



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

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INFORMATION MEMORANDUM

TO : Directors, State Administering Agencies
Directors, State Planning Councils

SUBJECT : Fiscal Year 1987-1989 Three Year State Plans
for the Basic State Grant Program

LEGAL AND
RELATED
REFERENCES : Developmental Disabilities Assistance and Bill
of Rights Act of 1984, Public Law 98-527 45 CFR
Part 1386, Developmental Disabilities Program,
Final Rules

INFORMATION : Three Year State Plans for the Developmental
Disabilities Basic State Grant Program must be
submitted to the appropriate Regional Office by
August 15, 1986. State plans must comply with
the requirements of the Developmental
Disabilities Assistance and Bill of Rights Act,
as amended, and the regulations governing the
Three Year State Plan.

To assist you in this process, I have attached
a set of optional State plan guidelines. They
are essentially the same as those issued for
the previous three year State plan cycle,
except they have been updated to reflect the
changes mandated by Public Law 98-527.

Whether you choose to use these guidelines or
another format in developing your State plan,
please feel free to contact your appropriate
Regional Office for assistance in developing a
plan that fully meets all of the requirements
of the Act.

ATTACHMENT : Optional Three Year State Plan Guidelines

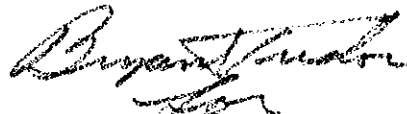
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EFFECTIVE

DATE : The Plan should be submitted by August 15, 1986.

INQUIRES

TO : ADD Regional Program Directors



Jean K. Elder, Ph.D.
Commissioner
Administration on Developmental
Disabilities

cc: Regional Administrators
Regions III, VI, VII, and IX
Regional Directors, Office of Fiscal
Operations, Regions III, VI, VII, and IX

DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF HUMAN DEVELOPMENT SERVICES
ADMINISTRATION ON DEVELOPMENTAL DISABILITIES
WASHINGTON, D.C. 20201

THREE YEAR STATE PLAN GUIDELINES
FOR DEVELOPMENTAL DISABILITIES
TITLE V OF P.L. 98-527

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I. Introduction

THREE YEAR STATE PLAN GUIDELINES FOR TITLE I PROGRAMS FOR PERSONS WITH DEVELOPMENTAL DISABILITIES

P.L. 98-527

October 18, 1984

The Act requires that any State desiring to take advantage of Part B of the Act must submit a three-year State Plan. The approved State Plan is the basis upon which a State will participate in programs under Part B of Title I of the Act.

The three-year State Plan constitutes a State's presentation of its basic assurances, planning outcomes and service goals, and key activities for the year. The State Plan is the primary basis upon which ADD will monitor States' performance with respect to these assurances and other requirements.

ADD's monitoring will, of course, focus on the designated State Agency's implementation of the three-year State Plan, including compliance with the plan and its use in planning, operations, and service delivery.

This three-year plan for developmental disabilities will be effective October 1, 1986, covering fiscal years 1987, 1988 and 1989. The State Plan must be submitted to the Regional Office no later than August 15, 1986. This six week period gives the Regional Office staff time to review and negotiate any needed changes to the Plan.

These guidelines have been developed to assist the States in the development and submission of an approvable State Plan. The format can be used at the option of the State. Should a State decide to develop its own format, the Plan must contain, at a minimum, the information and assurances contained in these guidelines.

PURPOSES
OF THE
DEVELOPMENTAL DISABILITIES
STATE PLAN

THE STATE PLAN ON DEVELOPMENTAL DISABILITIES IS DEVELOPED IN ORDER TO:

- I. Meet the requirements set down by Congress in Public Law 98-527 dated October 19, 1984 that States wishing to participate in Part B of the Developmental Disabilities Act comply with provisions of the law and, therefore, represents a contract between the States and the Federal government for receipt of funds under the Act; and
- II. Advise citizens of each State about the Developmental Disabilities Basic State Grant Program, its goals, objectives, procedures, etc., to enable them to participate in the planning process and to be knowledgeable about the manner in which the Developmental Disabilities Basic State Grant Program, its goals, objectives, procedures, etc., to enable them to participate in the planning process and to be knowledgeable about the manner in which the Developmental Disabilities Program operates in each State; and
- III. Provide the Administration on Developmental Disabilities and the Secretary of Health and Human Services with reliable, useful information upon which to base current and future national policy regarding the Basic State Grant Program and the needs of people with developmental disabilities.

