

STATE PLAN AMENDMENTS

A Review on Submitting Amendments to ADD

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Administration on Developmental Disabilities

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What the DD Act Says:

- ▶ **SEC. 124 STATE PLAN.**

- ▶ **IN GENERAL.** -Any State desiring to receive assistance under this subtitle shall submit to the Secretary, and obtain approval of, a 5-year strategic State plan.

Q: What is a strategic State Plan?

A: One that sets direction for the Council by outlining measureable goals, objectives, and short-term strategies



From Federal Regulation Sec. 1386.30

- ▶ Development of the State Plan and applicable annual amendments are responsibilities of the State Developmental Disabilities Council.



- ▶ State Plan Amendments are Due to ADD **by August 15th**. Extensions will *not* be granted.



Do amendments require public input? You bet they do!

Sec. 1386.31(a) State Plan submittal and approval.

- ▶ The Council shall issue a public notice about the availability of the proposed State Plan or State Plan amendment(s) for comment.
- ▶ The Notice shall be published in formats accessible to individuals with developmental disabilities and the general public (e.g., tape, diskette, public forums, newspapers) and shall provide a **45 day period for public review and comment**.
- ▶ The Council shall take into account comments submitted within that period and respond in the State Plan to significant comments and suggestions.
- ▶ A summary of the Council's response to State Plan comments shall be submitted with the State Plan and made available for public review. This document shall be made available in accessible formats upon request.



When are amendments required?

Sec. 1386.31(e) State Plan submittal and approval.

- ▶ Amendments to the State plan are required when substantive changes are contemplated in plan content.



What constitutes a substantive change?

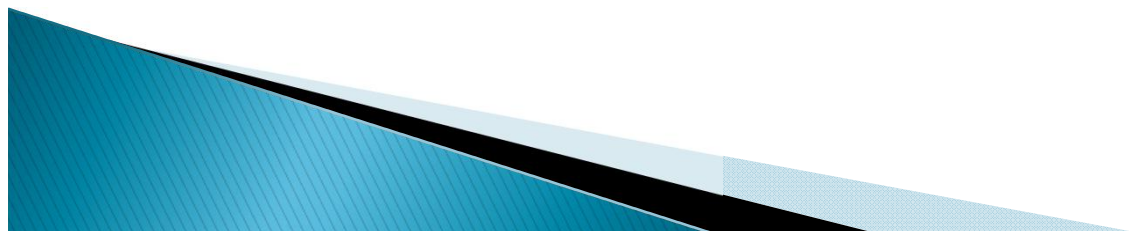
DEFINED:

Substantial in amount or quantity; having practical importance, value, or effect

- ▶ If you're in doubt, ask your ADD Project Officer



5-Year State plan	ADD Format
1. Establish and maintenance of Council	SECTION I: COUNCIL ID State Plan Period Contact Person Council Establishment Date of establishment Authorization Authorization Citation Membership Council staff



EXAMPLES OF WHAT YOU WOULD REPORT:

- “ Your Council changes its authorization – such as an Executive Order or state statute
- “ Updated membership list: If there are changes in membership, these need to be reported in the State plan amendments.
- “ Council staff is more of a procedural change.
 - “ The law requires that the Council have “such numbers and types of staff (qualified by training and experience).
 - “ Exception: Report actions that have had significant impact on the Council staff (i.e. the Council has been subjected to a reduction in force).



