



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

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3. Originating Office: Administration on Developmental Disabilities	
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6.	7.

INFORMATION MEMORANDUM

TO : Directors, University Affiliated Facilities  
with FY 1986 non-conditional grant awards

SUBJECT : Preparation and Submission of Supplemental  
Special Project Applications for FY 1986

LEGAL AND  
RELATED  
REFERENCES : Developmental Disabilities Act of 1984, Public  
Law 98-527

INFORMATION : The Developmental Disabilities Act of 1984,  
Sections 152 and 153 provides for the grant  
authority and the application process for  
university affiliated facilities and satellite  
centers.

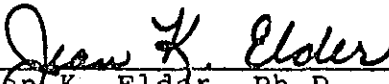
Attached is the FY 1986 supplemental special  
project application. The deadline for  
submittal of a supplemental special project  
application is Thursday, July 10, 1986 for all  
applications under Part III--Individual  
Facility Based Project Priorities; and Tuesday,  
August 12, 1986 for all applications under Part  
IV--Multiple Facility Based Project Priorities.

EFFECTIVE DATE: Date of Issuance

Page 2 - Program Instruction

INQUIRIES TO : Lynne Lau  
UAF Program Coordinator  
(202) 245-1961

Camille Catlett  
UAF Program Coordinator  
(202) 245-1961

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

cc: Regional Administrators  
Regions III, VI, VII and IX  
Regional Offices of Fiscal Operations  
Regions III VI, VII and IX  
Regional Program Directors, ADD  
Regions III, VI, VII and IX

Supplemental Special Project  
Grant Application Kit  
University Affiliated Facility (UAF) Program  
Administration on Developmental Disabilities  
Office of Human Development Services

This application kit contains materials for the submission by University Affiliated Facilities (UAF) and Satellite Centers of applications for supplemental special projects. It includes the following enclosures:

1. FY '86 Supplemental Special Project Application Kit
  - A. Application Process for UAF and Satellite Center Supplemental Applications.
  - B. List of Regional Offices of Fiscal Operations.
  - C. List of ADD Regional Program Directors
  - D. Instructions for Preparation of Part IV, Program Narrative
2. Standard Application Form (SF) 424.
3. Instructions for Applying for Federal Assistance from OHDS Programs (OMB 0980-0016)
4. HHS Form 441 - Civil Rights Assurance of Compliance
5. HHS Form 641 - Civil Rights Assurance of Compliance with Section 504 of the Rehabilitation Act of 1973

Enclosure A

APPLICATION INSTRUCTIONS FOR UAF AND SATELLITE CENTER  
SUPPLEMENTAL SPECIAL PROJECT APPLICATIONS

I. APPLICATION PROCESS

A. Eligible Applicants

Competition under this announcement is limited to existing ADD sponsored University Affiliated Facilities (UAFs) and Satellite Centers with core award grants without conditions for the July 1, 1986 to June 30, 1987 budget period.

B. Deadline

The deadline for submittal of applications for supplemental awards is Thursday, July 10, 1986 for all applications under Part III--Individual Facility Based Project Priorities; and Tuesday, August 12, 1986 for all applications under Part IV--Multiple Facility Based Project Priorities.

C. Available Funds and FY 1986 Priorities

The level of grants to be awarded under this announcement is dependent on the availability of funds following the award of all FY 1986 competing and non-competing core awards. Based upon the anticipated level of core awards, ADD expects to award approximately \$900,000 in supplemental grants under this announcement.

These supplementation awards will be used to support projects which will significantly further the goals of independence, productivity, and community integration of persons with developmental disabilities.

D. Grantee Share of the Project

At least 25% of the total cost of projects must come from a source other than the Federal government (one dollar match for every three dollars of Federal financial assistance requested). The non-Federal share of total project costs may be in the form of grantee-incurred costs or third party in-kind contributions.

E. Availability of Forms

All instructions and forms required for submittal of applications are included in this announcement. Additional copies may be xeroxed from the attached or obtained by writing or telephoning: ADD/Division of Program Development, 200 Independence Avenue, S.W. Room 348-E, Washington, D.C. 20201, Attention: Lynne Lau, telephone (202) 245-1961

## F. Application Submissions

One signed original of the application must be submitted to the appropriate Regional Office(s) of Fiscal Operations (Enclosure C) on or before Thursday, July 10, 1986 for all applications under Part III--Individual Facility Based Project Priorities; and Tuesday, August 12, 1986 for all applications under Part IV--Multiple Facility Based Project Priorities.

One copy of the complete application is to be sent to the appropriate ADD Regional Office(s) on or before the applicable deadline date. (Enclosure D).