DEVELOPMENTAL DISABILITIES
STATE PLAN REQUIREMENTS
FOR THE THREE YEAR PLAN

The following is a description of the required information for the three year plan as mandated in Section 122 of P.L. 98-527. The reference for the information required in Section 122 of P.L. 98-527 is presented in the left-hand column. A description of the required information for the three year plan is contained in the right hand column.

PUBLIC LAW
98-527
Section 122(b)

REQUIRED INFORMATION

-
- | | |
|-------------|---|
| (1) (A) | ...provide for the establishment of a State Planning Council, in accordance with Section 124 State Planning Councils |
| (1) (A) | ...provide for the assignment to the Council of personnel in such numbers and with such qualifications as the Secretary determines to be adequate...and for the identification of the personnel so assigned. |
| (1) (B) | ...designate the State agency or agencies which shall administer or supervise the administration of the State Plan. |
| (1) (C) | ...provide that each State agency designated under subparagraph(B) will make such reports...as the Secretary may from time to time reasonably require... |
| (1) (D) | ...provide for such fiscal control and fund accounting procedures as may be necessary to assure the proper disbursement of and accounting for funds... |
| (2) (A)+(B) | ...set out the specific objectives to be achieved under the plan and a listing of programs and resources to be used, including the non-Federal share of funds required to carry out each objective and Program. |

(2) (C) (i)

...describe the extent and scope of services being provided, or to be provided, to persons with developmental disabilities under such other State plans for Federally-assisted State programs as the State conducts relating to:

- education for the handicapped,
- vocational rehabilitation,
- public assistance,
- medical assistance,
- social services
- maternal and child health,
- crippled children's services,
- comprehensive health and mental health, and
- under such other plans as the Secretary may specify...

(2) (C) (ii)

...describe how funds allotted to the State... will be used to complement and augment rather than duplicate or replace services for persons with developmental disabilities which are eligible for Federal assistance under other State programs...

(2) (D)

...assess and describe (for each fiscal year) the extent and scope of the priority services...being or to be provided under the plan in the fiscal year...

(2) (E)

...establish a method for the periodic evaluation of the plan's effectiveness in meeting the objectives...

3(A)

...contain or assure that funds paid to the State under Section 125 will be used to make a significant contribution toward strengthening services for persons with developmental disabilities through agencies in the various political subdivisions of the State...

3(B)

...contain or assure that part of such funds will be available...to public or nonprofit private entities...

3(C)

...Contain or assure that not more than 25% of such funds allocated to the State will be allotted to the agency or agencies designated under Section 122(b)(1) (B) for the provision of services by such agency or agencies...

(3) (D)

...contain or assure that such funds paid to the State under Section 125 will be used to supplement and to increase the level of funds that would otherwise be made available for the purposes for which Federal funds are provided and not to supplant such non-Federal funds...

(3) (E)

...contain or assure that there will be reasonable State financial participation in the cost of carrying out the State plan...

(4) (A)

...provide for the examination not less often than once every three years of the provision, and the need for provision, in the State of the four different areas of priority services...

(4) (B)

...provide for the development...and the timely review and revision of a comprehensive statewide plan to:

- 1) plan (for),
- 2) financially support,
- 3) coordinate, and
- 4) otherwise better address... unmet needs in the State for the provision of at least one but not more than three areas of priority services, such area or areas to be specified in the plan, one of which must be employment related activities.

(4) (D)

Provide for the development of the Plan after consideration of the data collected by the State Education Agency under Sec. 618 (b) (3) of the Education of the Handicapped Act.

(4)(E)(i)

...Provide that not less than 65% of the amount available to the State Under Section 125 will be expended for service activities in the priority Services. (a limited number of States are permitted to apply for a waiver from the Commissioner to provide an additional area of service...)

(4)(E)(ii)

...Provide that the remainder of the amount available to the State from allotments under Section 125 (after making the expenditures required in Section 122(b)(4)(E)(i) which requires that not less than 65 percent of the amount available to the State under Section 125 will be expended for service activities in the priority services) shall be used for service activities for persons with developmental disabilities and the planning, coordination and administration of and advocacy for, provision of such services...

