
INFORMATION FOR COMPLETING A DD COUNCIL STATE PLAN AMENDMENT AND/OR UPDATE

2018



Annually, Councils on Developmental Disabilities must either amend or update their 5-Year State Plan. Substantive amendments are due August 15th of each year for the following federal fiscal year, and non-substantive amendments are due January 1 of each year for the current federal fiscal year. The information in this document reviews the sections of the State plan template and provides basic information for amending or updating the plan.

This document is not a substitute for knowing the federal reporting requirements set forth by the Developmental Disabilities Assistance and Bill of Rights Act of 2000 and any additional requirements from the Administration on Intellectual and Developmental Disabilities. If you have specific content questions, please contact a DD Council Program Specialist at the Administration on Intellectual and Developmental Disabilities.

This resource was developed under contract number Contract #HHSP233201600068C from the U.S. Administration for Community Living, Department of Health and Human Services, Washington, D.C. 20201.

STATE PLAN AMENDMENT AND STATE PLAN UPDATE GUIDANCE
2018

Background:

A “[Dear Colleague](#)” letter was issued by Commissioner Sharon Lewis on June 5, 2013. The letter indicated Councils would simultaneously submit their annual Program Performance Report (PPR) and non-substantive State plan amendments (currently referred to as State Plan Updates). State plan updates (non-substantive) and Annual Program Performance Reports are due January 1st of each year.

The purpose of this change is to allow councils to draw conclusions from their work capture successes and further evaluate areas where additional progress can be made and make needed adjustments to the 5-year Council state plan.

Note: If a Council submitted substantive changes to their State Plan on August 15th, there is no need to submit non-substantive changes on January 1st.

WHAT IS A STATE PLAN UPDATE? (FORMERLY REFERRED TO AS A NON-
SUBSTANTIVE CHANGE?)

Slight revision to a goal that does not change the overall intent of a goal;

Revision(s) to objectives that do not change the overall intent of a goal;

Revision(s) to activities that do not change the overall intent of a goal;

Revision(s) to outputs, outcomes, evaluation methods, and performance measures that do not change the overall intent of a goal.

State Plan Updates are due January 1 of the current federal fiscal year.

WHAT IS A STATE PLAN AMENDMENT? (FORMERLY REFERRED TO AS A
SUBSTANTIVE CHANGE?)

Complete revision of a goal to change the intent of the goal;

Addition of a goal to the state plan;

Deletion of a goal.

Note: If a substantive change is made, the Council is obligated to post and receive comments for a minimum 45-day public comment period (45 C.F.R. 1386.31).

State Plan amendments are due August 15 for the upcoming federal fiscal year.

COUNCIL IDENTIFICATION

There are four areas for information:

- 1) Identification
- 2) Council Establishment – date of establishment, authorization method and citation information
- 3) Council Membership – rotation plan and membership listing
- 4) Council Staff

Add or update any information as appropriate.

Council membership – add new Council member(s); appointment date; expiration date or alternate agency representative name; category code, geographical code, race/ethnicity code, and gender.

Council Staff – add or delete staff person(s) – enter the percentage of employment time for each position, the working title of the position, race/ethnicity, and disability status (optional).

DESIGNATED STATE AGENCY

There are four areas for information in this section and include 1) contact information, 2) indicate if the Council is the DSA or another agency, 3) memorandum of understanding with the DSA and, 4) calendar year the DSA was designated.

Add or update any information as appropriate.

COMPREHENSIVE REVIEW AND ANALYSIS (CRA)

During the course of the 5-year plan, changes to the CRA are not typical. However, if substantive changes are made to the plan, the data in the CRA should support the change(s); if there is new data to support a substantive change to the plan, an update to the CRA may be needed.

There are six areas for information to be provided in the CRA and include:

State Information

- Introduction
- Description of how the DSA supports the Council
- Poverty rate percentage
- Racial and Ethnic Diversity of the State population

State Disability Characteristics

Prevalence (reflect as a percentage) and explanation of prevalence used.
Residential settings information

Demographic Information

About people in the State with disabilities (American Community Survey data).

Portrait of State Services [Section 124(c)(3)(A)(B)]

- ✓ Health and Healthcare
- ✓ Employment
- ✓ Informal and Formal Services and Supports
- ✓ Interagency Initiatives
- ✓ Quality Assurance
- ✓ Education and Early Intervention
- ✓ Housing
- ✓ Transportation
- ✓ Child Care
- ✓ Recreation

Analysis of State Issues and Challenges [Section 124(c)(3)(C)]

Criteria for Eligibility for Services

Analysis of the barriers to full participation of unserved and underserved groups of individuals with developmental disabilities and their families

Availability of assistive technology

Residential Data

Wait Lists

- a. Entity who maintains wait-list data for residential services
- b. Indicate if there is a statewide standardized data collection system in place for residential services
- c. Indicate service level for people waiting for residential services
- d. Provide information about how the state places or prioritizes people to be on the wait-list.

- e. Describe the state’s wait-list definition for residential services and include other definitions for other wait-lists (as appropriate).
- f. Indicate if people on the wait-list have gone through an eligibility and needs assessment
- g. Indicate if there are structured activities for people or families waiting for services to understand their options or assistance in planning their use of supports when they become available.
- h. Specify any other data or information related to wait-lists.
- i. Provide a summary of waiting list issues or challenges.

Analysis of the adequacy of current resources and projected availability of future resources to fund services.