One copy of the complete application is to be sent on or before the applicable deadline date to:

Jean K. Elder, Ph.D.  
Commissioner  
Administration on Developmental Disabilities  
Hubert H. Humphrey Building, Room 336E  
200 Independence Avenue, S.W.  
Washington, D.C. 20201  
(Attention: UAF Special Project Supplement)

Submittal of two additional copies to the Commissioner will expedite processing and ensure timely review. However, there is no penalty for not submitting these additional copies.

Applications may be mailed or hand-delivered. Hand delivered applications are accepted during the normal working hours of 9:00 A.M. to 5:30 P.M., Monday through Friday. An application shall be considered as meeting the announced deadline if it is either:

- (a) received on or before the deadline date at the Regional Office of Fiscal Operations; or
- (b) sent on or before the deadline date and received by the granting agency in time to be considered during the competitive review and evaluation process. (Applicants are cautioned to request a legibly dated U.S. Postal Service postmark or to obtain a legibly dated receipt from a commercial carrier or U.S. Postal Service. Private metered postmarks shall not be acceptable as proof of timely mailing.)

Late applications. Applications which do not meet the criteria in paragraph (a) or (b) above are considered late applications. HDS/ADD shall notify each late applicant that its application will not be considered in the current competition.

Extension of deadlines. HDS/ADD may extend the deadline for all applicants because of acts of God such as floods, hurricanes, etc., or when there is a widespread disruption of the mails. However, if the granting agency does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicant.

G. Notification

UAF and Satellite Center supplemental submissions are exempt from Executive Order 12372 (Form 424, Item 22B).

H. Project Period

Project periods for UAF and Satellite Center supplemental grants will be awarded to assist special projects of three (3) to seventeen (17) months duration as indicated under the specific priority area.

Competing UAF and Satellite Center grantees should prepare an application for the appropriate project period indicated in each priority area. Activities should be described in detail for the entire project period

I. Budget

Competing applicants should develop a full budget (SF-424), including a budget justification consistent with the budget limitations indicated in the priority area.

Applicants should not plan on future supplemental funding for the special projects proposed.

J. Page Limitations

The Part IV, Program Narrative of UAF and Satellite Center applications should be double-spaced and typewritten. Page limitations vary for each of the priority areas depending upon the level of effort, coordination, and amount of detail expected.

Supplementary material, intended to provide examples of relevant activities underway may be included in appendices. Appendices should be included with each additional copy submitted as these materials will not be reproduced.

## II. CRITERIA FOR REVIEW

Applications will be reviewed by ADD Regional and Central office staff. The results of the Federal staff reviews will assist the Commissioner, ADD in determining the special project awards. Applications will be evaluated for appropriate level and coordination of effort across the range of participating agencies and organizations; adequacy of detail; degree to which the application reflects state-of-the-art practices and/or innovation; inclusion of interim and final products and project reports intended for local and national dissemination; and, as appropriate activities to support replication of successful models.

## III. INDIVIDUAL FACILITY BASED PROJECT PRIORITIES

Deadline: July 10, 1986

Approximately 35 supplemental project awards will be made under this part of the FY 1986 supplemental award announcement at funding levels from \$15,000 to \$20,000. The period of activity can range from three to ten months. Eligible facilities may apply under each priority area. However, it is not anticipated that individual UAFs and Satellite Centers will receive awards under more than one priority area included under this part. Applicants are therefore encouraged to submit under only one Part III priority area. ADD funds under these priorities are to be considered as either incentive funds to plan and initiate priority related work in coordination with other State and local agencies and organizations, or as supplemental support used to expand or enhance existing activities and better document individual program innovations and outcomes for dissemination purposes. In either case supplemental funding is not viewed as the sole basis of resource support to carry out the proposed activities. Applicants are strongly encouraged to coordinate their proposed activities with other public and private agencies and organizations with emphasis placed on the involvement of State Developmental Disability Planning Councils and Protection and Advocacy organizations.

Format: The Part IV, Program Narrative for Part III Priority Area applications should not exceed 20 double-spaced typewritten pages. If current work is underway, detailed descriptions must be included as a part of the proposal, as well as the relationship and outcomes anticipated as a result of the supplemental assistance.

Priority Area III-A: Training Direct Care Workers in Non-institutional, Family-scale Residential Environments for the Developmentally Disabled.

ADD has set aside \$300,000 for individual grant awards ranging from \$15,000 to \$20,000 to assist individual facility initiatives in direct care worker training.

The Senate Committee on Appropriations in the Report accompanying the Department's Appropriation Bill (Calendar No. 339, Report 99-151 to accompany H.R. 3424, page 150) directed that top priority be given to train direct care workers in residential settings for the developmentally disabled.