(4)(F)

...provide that special financial and technical assistance shall be given to agencies or entities providing service for persons with developmental disabilities who are residents of geographic areas designated as urban or rural poverty areas...

(5)(A)(i)

...provide that services furnished, and the facilities in which they are furnished, under the plan...will be in accordance with standards prescribed by the Secretary in regulations...

(5)(A)(ii)

...provide satisfactory assurances that buildings used in the connection with the delivery of services assisted under the plan will meet standards adopted pursuant to the Architectural Barriers Act of 1968...

(5)(B)

...provide that services are provided in an individualized manner consistent with the requirements of Section 123 (relating to habilitation plans)...

(5) (C)

...contain or assure...that the human rights of all persons with developmental disabilities...who are receiving treatment, services, or habilitation under programs assisted under this title will be protected consistent with Section 110 (relating to the rights of persons with developmental disabilities)...

(5) (D)

...provide assurances that the State has undertaken affirmative steps to assure the participation in programs under this title of individuals generally representative of the population of the State, with particular attention to the participation of members of minority groups...

(5) (E)

...provide assurances that the State will provide the State Planning Council with a copy of each annual Survey report and plan of corrections for cited deficiencies prepared pursuant to Section 1902(a) (3) (B) of the Social Security Act with respect to any intermediate care facility for the mentally retarded in such State with thirty days after completion of such report or plan...

(6) (A)

...provide for the maximum utilization of all available resources..., including volunteers and appropriate voluntary organizations...

(6) (B) *

...provide for fair and equitable arrangements (as determined by the Secretary after consultation with the Secretary of Labor) to protect the interest of all institutional employees affected by actions under the plan to provide alternative community living arrangements. Specific arrangements for the protection of affected employees must be developed through negotiations between the appropriate State authorities and employees or their representatives.

Fair and equitable arrangements must include procedures that provide for the impartial resolution of disputes between the State and an employee concerning the interpretation, and enforcement of protection agreements. The State must inform employees of the State's decision to provide alternative community living arrangements. "To the maximum extent practicable, fair and equitable arrangements must include provision for:

- (1) The Preservation of rights and benefits;
- (2) Employee Training and retraining programs; and
- (3) Maximum efforts to guarantee employment to employees affected by action under the plan to provide alternative community living arrangements.

* Additional requirements are found in 45 Code of Federal Regulations (C.F.R. (1386.33).

ADDITIONAL INFORMATION AND ASSURANCES
REQUIRED BY SECRETARY

- (7) ...contain such additional information and assurances as the Secretary may find necessary to carry out the provisions and purposes of this part...

DEVELOPMENTAL DISABILITIES

THREE YEAR STATE PLAN

(Optional Guidelines)

Fiscal Year

State of

Submitted by:

The State Planning Council for
Developmental Disabilities

This State Plan is a joint endeavor of the State
Planning Council and the State Administering
Agency(ies) for Developmental Disabilities

Chairperson
State Planning Council for
Developmental Disabilities

Director
Designated State Agency(ies)

Submitted: _____

SECTION 1

(INSTRUCTIONS: The remainder of this document provides the suggested format for the Developmental Disabilities State Plan. The format consists of a series of sections, paragraphs, and sub-paragraphs.)

SECTION 1: DEVELOPMENTAL DISABILITIES: Definition and Impact

1.1 What are Developmental Disabilities?

Developmental Disabilities are severe, chronic mental and/or physical impairments which occur at an early age, are likely to continue indefinitely, and have a pervasive effect on an individuals' functional abilities and need for services.

In Public Law 98-527, the Developmental Disabilities Act of 1984 Congress stated its findings as follows:

- (1) there are more than two million persons with developmental disabilities in the United States;
- (2) individuals with disabilities occurring during their developmental period are more vulnerable and less able to reach an independent level of existence than other handicapped individuals who generally have had a normal developmental period on which to draw during the rehabilitation process;
- (3) persons with developmental disabilities often require specialized lifelong services to be provided by many agencies in a coordinated manner in order to meet the persons' needs;
- (4) generic service agencies and agencies providing specialized services to disabled persons tend to overlook or exclude persons with developmental disabilities in their planning and delivery of services; and
- (5) it is in the national interest to strengthen specific programs, especially programs that reduce or eliminate the need for institutional care to meet the needs of persons with developmental disabilities. (Section 101(a)).

