for persons with developmental disabilities, progress in improving access to services for unserved and underserved persons with developmental disabilities, and progress and trends in the State in setting priorities, in policy reform, in advocacy, and in other actions for and with persons with developmental disabilities.

Please carefully read and understand all of the instructions before using the reporting form.

Public reporting burden for this collection of information is estimated to average 88 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to:

Commissioner
Administration on Developmental Disabilities
Room 329-D (OMB Clearance)
Hubert H. Humphrey Building
200 Independence Avenue, S.W.
Washington, D.C. 20201; and

Office of Management and Budget
Paperwork Reduction Project (OMB 0980-0172)
Washington, D.C. 20503

I. IDENTIFICATION DATA

Special Instructions: To ensure accuracy, please read any special instructions there may be before preparing each section of this report.

1. State/Territory Name:

2. Federal Fiscal Year Reporting: (Oct.1 to Sept.30)

(e.g., 1992 for the period beginning October 1, 1991 and ending September 30, 1992)

3. State/Territory Planning Council

Official Name: _____

Address: _____

4. Designated State Agency

☐ Check here if redesignated since last Annual Report.

Agency Name: _____

Address: _____

5.

☐ Check if Designated Agency Provides Direct Services.
(or if it includes a subunit that does)

6.

Name of Preparer:

Telephone Number:

(person most knowledgeable about the contents and preparation of report) (please include area code)

II-A. REPORTING YEAR OBJECTIVES -- SPECIAL INSTRUCTIONS

Format is on next page.

Put the objectives in order by goal and priority area, including only objectives for which there was activity (beyond just letting of a contract).

It is anticipated that more than one objective will be reported.

For each objective, provide no more than two pages, preferably on one piece of paper front and back, with this information on the first page (front):

1. Name and short description of objective.
2. Goal corresponding to this objective
[a goal should be a broad and fairly unchanging from year to year general direction for the State program]

[one or more narrower, more specific, and periodically changing and measurable (ie., achievable) objectives should correspond to each goal]
3. Extent to which objective has been met. If totally met, simply check box. If reporting progress on a multiyear objective, provide the year that the objective is expected to be met.
4. Federal + State expenditures for this objective (i.e., sum of expenditures for all activities to achieve the objective; do not break out by activity).
5. List the Priority Areas for any Priority Area Activities associated with this objective.
6. Check all classes of activities, in the categories listed, that were pursued for meeting the objective.

On the other page (or other side of the page), summarize the major activities and outcomes (don't list every one, but summarize) for this objective (300 words maximum). Include in the summary not only what the activities were, but also the intended purpose. Do not report what was planned but rather what actually took place. For multi-year activities, report what actually took place this year, but also provide background information on progress in former years and where the activities are going in future years. Do not duplicate the description of any accomplishments that have resulted or are expected to result from these activities, but do cross reference. Describe the genesis of any activities that responded to emerging issues.

II-A. REPORTING YEAR OBJECTIVES

List current year objectives from the State Plan ordered by goal and priority area.
For each objective, provide this information:

1. Name and description of objective:

2. Goal corresponding to this objective:

3. Extent to which objective has been met: / _ / (check if totally met)

4. Federal + State expenditures for this objective:

5. Priority Area Activities under this objective (if any):

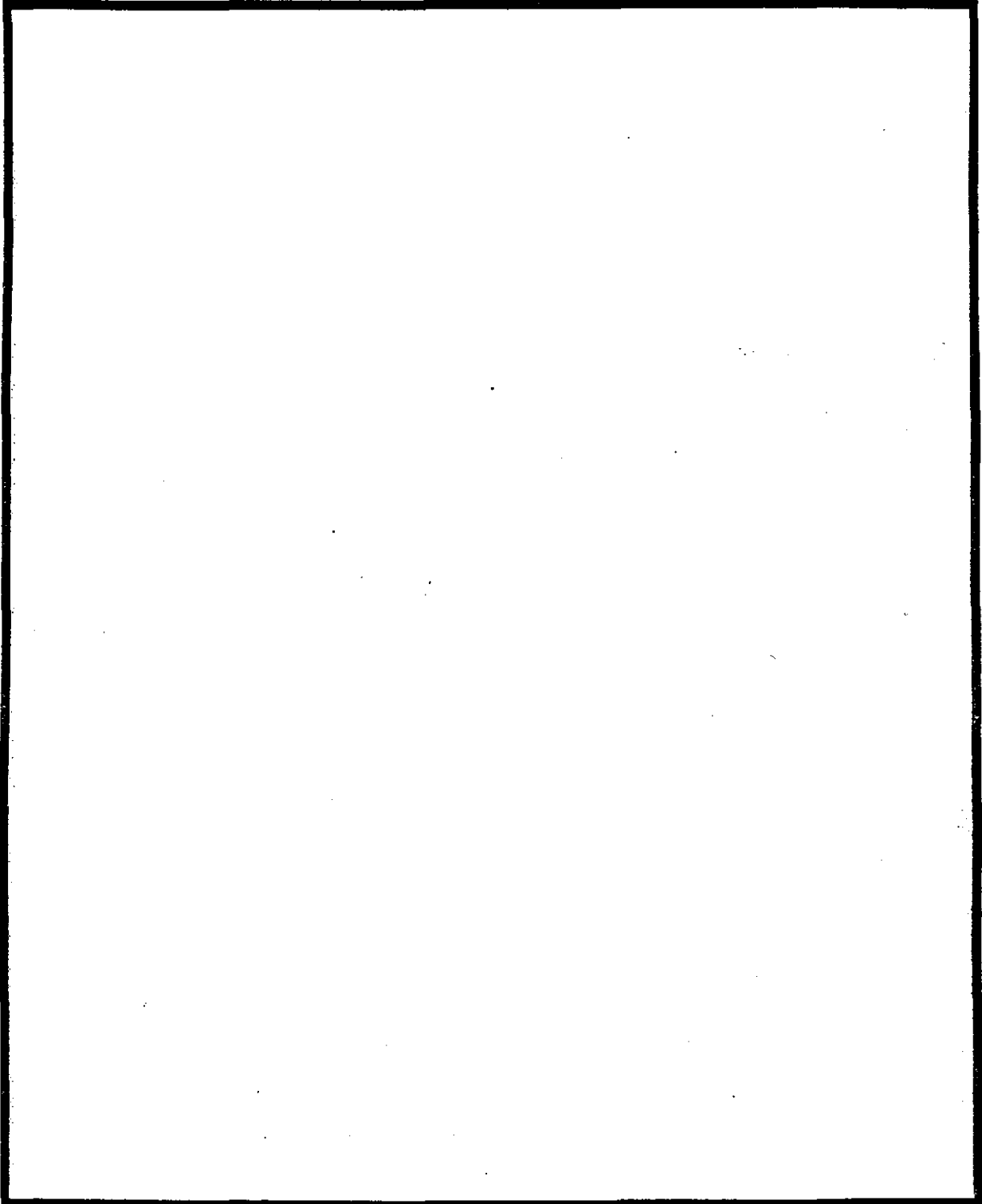
6. Check all classes of activities below that were pursued for meeting the objective:

- ☐ a. Activity to increase capacities and resources of entities for improved service delivery to persons with developmental disabilities.
- ☐ b. Study or analysis.
- ☐ c. Gathering information.
- ☐ d. Demonstration project.
- ☐ e. Outreach activity.
- ☐ f. Development of model policies and procedures.
- ☐ g. Presentation (formal or informal) to policy makers.
- ☐ h. Training for access to or for provision of service.
- ☐ i. Other similar activity to prevent developmental disabilities or to increase independence, productivity, and integration.
- ☐ j. State Plan development.
- ☐ k. Activity addressing the implementation of 1990 Report findings. If activity is also a priority area, then please check both.
- ☐ l. Coordinating activity, other than above.
- ☐ m. Advocacy activity other than above (commenting on other State plans, State ICF/MR actions, unserved/underserved, other).

7. Summarize the activities for this objective on back of page (300 words maximum).

II-B. REPORTING YEAR INNOVATIVE ACTIVITIES

List and describe one or two activities that are considered innovative in the State.
For each activity, provide a description (300 words maximum per innovative activity):

A large, empty rectangular box with a thick black border, intended for the user to provide descriptions of innovative activities. The box occupies the majority of the lower half of the page.

II-C. REPORTING YEAR ACCOMPLISHMENTS -- SPECIAL INSTRUCTIONS

Format is on next page.

Accomplishments are not the same as immediate outcomes of activities, but rather are improvements in independence, productivity, or integration into the community for persons with developmental disabilities, that are the result of activities of the Planning Council generally in previous years, but sometimes also including activities in the reporting year. Accomplishments may include new services developed, better coordinated services, expanded services, modifications of current services such as through new policies or agency emphasis, legislation, consumer empowerment, the leveraging or redirecting of resources, better community inclusion, and documented changes in social attitudes. With regard to naming specific persons, such as policy makers, it is permissible to refer to them categorically rather than by name.