The Administration on Developmental Disabilities is announcing the availability of supplemental funds to University Affiliated Facilities (UAFs) and Satellite Centers to develop and implement plans and expand upon current work to promote the recruitment and training of direct care workers in non-institutional, family-scale residential environments for individuals with developmental disabilities.

Leadership and staff training for those involved with community-based residential living arrangements is an issue of significant importance. More than 80% of the service program personnel coming into contact with developmentally disabled adults are paraprofessionals. Problems in the recruitment and retention of skilled personnel are widespread with considerable consequence on the availability, continuity and quality of community-based living arrangements. Although some progress has been made in the program development and implementation of interdisciplinary training opportunities for direct care staff, UAF involvement in this area varies widely.

Leadership training in community-based residential arrangements comprises a major national need which threatens to stall further progress in deinstitutionalization. Difficulties associated with planning for the residential needs of persons moving out of institutions or from their natural homes, and the design of residential arrangements relate in part to the shortages of skilled leaders.

Under this priority area it is intended that interdisciplinary training programs will more rapidly evolve for administrative and direct care staff working in non-institutional, family-scale residential environments. It is anticipated that the majority of the training activities to be carried out will be community based, and that under these arrangements related long-term UAF trainee experiences will take place in community based service sites. The UAF Networking Initiative for Adult Services Technical Report on Residential Services provides an excellent definitional and descriptive material on the range of community based living arrangements.



Priority Area III-B: Training Personnel for  
Employment-Related Activities for the Developmentally Disabled.

ADD is planning individual grant awards ranging from \$15,000 to \$20,000 to assist individual facility initiatives in the training of personnel in employment-related activities.

As described in the UAF Adult Services Networking Initiative Technical Report on Personnel Training:

"Preparing personnel either to work with adults or to assist students in bridging the transition into adulthood requires an expansion of many preservice training programs now geared primarily to the needs of children with developmental disabilities. Today's secondary level special educators, for example, must be trained to assume a particularly critical role in facilitating students' vocational preparation and transitions from school to work. To insure that there is a functional basis to professional preservice training, interdisciplinary training models need to be adapted by incorporating employers and business persons into the curriculum planning processes. Further, working relationships between the academic and business communities must be strengthened."

Specific guidance is also provided by our legislation (Developmental Disabilities Act of 1984, Public Law 98-527, Section 102) in defining employment-related activities as "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 who 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".

ADD encourages proposals from UAFs and Satellite Centers to work with State Developmental Disabilities Councils and other state agencies in identifying the role currently played by personnel in employment-related activities within the State's adult services system. Further, they should assess the competence and staff training needs of personnel working in adult programs, as well as designing and implementing training programs that remediate staff skill deficits and train qualified personnel in a cost-effective and efficient manner. Some attention should be focused toward the development of instructional programs, training packages and materials to be used to train direct-care providers to serve employment-related roles in community based programs.

Priority Area III-C: Special Projects to Address the Planning and Service Needs of Elderly Persons with Developmental Disabilities.

ADD has set aside funds for the award of special projects addressing the needs of elderly persons with developmental disabilities (55 year and older). Individual awards will range from \$15,000 to \$20,000.

ADD is exploring every opportunity to better plan for and serve a portion of the developmentally disabled population which has long been underserved--the elderly. In looking toward the year 2000 and beyond, the number of elderly developmentally disabled persons will rise along with the increase in the elderly population as a whole. We must begin to focus more attention on this population. The issues facing us call for comprehensive planning and coordination. Likewise, UAF involvement in elderly DD related training, exemplary service activities, and technical assistance is widely varied.

Currently, many opportunities for an expanded UAF role in relation to the needs of this population exist. Among the range of needs that could benefit from UAF involvement are those concerning: State-based research to better identify, define and describe this population in relation to projected services in residential living, health care, socialization, recreation, and a range of social supports; identification of exemplary service delivery arrangements at the community level, especially those which foster access to generic services designed for and available to non-handicapped individuals; assessment of the service implications on manpower training programs and the need to establish interdisciplinary training activities which combine core knowledge in gerontology and geriatrics.

Awards made under this priority are intended to stimulate the more widespread involvement of UAFs in support of the planning and service development activities needed for this population, transfer knowledge of existing State and local initiatives which have resulted in cooperative service delivery arrangements, and better define the range of UAF activities appropriate and supportive of the advances needed.

Priority III-D: Supports for Families Including Members with Developmental Disabilities

ADD is planning individual grant awards for family support projects ranging from \$15,000 to \$20,000.