(Summarize opening section with a general statement of the philosophy of your State's program in addressing the needs of persons with developmental disabilities. Be careful not to pre-empt information requested in later sections in more detail.)

1.1.1 The Federal Definitions of "Developmental Disability"

Public Law 98-527, the Developmental Disabilities Act of 1984, defines a developmental disability as:

"a severe, chronic disability of a person which -

- (a) is attributable to a mental or physical impairment or combination of mental and physical impairments;
- (b) is manifested before the person attains age twenty-two;
- (c) is likely to continue indefinitely;

(d) results in substantial functional limitations in three or more of the following areas of major life activity:

- self care
- receptive and expressive language
- learning
- mobility
- self-direction
- capacity for independent living, and
- economic self-sufficiency; and

(e) reflects the person's need for a combination and sequence of special interdisciplinary, or generic care, treatment, or other services which are of lifelong or extended duration and are individually planned and coordinated."

1.1.2 (State's) Application of the Federal Definition

(Describe the way your State applies and/or operationalizes the Federal definition. You may include sections of your State DD law or executive order, if applicable; guidelines developed for direct service providers; other descriptive information, etc.)

1.2 How Many People have Developmental Disabilities?

(Provide the estimated prevalence of developmental disabilities in your state. State level prevalence rates may be extrapolated from national prevalence rates (provided by the Administration on Developmental Disabilities). Should you elect this option, prevalence rates for sub-State areas are not required.

or

You may elect to provide estimates based on State-generated data. If State data is available, figures for State and sub-State regions would be useful. If you select this option, you may wish to attach illustrative charts in Section 7.)

1.3 How do Developmental Disabilities Affect Individuals, Their Families, and Their Communities?

(Optional; Not required by law, rather suggested as an opportunity to enhance reader understanding and to set the tone for the plan.)

1.4 What is the "Developmental Disabilities Basic State Grant Program"?

The Developmental Disabilities Basic State Grant Program is a federally-assisted State program designed to assure "...that persons with developmental disabilities receive the care, treatment, and other services necessary to enable them to achieve their maximum potential through a system which coordinates, monitors, plans, and evaluates those services..." (Section 101 (b)(1)).

(Section 101 (b) (1)).

The specific purposes of the Basic Grant Program, as outlined in Section 101 (b) (2) of Public Law 98-527, are as follows:

- (A) to assist in the provision of comprehensive services to persons with developmental disabilities, with priority to those persons whose needs cannot be covered or otherwise met under the Education for All Handicapped Children Act, the Rehabilitation Act of 1973, or other health, education, or welfare programs;
- (B) to assist States in appropriate planning activities; and
- (C) to make grants to States and public and private Non-Profit agencies to establish model programs, to demonstrate innovative habilitation techniques, and to train professional and and para-professional personnel with respect to providing services to persons with developmental disabilities..."

The program works closely with the State Protection and Advocacy Agency "... to ensure the protection of the legal and human rights of persons with developmental disabilities." (Section 101(b)(1)). (Your State may wish to add information about relationships with the University Affiliated Facilities or to the Special Projects in this paragraph.)

SECTION 2: THE STATE PLANNING COUNCIL ON DEVELOPMENTAL DISABILITIES

2.1 What is the Council on Developmental Disabilities?

The State Council on Developmental Disabilities is a planning body composed of _____ members including persons with developmental disabilities; immediate relatives or guardians of persons with developmental disabilities; and representatives of the principal State agencies, higher education training facilities, local agencies, persons with developmental disabilities. At least 50 percent of the Council membership must consist of persons with developmental disabilities or parents or guardians of such persons. Of that 50 percent, one-third must be persons with developmental disabilities and another one-third must be immediate relatives or guardians of persons with mentally impairing developmental disabilities. At least one individual must be an immediate relative or guardian of an institutionalized person with a developmental disability.

Members are appointed by _____ for _____ year terms. (Elaborate on provisions for rotation of members and on any exceptions to the term-of-appointment, e.g., for agency representatives.)