5-Year
State plan

ADD Format

2. Identify DSA

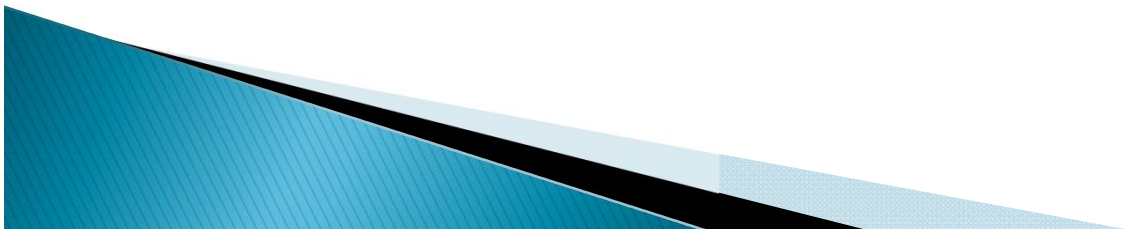
SECTION II: DSA

- “ The Designated State Agency (DSA) is the Council
- “ The Designated State Agency (DSA) is another agency
- “ Direct Services. If DSA is other than the council, does it provide or pay for direct services to persons with developmental disabilities?
- “ Does your council have a Memorandum of Understanding/Agreement with your DSA?
- “ DSA roles and responsibilities related to the Council. If DSA is other than the council.
- “ Date Council or Agency was designated as DSA (grandfathered in?)

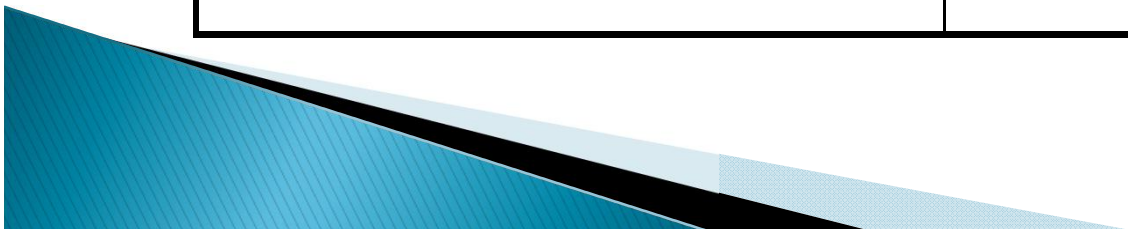
EXAMPLES OF WHAT YOU WOULD REPORT AS A CHANGE

- ▶ DSA Changes:

- “ If DSA is a service provider agency it must have been designated before 1994.
- “ If you have a new DSA after 1994, it cannot be an agency or office that provides services to individuals with developmental disabilities.
- “ If you have a newly developed MOU with your DSA, report this to ADD as it constitutes a change in the State Plan.



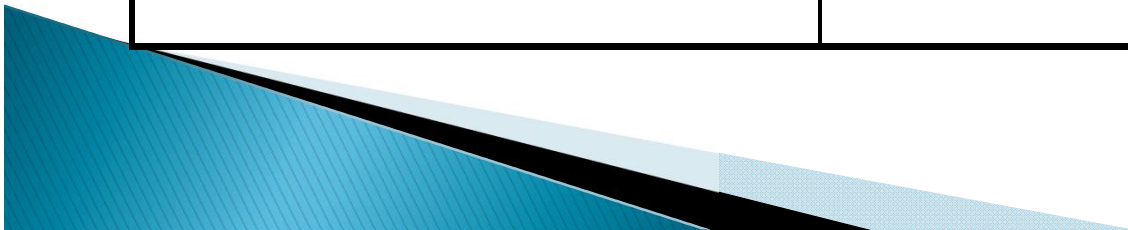
5-Year State plan	ADD Format
<p>3. Comprehensive Review and Analysis</p> <ul style="list-style-type: none"> i. Services under other federally assisted state programs, plans, and policies ii. Agencies under federally assisted State programs pursue Interagency initiatives iii. Extent to which Community services benefit individuals iv. Collaboration of ADD programs 	<p>SECTION III: STATE SERV SYS & TRENDS</p> <ul style="list-style-type: none"> " Prevalence " Environmental factors " State service system " Community services " Waiting lists " Unserved/underserved " Rationale for goal selection <p>"Only provide an <i>UPDATE</i> to the CR&A—substantive changes to the trends listed above</p>