Although most individuals with developmental disabilities reside with their families, support services are more likely to be made available to those who reside outside their natural homes. ADD recognizes the need for a range of support services to families who elect to maintain their family members at home.

Some of the clearest guidance on this topic comes from Human Services Research Institute (HSRI) under work funded by ADD and the HHS Office of the Assistant Secretary for Planning and Evaluation (ASPE). These findings are encapsulated in a November, 1985 article in Exceptional Parent. Among the topics addressed are the categories of family support programs and an analysis of State-mandated family support programs.

As a result of publications developed under the UAF Networking Initiative for Services to Adults with Developmental Disabilities, the scope of services that forms the basis for family support has been more clearly identified. It includes, but is not limited to, training to assist parents in managing behavior and teaching socially beneficial skills; services to assist parents in care, training and integration of their developmentally disabled children (e.g., employment, transportation, recreation programs, counseling); respite care to allow parents some relief from the demanding tasks of caring for a developmentally disabled family member; and support groups to provide emotional and practical supports among parents.

Under this priority area, ADD will support special projects intended to expand existing and promote new community-based activities to assist parent care and support to their family member. Particular emphasis is encouraged on local activities which will encourage parent awareness; involvement and assistance in such critical areas as school to work transition, employment opportunities for the severely disabled, life-service planning including residential living arrangements; and social networking opportunities and involvement in community activities.

Priority Area III-E: Field Initiated Special Project  
Priorities.

Under this priority area, facilities may propose special projects involving field initiated research, training and technical assistance activities. Individual project awards will range from \$15,000 to \$20,000.

Under this priority area individual UAFs and Satellite Centers may identify priorities for supplemental awards outside of those areas previously identified. Individual facility proposals should identify project activities which will significantly further the goal of independence, productivity and community integration of persons with developmental disabilities or the capacity of the individual facility and participant organizations in supporting that goal.

#### IV. MULTIPLE FACILITY ANNOUNCEMENT:

Deadline: August 12, 1986.

The Administration on Developmental Disabilities is announcing the availability of funds for joint proposal submissions by consortia of UAFs to address major systemic program issues. Projects of approximately \$75,000 to \$125,000 each are anticipated.

Format: Submissions are to contain a ten(10) to seventeen (17) month project period for development and implementation of proposed activities. ADD funds are to be considered financial support for program development; applications must indicate any outside and future funding resources anticipated to provide for the implementation of the proposed activities.

The SF-424 Part IV, Program Narrative should not exceed 50 double spaced typewritten pages. Funds are to be requested by one lead facility (one SF-424) in cooperation with participating facilities. Multi-facility funding levels should be detailed and effected through subcontractual methods by the lead facility.

Eligibility: All lead facilities must have multiple year core award project periods awarded under the UAF/Satellite Centers' most recent competing award cycle.

All eligible facilities may compete in both Part III and IV priority areas. Facilities may participate as a participant member of a consortium addressing multiple Part IV priority areas. However, no single UAF/Satellite Center should compete as lead facility over more than one Part IV Priority Area.

#### MULTIPLE FACILITY BASED PROJECT PRIORITIES:

Priority Area IV-A: Consortium Initiative on Community-Based Living Arrangements for Persons with Developmental Disabilities.

In its Technical Report on Residential Services, the UAF Networking Initiative reported many significant barriers to the provision of residential services for persons with developmental disabilities. These issues had to do broadly with needed policy reforms at Federal and State levels, more concerted efforts between UAFs and State DD Councils in collaboration with other agencies and organizations, research and demonstration activities, broader dissemination of knowledge available and more organized transfer of the methods and models in existence, leadership training in areas critical to the planning of community-based living arrangements and management of residential services, and direct care worker training.

It is clear that the many policy and program barriers identified and recommendations made require work both in an intergovernmental and interagency basis. However, it is also clear that the need for professional and paraprofessional training and technical assistance in community based residential arrangements continues to be among the major issues facing the field. Efforts are urgently needed to attract and maintain employees in community residential programs. In education, specific certification standards, accompanied by career ladders, titles, salary scales, etc. are needed to ensure skilled personnel. Better networking and exchange of technical information, research findings, planning models, and evaluation activities are required. These and other needs present a major challenge to UAF/Satellite Centers. The Congress has expressed an intent to meet this challenge through the University Affiliated Facilities program (Reference: Calendar No. 339, Report 99-151, to accompany H.R. 3424, page 150).

Under this priority area, ADD is seeking to establish a consortium and regional network of UAF/Satellite Centers to coordinate national developments in residential services, and assist individual UAF/Satellite Center initiatives under Priority Area III-A. It is anticipated that the participants in this consortium would provide information exchange, assume monitoring responsibilities, assist State policy developments and information transfer arrangements, and provide guidance to individual UAF/Satellite Centers.