For this section list only the **most major accomplishments** of the State Planning Council that were realized during the reporting year **in order of importance** to persons with developmental disabilities in the State. Do not report every accomplishment of the Council, but rather the most significant and the most novel or unexpected. The main emphasis is positive effect on the lives of persons with developmental disabilities with respect to their independence, productivity, and community integration.

For each accomplishment provide the six items of information requested in the format within the space of two pages or one page front and back, including the following points:

- Item #2: Be specific on how this accomplishment benefits persons with developmental disabilities. Break out the description into separate parts by each of the three desired outcomes (increased independence, increased productivity, and increased integration) that are applicable. In each outcome area, specify the outcome that will be realized and detail how the accomplishment will realize that desired outcome (e.g., Increased productivity: ...).
- Item #5: Report this element only if applicable. Otherwise, report "N/A." It is anticipated that this element will be reported by the Federal government only in aggregate nationally rather than by State, in order to show program impact nation-wide. Estimate the **annual** dollar volume of any services created, modified for better access, or increased in capacity by this accomplishment to better ensure the independence, productivity, or integration into the community for persons with developmental disabilities. The dollar volume reported need not be based on extensive research, but should be a general estimate of the **annual** direct plus indirect expenditures expected to be reached, independent of Planning Council support (free standing), within the growth of the next five years. Include only the dollar volume of the services created or modified, or of the increase in capacity. Do not include the total dollar volume of all services provided by an effected agency, but only of the effected services themselves.

There should not be two accomplishments both reporting the same service capacity increase. If such a situation appears, the two accomplishments should be combined as one accomplishment the result of more than one activity.

II-C. REPORTING YEAR ACCOMPLISHMENTS

List the most major accomplishments for this year in order of importance to persons with developmental disabilities in the State or territory for their Independence, Productivity, and Integration into the community.

For each accomplishment, provide this information (two page limit per accomplishment):

1. Accomplishment Title/Abstract:

2. For each of the desired outcomes (increased Independence, Productivity, or Integration) report if this accomplishment will realize that outcome and describe specifically how it will:

Use back if necessary.

3. Show relationship with Goals, Objectives, and Activities in State Plan
[DD Act, Sec.122(b)(2)(A)]:

Use back or additional sheet if necessary.

4. List activities (reporting year's & other years') that contributed to the accomplishment.
Describe how they contributed.

Use back or additional sheet if necessary.

5. Estimated dollar volume of services created or modified or an expansion as a consequence of activities under this program. (as applicable)
6. Provide description of accomplishment (200 words maximum) on back or on second page.

II-D. PROJECTED ACCOMPLISHMENTS (OPTIONAL) -- SPECIAL INSTRUCTIONS

Format is on next page.

This optional section provides the State Planning Council the opportunity to mention accomplishments, if they wish, that are expected somewhat later, due to current and past year activities, but have not quite yet come to fruition. Again, list only the **most major accomplishments**. Accomplishments could be due to Planning Council activities such as demonstration projects that have not yet been completed, and training activities and presentations to policy makers with future benefits expected. List in an order that weighs both importance and certainty that the future accomplishment will be realized.

Include in the description an estimate of expected year of accomplishment, and what further activities are needed, if any. Limit to one page per accomplishment.

II-D. PROJECTED ACCOMPLISHMENTS (OPTIONAL)

List the most major accomplishments expected in later years based on activities of the reporting year, such as demonstration projects, training, and presentations to policy makers. List them in order of certainty of accomplishment and importance to persons with developmental disabilities in the State or territory for their Independence, Productivity, and Integration into the community.

For each expected accomplishment, provide this information (one page limit per accomplishment):

1. Accomplishment Title/Description:

2. For each of the desired outcomes (increased Independence, Productivity, or Integration) report if this accomplishment will realize that outcome and describe specifically how it will:

III. REPORTING YEAR EXPENDITURES

Provide reporting year federal expenditures. This may include Federal expenditures of funds awarded in previous fiscal years. Total Section A expenditures must equal total Section B expenditures and will not equal the reporting year's total allotment. Also, section A, Item 2 equals or exceeds section B, Item 7.