(List mandated Council responsibilities, and discuss as desired for clarity, quoting from P.L. 98-527, the State empowerment [statute or Executive Orders], and other sources as appropriate.)

2.2 Who are the Council Members?

(Provide a list of Council of Members including names, titles (if representing an agency or organization) and addresses.

SUGGESTION: It may be helpful to the general public if Officers are identified and placed at the top of the Council Member List.)

OPTIONAL: More detailed information, including phone numbers and categories of membership, may be included in Section 7, if desired.

2.3 Who is the Council Staff?

The Council Staff is located within the (Department, Agency, etc.)

The Council staff implements the (planning, evaluation, advocacy, public awareness, etc)... activities of the Council.

(Provide a list of Council Staff persons including names and titles [descriptive of responsibilities] and provide the office address and telephone number.)

(List each title (or type of position) and provide the major responsibilities of each position.)

SECTION 3: THE ADMINISTERING AGENCY(IES) FOR THE DEVELOPMENTAL
DISABILITIES PROGRAM

3.1 What is/are the Designated State Administering Agency(ies)?

(Name the designated state agency(ies) and list its (their) responsibilities quoting from Federal and State empowerments. Elaborate as desired for public understanding.)

(OPTIONAL: If more than one agency is designated for administration of the plan, briefly delineate the separation of responsibilities.)

3.2 Who is the Administering Agency(ies) Staff?

(Provide a list of Administering Agency(ies) Staffpersons assigned to the Developmental Disabilities Program (i.e., the Administrative Program Unit Staff). Include names, titles, description of the responsibilities, and provide the office address and telephone number.)

SECTION 4: THE STATE CONTEXT

- 4.1 What is the environment in which the Developmental Disabilities Program operates in (state)?

(As an introduction to the paragraphs which follow, briefly discuss the types of environmental factors [economic, social, political, etc.] which affect decision-making in your State regarding persons with developmental disabilities.)

- 4.1.1 Issues and Concerns which Influence Services for People with Developmental Disabilities

(To provide a broad perspective, identify the major long range issues which the Council is addressing [e.g., Deinstitutionalization, Stability of Community Prevention Technologies, etc.]

Describe how political, economic, social and other factors influence [positively or negatively] the timing, outcome, etc. of decisions on these issues.)

- 4.1.2 The Scope of Services for Persons with Developmental Disabilities

(At a minimum, list the state agencies responsible for each of the federally-assisted programs named in Section 122 and summarize what you have learned about the strengths and weaknesses of services through those agencies for persons with developmental disabilities. Whenever possible, provide concise information [narrative and/or graphic] on the extent and scope of services available through these programs. Additional information from the Review of Federal/State programs may be included as an attachment in Section 7.)

SUGGESTION: Although most state agencies cannot provide utilization statistics on "persons with developmental disabilities," some valuable information can be gleaned from examination of eligibility criteria and types of services provided. "Extent and scope" refers to the "various types of services" and the "general availability of services" which can be discussed from a statewide perspective, irrespective of numerical information.)

OPTIONAL

- 4.1.3 Areas of Federal Emphasis

(Four "federal program requirements" are listed below. Each requirement must be addressed by the State DD Program and acknowledged in one of two ways in the State Plan—either by a program description or by an assurance.)

- o The program description should set forth any on-going activities or planned activities to address the area of special emphasis;

or

- o The assurance should simply be included in the signed document; however, the State DD Program should be prepared to document its activities in the event of a Federal audit.)
- A) Efforts to assist persons with developmental disabilities in urban and rural poverty areas. (or Assurance 6.12)
- B) Efforts to maximize utilization of volunteers. (or Assurance 6.14)
- C) Efforts to assure participation of individuals generally representative of the State population, with particular attention to the participation of members of minority groups. (or Assurance 6.13).

4.2 What are the State's Major Concerns During the Three-Year Plan Period?

(Given the long-range issues and environmental factors listed in paragraph 4.1, identify the State's major concerns over the next three years and state how and why these major concerns were chosen.

The "How" portion should briefly outline the planning process and identify opportunities for public input.

The "Why" portion should include any supporting data; e.g., survey results, public hearing summaries, client specific data, project data, special reports, etc.)