Priority Area IV-B: Consortium Initiative on  
Employment-Related Learning and Adjustment of Persons with  
Developmental Disabilities

Public Law 98-527 clearly identifies the range and scope of employment-related activities (see Priority Area III-B). The legislation further identifies independence and integration into the community as essential ingredients in enabling persons with developmental disabilities to achieve their maximum potential. The ability to access work settings, to use community resources, to live independently and to develop social support networks have been documented to be dependent on the basic adjustment process and its outcomes. As an illustration, the UAF Adult Services Networking Initiative Technical Report on Learning and Adjustment observes that "more jobs are lost among developmentally disabled populations because of social behavior problems and deficits than because of lack of job skills".

ADD announces the availability of funds to support research, product development, technical assistance and dissemination of training and service delivery models incorporating the features outlined above to address the employment-related learning and adjustment needs of developmentally disabled clients in behavioral, personal and social areas. The intent of this priority area is to encourage community-based programs to emphasize the development, growth and progressive independence of developmentally disabled adults, rather than limiting attention to maintenance and/or care.

An inventory of existing materials, techniques and programs, including their target audience (parents, human service agencies, employment preparation programs, etc.) should be a preliminary step in the scope of work proposed. The project selected in this area should draw upon relevant basic and applied research literature to develop the procedures to be evaluated. During the project, the proposed techniques for building or establishing independent or self-sufficient performances in persons with developmental disabilities will be applied, evaluated, refined and reported, with the ultimate goal of delineating methods which are both practical and useful to the intended audiences. Best practices procedures manuals designed for 1) job coaches, 2) vocational rehabilitation agencies, 3) owners/developers of small state-of-the-art residences, and 4) entry level residential direct care providers are possible products of this consortia's work. It is also anticipated that the consortium of UAF/Satellite Centers selected would assist individual Center initiatives under Priority Area III-B.

Priority Area IV-C: Consortium Initiative to Meet the Health Needs of Persons with Developmental Disabilities in the Community.

A finding of the UAF Adult Services Networking Initiative Technical Study on Medical Issues was that a paucity of information is available concerning medical care and services for adults with developmental disabilities in community settings. As discussed in the report, the health needs of persons with developmental disabilities are not substantively different because of intellectual impairments. However, the delivery of health care in the community has become a medical issue. The availability of community-based health care is of considerable importance to the Administration on Developmental Disabilities. The availability of both routine and specialized health care has major consequence on family stability and support, deinstitutionalization, community-based living arrangements and employment opportunities.

The evidence suggests that health care needs can be met equally well in the community as in center-based settings provided appropriately trained physicians and health care professionals are available. However, there exist many formidable problems to the training of physicians. A national review of medical school curricula and a survey of accredited pediatric residency programs revealed serious gaps and omissions in medical training in the area of developmental disabilities. Most medical schools have no formal curricula, educational goals or organized programs in the area. Programs that do offer training are loosely organized, have minimal coverage, and offer inadequate clinical experience. Physician surveys indicate concerns about their lack of specialized training, need for continuing education and limited knowledge of basic referral resources. It is also the case that the more time-intensive diagnostic and treatment protocols and general awareness levels present powerful disincentives to practicing physicians.

Persons with developmental disabilities face equally serious difficulties in accessing mental health services. Many similar problems and inadequacies exist in relation to the training of psychiatrists, psychologists, and other mental health professionals in diagnosis, treatment approaches, and non-punitive interventions.

To address these concerns, ADD is seeking application from a consortium of UAF/Satellite Centers to determine the optimal arrangements and strategies of: (1) providing community based health care services to persons with developmental disabilities; (2) advancing the competencies of health care professionals around the major service needs; and (3) promoting exemplary practices currently in existence and needed in the development of model training, orientation and referral programs for primary care physicians, psychiatrists, psychologists, and other health care professionals.

Under this priority area, ADD is interested in a coordinated UAF program initiative which is comprehensive in its involvement and focus on the training and cross-training needs of primary care physicians, psychiatrists, and those in the allied health fields, thereby, enhancing training exposures and service delivery affiliations so as to meet both individual and family needs more effectively. Under this effort, it is anticipated that multiple strategies would be examined and initiated to enhance the general awareness levels, engender the interest and involvement of targeted medical specialties in the primary health care needs of persons with developmental disabilities, examine the opportunities for more involvement in routine care services by allied health care professionals and physician assistants, and identify model training programs and service practices for promotion at State and community levels.