A. Type of Recipient

| | <u>FEDERAL FUNDS EXPENDED</u> |
|---|-----------------------------------|
| 1. State Planning Council | \$ _____ |
| 2. Designated State Agency. | _____ |
| 3. Other State Agencies | _____ |
| 4. Protection and Advocacy Systems. | _____ |
| 5. University Affiliated Programs | _____ |
| 6. Non-Profit Private Agencies. | _____ |
| 7. Others | _____ |
| Total Federal Expenditures | \$ _____ |

B. Cost Category

| | <u>FEDERAL FUNDS EXPENDED</u> |
|---|-----------------------------------|
| 1. <u>Federal Priority Area</u> | |
| a. Employment | \$ _____ |
| b. System Coordination / Community Education | _____ |
| c. Child Development. | _____ |
| d. Community Living | _____ |
| 2. <u>State Priority Area</u> | |
| (Specify) _____ | _____ |
| 3. <u>Analyses in Section 122(b)(5)(B)(i-vii).</u> | _____ |
| 4. <u>1990 Rep't Activities (other than in priority areas)</u> | _____ |
| 5. <u>Planning, Coordinating & Administration of Priority Areas</u> | _____ |
| 6. <u>Advocacy (other than priority areas)</u> | _____ |
| 7. <u>Functions of Designated State Agency</u> | _____ |
| Total Federal Expenditures | \$ _____ |

IV. STATE ACTIONS ON ICFs/MR

List the most significant actions the State took with respect to Intermediate Care Facilities for the Mentally Retarded (ICFs/MR), based on the following, and describe the Planning Council's response (500 words maximum total of the following three categories). Cross reference Section II if appropriate.

1. Based on Annual Survey Reports prepared pursuant to the Social Security Act, Section 1902(a)(31)(C):

Use back of page if necessary.

2. Based on correction and reduction plans prepared pursuant to the Social Security Act, Section 1922:

Use back of page if necessary.

3. Significant actions other than the above:

Use back of page if necessary.

V. REPORTING YEAR STATE PICTURE -- SPECIAL INSTRUCTIONS

Special instructions/formats for six sections follow this.

In these sections, there are basically three separate areas to be reported:

in Section V-A.

report how independence, productivity, and integration into the community (the ends for our program) have improved overall during the course of the reporting year, for persons with developmental disabilities in the State (these ends may correspond to combinations of the means reported in Sections V-C to V-F described below);

in Section V-B.

report actual actions taken, by either the State or by other groups, in the reporting year, to improve access to and services for specifically identified groups, including minorities, who are unserved or underserved in the State; and

in Sections V-C. to V-F.

report the course of general overall trends (and progress) in the State, during the reporting year, in the operational efforts (the means)(e.g., priorities, policies, advocacy activities, and any other actions for and with persons with developmental disabilities, with the ultimate goal of improving independence, productivity, and integration). Particular emphasis is placed in Sections V-C. to V-F. on trends for persons in subgroups of unserved or underserved, including minorities. Note that each of these means contribute in part to the ends described above for Section V-A.

In all of these sections, please cross reference Section II where activities and accomplishments of the Planning Council are involved.

V-A. REPORTING YEAR INDEPENDENCE, PRODUCTIVITY, AND INTEGRATION
-- SPECIAL INSTRUCTIONS

Format is on next page.

Identify positive and negative trends in the State, during the reporting year, on how life for persons with developmental disabilities in the State has improved or deteriorated (ends oriented reporting), and the extent to which it has. For each positive trend, identify what the State needs to do to further the trend. For each negative trend where conditions have worsened, identify what is needed to turn the negative trend around. These may include trends that were promoted by the Council, as well as those with some other genesis.

Organize by IPI Goal: Independence, Productivity, and Integration, as defined in the Developmental Disabilities Act. Also synthesize any end results by IPI of the means oriented State trends reported in Sections V-C to V-F.

Two pages maximum. Use extra page or back if necessary.

V-A. REPORTING YEAR INDEPENDENCE, PRODUCTIVITY, AND INTEGRATION

Describe how independence, productivity, and integration into the community (the ends for our program) have improved overall during the course of the reporting year, for persons with developmental disabilities in the State, and what is needed for further improvement (500 words maximum, use extra page or back if necessary). Cross reference Section II if appropriate, rather than repeating descriptions.

Use back of page or additional pages if necessary.

V-B. REPORTING YEAR ACTIONS FOR UNSERVED/UNDERSERVED

List unserved and underserved groups, including minorities, identified by the State Planning Council. For each group, provide the following information (limit to one page maximum):

1. Describe the unserved/underserved group (75 words maximum):

2. Summarize actions, including advocacy, taken by the State, the Planning Council, or by other groups to improve access to and services for this unserved/underserved group (300 words maximum):

**V-B. REPORTING YEAR ACTIONS FOR UNSERVED/UNDERSERVED
-- SPECIAL INSTRUCTIONS**

Format is on next page.