4.3 What are "Priority Service Areas"?

The Federal Developmental Disabilities Act requires each state to assess the service needs of all developmentally disabled citizens, with special emphasis on four service areas identified in the legislation as requiring special consideration. These four areas are listed and defined in paragraph 4.3.1.

The Act further requires each State Developmental Disabilities Program to commit at least 65% of the Federal allotment to "service activities" in at least one but not more than three of the Federal priority service areas. Beginning with FY 1987, "Employment Related Services" must be selected by each State as a priority service area.

The process and justification for selection of the State's priority service area(s) is provided in paragraph 4.3.2. The current priority service areas are named in paragraph 4.3.3.

4.3.1 The Federal Definitions of "Priority Service Areas" and the Elements of Those Services as Operationalized in (State).

- A. Case Management: Services which will assist persons with developmental disabilities in gaining access to needed social, medical, educational and other services; includes follow-along services which ensure a continuing relationship, lifelong if necessary, between a provider and a person with developmental disabilities and the person's immediate relatives or guardians; includes coordination services which provide support, access to and coordination of other services, information on programs and services and monitoring of progress. (Section 102(H)(i)(ii))

Elements of Case Management Services in (State):

- B. Child Development Services: Services which will assist in the prevention, identification, and alleviation of developmental disabilities in children, and includes early intervention, counseling and training of parents, early identification and diagnosis and evaluation. (Section 102(G))

Elements of Child Development Services in (State):

C. Alternative Community Living Arrangements Services:

Services which will assist persons with developmental disabilities in developing or maintaining suitable residential arrangements in the community, including in-house services (such as personal aides and attendants and other domestic assistance and supportive services,) family support services, foster care services, group living services, respite care, and staff training, placement, and maintenance services. (Section 102(D))

Elements of Alternative Community Living Arrangement Services
in (State):

- D. Employment Related Activities: Such services as will increase the independence, productivity, or integration of a person with developmental disabilities in work settings, including such services as employment preparation and vocational training leading to supported employment, incentive programs for employers to hire persons with developmental disabilities, services to assist transition from Special Education to employment, and services to assist transition from sheltered work settings to supported employment settings or competitive employment.

4.3.2 The Process by Which (State's) Priority Service Areas are Selected.

(Describe the process used to select your State Priority Service Area or areas.

- o Highlight input from "environmental issues and concerns" addressed in paragraph 4.1.1.
- o Highlight input from your review of the strengths and weaknesses of the DD service system agencies provided in paragraph 4.1.2.
- o Describe any additional opportunities for public input into the plan or for public review of the plan.)

4.3.3 (State's) Priority Service Areas

Through the process described in paragraph 4.3.2, (State) has selected the following priority service area(s) for special emphasis during the next three years: (Priority Service Areas must be reviewed annually. Each fiscal year, states must either reaffirm their past year's priority service area(s) or modify priority service areas and provide rationale for change in the Annual Plan Update.)

1) EMPLOYMENT

2) _____ (Optional)

3) _____ (Optional)

(Briefly describe the major factors influencing the selection of each named priority service area.)

(NOTE: If alternative Community Living Arrangement Services is selected, include your State's employee protection plan as an attachment, in Section 7.)

SECTION 5: GOALS, OBJECTIVE, AND FUNDING

5.1 What are the State's Plan Year Objectives?

(List the State's Goals [from major issues and trends presented in 4.1], Three-year Objectives [from major concerns presented in 4.2] and Plan Year Objectives [developed as sequential efforts to achieve three-year objectives]. Goals and three-year objectives should remain relatively constant during the three-year period covered by the plan. New plan year objectives should be developed, or old ones reaffirmed, each year and should be submitted as part of the "Annual Review of the Developmental Disabilities State Plan".)

(Complete Table 5-1 for each Plan Year Objective.)

5.2 What is the Developmental Disabilities Program's Projected Budget for FY 1987?

The Projected Expenditures for FY 1987 for the Developmental Disabilities Program are displayed in Table 5-2. The actual allotment and expenditures will be reported on the quarterly financial status report, on plan-year budget revisions, and at the close of the fiscal year as part of the "Annual Report."