5-Year State plan	ADD Format
<p>4. Plan Goals</p> <ul style="list-style-type: none"> i. derived from unmet needs ii. Goal to: <ul style="list-style-type: none"> i. establish or strengthen program for direct funding of State self-adv. org. led by individuals with developmental disabilities ii. support individuals with developmental disabilities to provide leadership training iii. support participation in coalitions 	<p>SECTION IV: AREAS OF EMPHASIS & PERFORMANCE TARGETS</p> <ul style="list-style-type: none"> " goal description " objectives " resources " collaborators



5-Year State plan	ADD Format
<p>4. Plan Goals</p> <ul style="list-style-type: none">” Description of goals consistent with indicators of progress” Strategies used to achieve goals	<p>SECTION IV: AREAS OF EMPHASIS & PERFORMANCE TARGETS</p> <ul style="list-style-type: none">” strategies (e.g., outreach, training, etc.)



EXAMPLES OF WHAT YOU WOULD REPORT AS A CHANGE

- “ Changes to goals
- “ Changes to all the objectives under one goal, if the Council has determined this change is substantive.

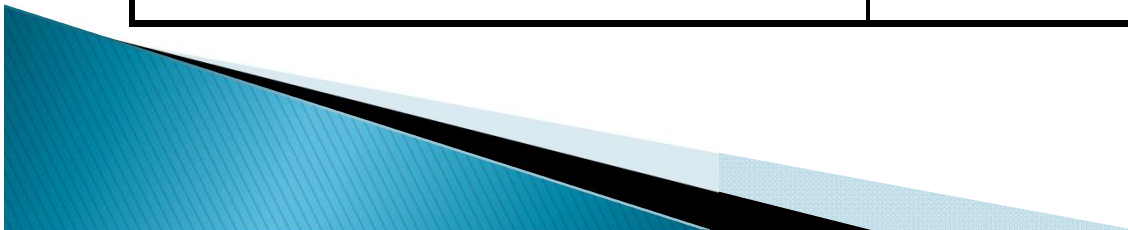


EXAMPLES OF WHAT YOU WOULD NOT REPORT AS A CHANGE


- “ Changes in strategies
- “ Changes to one objective



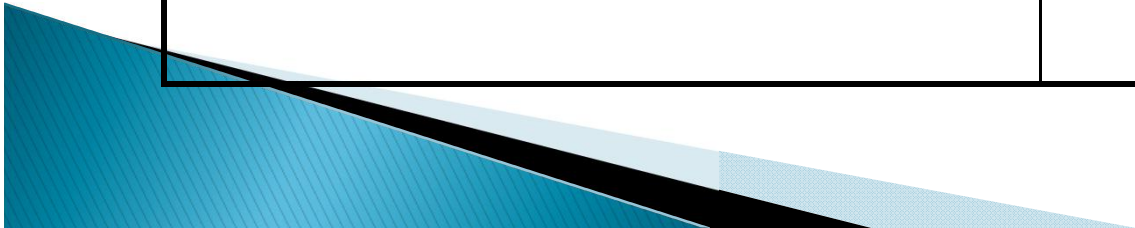
5-Year State plan	ADD Format
<p>4. Plan Goals and Annual Report: methods to determine achievement/ annual report on Progress</p>	<p>SECTION VIII: EVALUATION Summarize Councils plan for monitoring, reviewing, and evaluating State plan annually</p>



SOME QUESTIONS TO ASK:

- ▶ How will the Council evaluate its 5 Year State plan? What is the process?
 - ▶ How do you know if you have accomplished what you set out to do?
 - ▶ What measures are you using and how do you determine performance targets?
 - ▶ Who is responsible for evaluating the State plan?
 - ▶ If a Council has *substantive* changes in the evaluation process it should be reported in the state plan amendments.
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5-Year State plan	ADD Format
<p>5. Assurances</p> <ul style="list-style-type: none">"use of funds<ul style="list-style-type: none">" 70%" political subdivision" supplement not supplant non-Fed funds"Complement & augment rather than duplicate or replace services" funds available to public/private entities" DSA . 1/2 costs; 5%/&50,000; not more than 20%	<p>SECTION VI: PROJECTED COUNCIL BUDGET</p> <ul style="list-style-type: none">"Cost Categories<ul style="list-style-type: none">" Areas of emphasis" General" DSA functions