Analysis of the adequacy of health care and other services, supports, and assistance that individuals with developmental disabilities who are in facilities receive

To the extent that information is available, the adequacy of home and community-based waivers services (authorized under Section 1916(c) of the Social Security Act (42 U.S.C. 1396n(c))).

Rationale for Goal Selection [Section 124(c)(3)]

Provide a description of the rationale used for Goal Selection. This can include information about the need’s assessment, public input, unserved and underserved population information and connectivity with the information and analysis found in the comprehensive review.

Collaboration [Section 124(c)(3)(D)]

- (i) As a Network, describe the collaborative plans of the Council, P&A, and UCEDD(s)
- (ii) With each other, describe plans the Council has to collaborate with the UCEDD(s). Describe the plans the Council has to collaborate with the P&A (anything other than the planned collaboration objective).
- (iii) With other entities, describe how the DD Network will collaborate with other entities in the State, including both disability and non-disability organizations, as well as the State agency responsible for developmental disabilities services. Identify the organizations and summarize the collaborative activities planned, such as join meetings, joint public education events/initiatives, joint trainings, etc.

5-YEAR GOALS

Once the Council annual Program Performance Report is completed and the progress made toward goals and objectives is determined, state plan updates or amendments may be necessary. If updates or amendments are necessary, the State plan will be modified within the ACL Reporting System.

If adding or deleting, or a new 5-year goal, this would be considered a substantive change and a state plan amendment would be submitted August 15th (Council approval and a minimum 45-day public comment period is needed).

A list of goals will appear pre-populated from the previous plan; click on each goal to make amendments (if substantive) or updates (non-substantive). Once a goal is clicked, the screen will show the goal description, the expected goal outcomes, and objectives for the goal.

Objectives: The screen will show pre-populated objectives. If adding a new objective, deleting a current objective, or updating a current objective, the updates will be made in this section.

EVALUATION PLAN

The plan identifies method(s) the Council uses to determine if the goals of the plan have been achieved. Separate information about evaluation of the self-advocacy goal and/or objective and the required activities must be included. Include updated evaluation information, if appropriate.

LOGIC MODEL

Logic model updates should be included. Follow ACL Reporting System instructions to upload an updated logic model.

PROJECTED COUNCIL BUDGET

Provide the budgeted amount for each goal; federal dollars and other funds.

A Council State plan budget is required for the fiscal year of the amendment or update and is a projection of planned spending organized by goals and includes funds anticipated to be expended for staff activities implementing the state plan as well as planned activities, general management, and designated state agency functions. Additionally, Councils will indicate the amount of non-federal funds they expect to receive directly or offered by sub-grantees to meet overall requirements for the non-federal share of project activities related to the federal fiscal year's expenditures.

The federal share of the cost of projects or activities may not be more than 75% of the cost of such activities (25% non-federal share requirement).

There are two exceptions:

- 1) In the case of projects undertaken by the Council or Council staff to implement State plan activities, the federal share of the cost of all such project may not be more than 100% of the aggregate necessary cost of such activities (e.g. no non-federal share requirement).
- 2) In the case of projects whose activities or products target individuals with developmental disabilities who live in urban or rural poverty areas, as determined by the Secretary, the Federal share of the cost of all such projects may not be more than 90% (e.g. 10% non-federal requirement); if 20% or more of an urban or rural area is living below the poverty level, the area is designated as a poverty area.

Provide administrative budget information

General Management Subtitle B

General Management Other(s) \$

Functions of the DSA Subtitle B (federal dollars; not to exceed 5% of Council grant award or \$50,000, whichever is less, up to ½ of expenses found to be necessary for the proper and efficient exercise of the functions of the Designated State Agency).

Functions of the DSA Other(s) \$

ASSURANCES

Assurances were submitted with the initial 5-Year State plan. If there has been a change in the Designated State Agency, please check with Sara Newell-Perez (Sara.Newell-Perez@acl.hhs.gov) to determine the need for new assurances. If new assurances need to be submitted, the Council will submit to AIDD directly.

PUBLIC INPUT AND REVIEW

Public Review comments (a 45-day public comment period is required for amendments to State Plan goals).

Provide a description of how the Council made the plan amendment items available for public review and comment. Include how the Council provided appropriate and sufficient notice in accessible formats of the opportunity to review and comment.

Complete the Public Input and Review section with appropriate information to support changes. The information should include a description of how the Council considered the comments and responded.

ANNUAL WORK PLANNING

An annual work plan must be developed for each federal fiscal year of the State plan (please see [“What is Due and When? Calendar for Federal Reports”](#) for details), submitted, and approved by the AIDD staff.

All elements of the annual work plans should be reviewed and updated annually to ensure the most accurate information is reflected in the ACL Reporting system. As a reminder, the information from the annual work plan(s) is used to populate the Program Performance Report.

STATE PLAN CHANGES

This section indicates the sections that have been changed. In the field titled “Nature of Change”, Council staff should provide information to assist the AIDD reviewer with locating the change. It is not necessary to provide the rationale for why the Council is making a change. For example, if you made a grammatical change to a goal statement that did not change the overall intent of the original goal, simply indicate “grammatical change to Goal 1” (this would be classified as a non-substantive change) or in the case of adding a goal “added Goal to address Health” (this would be classified as a substantive change).

In the case of annual work plan changes, simply indicate the objective and what changed (by area, do not restate the activities or why the Council wanted to add activities). For example, Objective 2 added three key activities with outputs, outcomes, measurement and performance measures or Objective 3 updated performance measures.