(Complete Table 5-2 based on anticipated allotment and categories of expenditures for FY 1987. The budget should be revised each year and a new Table 5-2 submitted, based on projected expenditures for the next fiscal year, as part of the "Annual Review of the Developmental Disabilities State Plan.")

INSTRUCTIONS

TABLE 5-1: Plan Year Objectives

A separate Table 5-1 should be completed for each plan year objective. The table shows the relationship of the plan year objective to the broader concerns [represented by Goal and Three-Year Objective statements] which it is intended to address.

A well-written Plan Year Objective should be measurable and should clearly indicate what result is expected to occur by a given date. If the objective is to provide direct services, the objective should also state what audience [type and number] the result is expected to affect.

Procedure:

1. Enter the related Goal of the Council/Agency.
2. Enter the related Three-year Objective.
3. State the Plan Year Objective.
4. List anticipated activities to accomplish the Plan Year Objective.
5. List expected outcome(s) against which the activity can be evaluated.
6. Fill in the projected amount of fiscal resources to be directed toward meeting the objective, broken down by source of funds.
7. Identify the Priority Service Area the objective addresses, if appropriate, and check the "type" of service activity involved.
8. Name the sub-grantee or implementing agency (if known) or describe the type of subgrantee which will be sought to implement the objective.
9. If not already described in Section 4 or paragraph 5.1, provide a brief statement regarding the expected effects on the extent and scope of services for persons with developmental disabilities.

TABLE 5-1: PLAN YEAR OBJECTIVES

(Section 122(A))

1. GOAL _____

2. THREE-YEAR OBJECTIVE _____

3. PLAN YEAR OBJECTIVE _____

4. PLAN YEAR OBJECTIVE ACTIVITIES (List or Narrative Description).

5. OUTCOME INDICATORS (Criteria for Evaluation) _____

6. PROJECTED PLAN YEAR FUNDING:

Local \$ _____ + State \$ _____ + Federal \$ _____ = Total \$ _____

7. PRIORITY SERVICE AREA _____

(Please indicate the type of activity which BEST DESCRIBES this objective.)

Provision of services in the area	Coordinating the provision of services in the area with the provision of other services
-----------------------------------	---

Model service programs in the area	Outreach to individuals for the provision of services in area
------------------------------------	---

Activities to increase the capacity of institutions and agencies to provide services in area	Training of personnel to provide services in the area
--	---

Similar activities designed to
expand the use and availability
of services in the area
Please specify: _____

8. DESCRIPTION OF SUBGRANTEE OR IMPLEMENTING AGENCY: _____

9. (OPTIONAL) EXPECTED EFFECTS ON THE EXTENT AND SCOPE OF
SERVICES: _____

INSTRUCTIONS

TABLE 5-2: SUMMARY OF PROPOSED DEVELOPMENTAL
DISABILITIES EXPENDITURES

(Fill in the projected expenditures for the plan year. The summary is a one year budget and can be made out based on the previous year's allotment to your State.)

Procedures:

A. Allocations to State Agencies by source of funds.

1. Put in the name of the designated State Agency(ies.)
2. Enter the total anticipated amounts of State, local and Non-Profit match in columns 2, 3, and 4, respectively.
3. The total amount in column 6 should equal the anticipated amount of the Federal DD fiscal year allotment.

B. Allocations to State Agencies by purpose.

1. The same designated State Agency(ies) identified in Section's of the budget must be identified in Section B.
2. The total amount for planning and other Council activities should be listed in columns 3 and 4.
3. The total amount of funds paid to the State for administration is put in column 5. (Cannot exceed 5% of the total State's allotment or \$50,000, whichever is less.)
4. The total of columns 3, 4 and 5 cannot exceed 35% of the State's allotment.
5. Funds for "service activities" should be listed under their respective Priority Service Area in columns 6,7,8, and 9. Column 10 may be used to list "service activity" funds committed to services listed in Section 102(11)(A)(ii).
6. The total amount of funds committed to the Priority Service Area(s) must equal or exceed 65% of the State's allotment.