5-Year State plan

ADD Format

5. Assurances

- " state participation
- " conflict of interest
- " urban/rural poverty areas
- " program accessibility standards
- " human rights
- " minority participation
- " employee protections
- " staff assignments
- " non-interference
- " State QA

SECTION V: ASSURANCES

Signed assurances
submitted to ADD

5-Year State plan	ADD Format
<p>6. Public input and review, submission and approval</p> <ul style="list-style-type: none"> “ plan based on public input “ DSA . plan consistent with State law “ Secretary approves plan 	<p>SECTION VII: PUBLIC INPUT</p> <ul style="list-style-type: none"> “Summarize Councils process for public notice and review “Include Councils response to public input & comments “Summarize public involvement in development of plan



When submitting your State Plan Amendments

- ▶ Please summarize amendments made to your ADD program specialist



Summarizing changes

- ▶ If there are no or only a few changes to the plan, please indicate as such in the Remarks History section in OLDC

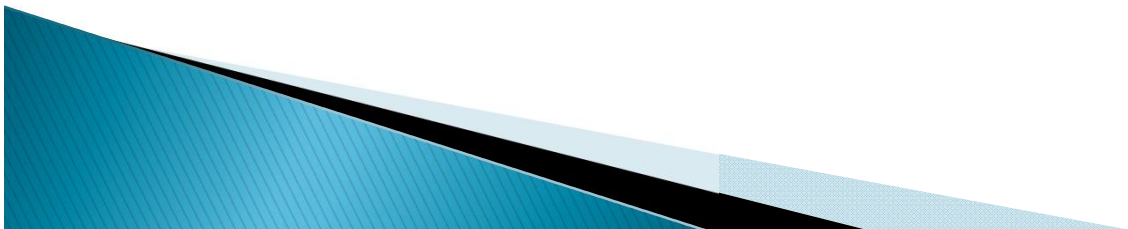
OR

- ▶ Send an email to your ADD project officer.



An *example* of an email to your ADD Project Officer

- ▶ The only changes we made were:
 - To update the list of Council members
 - To update the list of staff members
 - To update the numbers and narrative on the waiting list
 - To change some resources allocated to various objectives
 - To add an objective (Objective title) which was omitted from the report last year, and
 - To add an objective (Objective title) which arose from our State plan evaluation process



Reminder!

*Even if there are no changes, the State plan must be cloned and submitted by August 16, 2010.



Who is my current ADD Project Officer?

Regions 1, 2, 4, 5, and 8

Sara Newell

202-690-5963

Sara.Newell@acf.hhs.gov

Regions 3 and 9

Kathy Cargill-Willis

202-690-5791

Kathy.Cargill-Willis@acf.hhs.gov

Regions 6, 7, and 10

Jennifer Johnson

202-690-5982

Jennifer.Johnson@acf.hhs.gov



Who Can I Contact for Assistance in Accessing OLDC to Submit My Amendments?

- ▶ Syed Rafiuddin
 - Email: srafiuddin@acf.hhs.gov
 - Phone: 202-690-5779

- ▶ Syed Rafiuddin can help with:
 - The Request for OLDC Access Form (OLDC ID request for new users)
 - Procedures for cloning State Plan report.
 - Resetting OLDC passwords
 - Other OLDC related technical questions



QUESTIONS?



THANK YOU!!!

- ▶ Remember – We're here to help so give us a call!

Additional Resource:

<http://www.itacchelp.org/Resources.html>