This is a two part section. For each minority or group identified, limit the provided text to one page for the combined two parts of this section.

First, list and describe all minorities or other groups of persons with developmental disabilities who have been identified by the Planning Council as being unserved or underserved. Describe why and the extent to which they are unserved or underserved.

Next, for each of the above described unserved/underserved groups, describe actions during the reporting year, including advocacy, taken by any organization (e.g., a State agency, the Legislature, the Planning Council, the Developmental Disabilities Protection and Advocacy system, the Developmental Disabilities University Affiliated Program, organizations advocating for specific groups, and other advocacy and service organizations) to improve access to and services for persons with developmental disabilities who are members of that group.

Cross reference Section II for activities of the Planning Council.

V-C. REPORTING YEAR PRIORITIES IN STATE

Describe progress made by and identifiable trends in the State in the setting of priorities for persons with developmental disabilities, particularly unserved and underserved groups, including subgroups such as minorities (500 word maximum, use back of page or additional page if necessary).

Minimally report on resource and funding priorities as regards institutionalization versus community living and family support, resources for effective and quality case management and system coordination/community education, support for minorities and other subgroups that are unserved or underserved, AIDS issues, participation in Federal programs such as Medicaid, and pediatric and aging issues. Where the Planning Council had a role, cross reference Section II.

**V-B. REPORTING YEAR ACTIONS FOR UNSERVED/UNDERSERVED
-- SPECIAL INSTRUCTIONS**

Format is on next page.

This is a two part section. For each minority or group identified, limit the provided text to one page for the combined two parts of this section.

First, list and describe all minorities or other groups of persons with developmental disabilities who have been identified by the Planning Council as being unserved or underserved. Describe why and the extent to which they are unserved or underserved.

Next, for each of the above described unserved/underserved groups, describe actions during the reporting year, including advocacy, taken by any organization (e.g., a State agency, the Legislature, the Planning Council, the Developmental Disabilities Protection and Advocacy system, the Developmental Disabilities University Affiliated Program, organizations advocating for specific groups, and other advocacy and service organizations) to improve access to and services for persons with developmental disabilities who are members of that group.

Cross reference Section II for activities of the Planning Council.

V-C. REPORTING YEAR PRIORITIES IN STATE

Describe progress made by and identifiable trends in the State in the setting of priorities for persons with developmental disabilities, particularly unserved and underserved groups, including subgroups such as minorities (500 word maximum, use back of page or additional page if necessary).

Minimally report on resource and funding priorities as regards institutionalization versus community living and family support, resources for effective and quality case management and system coordination/community education, support for minorities and other subgroups that are unserved or underserved, AIDS issues, participation in Federal programs such as Medicaid, and pediatric and aging issues. Where the Planning Council had a role, cross reference Section II.

A large empty rectangular box with a black border, intended for the user to provide details on reporting year priorities in the state. The box occupies the lower two-thirds of the page.

V-D. REPORTING YEAR POLICY REFORM IN STATE

Describe progress made by and identifiable trends in the State in policy reform concerning persons with developmental disabilities, particularly unserved and underserved groups, including subgroups such as minorities (500 word maximum, use back of page or additional page if necessary).

Report on policy reform to remove policy and institutional barriers to services. Report on cooperative agreements between agencies and organizations for improved delivery of more effective services. Where the Planning Council had a role, cross reference Section II.

V-E. REPORTING YEAR ADVOCACY IN STATE

Describe progress made by and identifiable trends in the State in advocacy for persons with developmental disabilities, particularly unserved and underserved groups, including subgroups such as minorities (500 word maximum, use back of page or additional page if necessary).

Report on advocacy resources within the State (minority organizations, disability organizations, etc.) that promote better services and access to services for persons with developmental disabilities. Report on cooperative efforts between such resources. Report the role and directions of auto-advocacy in the State. Where the Planning Council had a role, cross reference Section II.

V-F. REPORTING YEAR OTHER ACTIONS IN STATE

Describe progress made by and identifiable trends in the State in other actions on behalf of and with persons with developmental disabilities, particularly unserved and underserved groups, including subgroups such as minorities (500 word maximum, use back of page or additional page if necessary)(any other trends not reported earlier, such as conferences and training opportunities, etc.). Where the Planning Council had a role, cross reference Section II. Where the Planning Council had a role, cross reference Section II. Where the Planning Council had a role, cross reference Section II.

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