FY ENDING

SUMMARY OF PROPOSED DEVELOPMENTAL DISABILITIES EXPENDITURES

FEDERAL DD FISCAL YEAR ALLOTMENT \$ (Anticipated)

(DDSP 7.1)

A. ALLOCATIONS TO STATE AGENCIES BY SOURCE OF FUNDS (PROJECTED)

Designated State Agencies	Non-Federal Funds				Federal*	Total
	State	Local	Non-Profit	Total	Funds	(5+6)
				(2+3+4)	(2+3+4)	
1	2	3	4	5	6	7
	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$
	\$	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$	\$

B. ALLOCATIONS TO STATE AGENCIES BY PURPOSE (PROJECTED)

[illegible]

5.3

APPLICATION PROCEDURE FOR SUBGRANTEES

(Briefly describe the subgrant cycle and application procedures (in a manner suitable for the general public to understand the timing and approach to obtaining developmental disabilities funds)

or

Reference approved State procedures and include the Assurance related to standard subgrant procedures in section 6)

SECTION 6: ASSURANCES

- 6.1 The State assures that each designated State agency will make such reports, in such form and containing such information, as the Secretary (of Health and Human Services) may from time to time reasonably require, and keep such records and afford such access thereto as the Secretary finds necessary to verify such reports. (Section 122)
- 6.2 The State assures that it will maintain such fiscal control and fund accounting procedures as may be necessary to assure the proper disbursement of and accounting for funds paid to the State under Part B of this Act. (Section 122(b) (1) (D))
- 6.3 The State assures that it will establish a method for the periodic evaluation of the plan's effectiveness in meeting the objectives set forth in the plan. (Section 122(b) (2) (E))
- 6.4 The State assures that funds paid to the State under Section 125 will be used to make a significant contribution toward strengthening services for persons with developmental disabilities in the various political subdivisions of the State. (Section 122(b) (3) (A))
- 6.5 The State assures that part of the funds (under Part B) will be made available to public or nonprofit private entities. (Section 122(b) (3) (B))
- 6.6 The State assures that funds paid to the State under Section 125 will be used to supplement and to increase the level of funds that would otherwise be made available for the purposes for which Federal funds are provided and not to supplant such non-Federal funds. (Section 122(b) (3) (D))

The State assures that there will be reasonable State financial participation in the cost of carrying-out the State Plan. (Section 122(b) (3) (E))

The State assures that services furnished, and the facilities in which they are furnished, under the plan for persons with developmental disabilities will be in accordance with standards prescribed by the Secretary in regulations. (Section 122(b) (5) (A) (i))

Assurance can be optional until standards are published.

State assures that buildings used in connection with the delivery of services assisted under the plan will meet standards adopted pursuant the Architectural Barriers Act of 1968. (Section 122(b) (5) (A) (ii))

State assures that services are provided in an individualized manner consistent with the requirements of Section 123 (relating to habilitation plans (Section 122(b) (5) (B))

Although not stated specifically in the law, States may wish to add to phrase after the word "services" as follows: "assisted under the plan".

- 6.11 The State assures that the human rights of all persons with developmental disabilities who are receiving treatment, services, or habilitation under programs assisted under this title will be protected consistently with Section 110 (relating to the rights of persons with developmental disabilities). (Section 122(b) (5) (C))

OPTIONAL: (Assurances below are not essential if State's initiatives in these areas are described in the State Plan narrative.)

- 6.12 The State assures that the special financial and technical assistance shall be given to agencies or entities providing services for persons with developmental disabilities who are residents of geographical areas designated as urban or rural poverty areas. (Section 122(b) (4) (F))
- 6.13 The State assures that it has undertaken affirmative steps to assure the participation in programs under this title of individuals generally representative of the population of the State, with particular attention to the participation of members of minority groups. (Section 122(b) (5) (D))
- 6.14 The State assures that there has been provision for the maximum utilization of available community resources, including volunteers. (Section 122(b) (6) (A))
- 6.15 The State assures that the composition of the State Planning Council meets the requirements of Section 124. (Section 122 (b) (1) (A))

- 6.16 The State assures that it will 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. (Section 109)

SECTION 7: ATTACHMENT

- 1) Detailed Council Membership Charts (Optional)
- 2) (State's) Operational Definition of DD (OPTIONAL)
- 3) Summaries from the Review of Federal-Assisted State Programs (OPTIONAL)
- 4) (State's) Employee Protection Plan (REQUIRED IF the State selects Alternative Living Arrangement Services as one of its priority service areas.)
- 5) Other