

# INFORMATION FOR COMPLETING A STATE PLAN UPDATE OR AMENDMENT

Information to assist staff of State/Territory Councils on Developmental Disabilities

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## Introduction:

Each year Councils on Developmental Disabilities must either amend or update their 5-Year State Plan.

State plan updates are due each year for the current federal fiscal year as determined by the Administration for Community Living, Administration on Disability, Office of Intellectual and Developmental Disabilities (ACL/AoD/OIDD).

This document provides basic information for amending or updating the 5-year plan.

This information does not take the place of knowing the official reporting requirements. If you have specific content questions, please contact your assigned Program Specialist at ACL/AoD/OIDD.

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### What is a state plan update?

- 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.

### What is a state plan amendment?

- 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 state plan amendment is necessary, the Council must conduct a 45-day public comment period ([45 C.F.R. 1386.31](#)).

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*Guidance for completing sections of the report.*

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### **Council identification**

There are five areas for information:

- 1) State plan period
- 2) Contact Information
- 3) Council Establishment
- 4) Council Membership
- 5) Council Staff

#### **Identification**

Provide contact information for the person who can answer questions about the report. Provide other information as requested.

#### **Council Establishment**

Provide the date the Council was established. Include information about how the Council was authorized (state statute, executive order), and citation information (statute number, Executive Order number).

#### **Council membership**

Provide information about the rotation plan. Include information about term limits; how the Council informs the Governor of vacancies; provide updates on previous membership comments and status, and other relevant information.

#### **Update the membership roster:**

Add new Council member(s), delete replaced Council members.

Provide the beginning appointment date and the end date for the appointment; alternate agency representative name; category code, geographical code, race/ethnicity code, and gender.

For existing members, the appointment date should reflect the **initial** appointment date. If there are vacant positions, insert the word “vacant” in the name columns, “O” for gender, D8 for race, E1 or E2 (as appropriate), the category code for the vacant member, the initial date of the vacancy, and an end date for the term.

When identifying council members geographical area (urban or rural), the US Census Bureau defines urbanized areas, as those which contain 50,000 or more people; and urban clusters as those which have at least 2,500 people but fewer than 50,000 residents; anyone not living in an urbanized area or cluster would be considered rural.

### **Council Staff**

Add or delete staff names.

Enter the percentage of time for each position, the working title of the position, race/ethnicity, and disability status (note: race/ethnicity and disability status include codes to show “do/does not wish to answer”).

### **Designated State Agency**

There are five areas for information:

- 1) DSA Agency details
- 2) Direct Services
- 3) Memorandum of Understanding/Agreement
- 4) DSA Roles and Responsibilities related to the Council
- 5) Calendar year the DSA was designated

**Agency Details:** Indicate whether the DSA is the Council or another agency. Provide requested information and contact information for the agency.

**Direct Services:** Indicate whether the DSA provides or pays for direct services to persons with developmental disabilities. If you answer this question yes, describe the general category of services the agency provides to people with intellectual and developmental disabilities.

**Memorandum of Understanding/Agreement:** Indicate whether the Council has a Memorandum of Understanding with the DSA.

**DSA Roles and Responsibilities related to the Council:** Describe how the DSA supports the Council. Include information about the types of support the DSA provides to the Council.

**Calendar year the DSA was designated:** Provide the year.

## Comprehensive Review and Analysis (CRA)

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

There are six areas for information in this section 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**) with an explanation of the prevalence rate 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 waitlist.
- e. Describe the state's wait-list definition for residential services and include other definitions for other waitlists (as appropriate).
- f. Indicate if people on the waitlist 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 **amending** the State plan Goal(s). Describe how the Council used information from the updated CRA to determine a major change in an existing goal, or a deletion or addition of a goal.

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

- (i) As a Network, describe the collaborative efforts of the Council, P&A, and UCEDD(s) and how each partner will use their resources in collaboration efforts that are supported by the Comprehensive Review and Analysis.
- (ii) With each other, describe plans the Council has with the UCEDD(s). Describe the plans the Council has to collaborate with the P&A and how each of these plans will support the Council purpose. Note: 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 to assist with the Council's 5-year plan. Identify the organizations and summarize the collaborative activities planned, such as joint 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.

Goals: Contact your assigned Program Specialist before acting on an amendment. Your Program Specialist will determine if an amendment is necessary. 45 CFR requires a 45-day public comment period 1326.31.

Objectives: Adding or deleting an objective is an **update**. Changing the wording of an objective is an **update**. These types of updates do not require public comment. But follow all State and Territory rules about public comment periods.

### Evaluation plan

Review the evaluation plan to determine if updates are necessary. Make sure the plan includes information about how you will evaluate the self-advocacy goal and/or objective separate from other projects.

### Logic model

Review the logic model and provide updates.

### Projected Council Budget

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

A budget must be submitted with a state plan update or amendment.

The budget shows the spending plan for the fiscal year and is organized by goal. The amounts should show how the Council plans to spend money for staff, state plan activities, general



management, and DSA functions. Show the amount of non-federal funds the Council expects to receive from other sources to implement the State plan. Amounts should relate to the federal fiscal year costs.

Column information:

**Subtitle B \$**

Report the amount of federal funds the Council has planned to use on goals, general management, and functions of the DSA.

**Other(s) \$**

Report the amount of money (other than your federal grant award) the Council has planned to use on goals, general management, and functions of the DSA.

**Total**

Add the columns Subtitle B\$ and Other(s) \$.

***Line-item information:***

“General management” means costs related to the operation of the Council office and program. Examples are council meetings, rent, utilities, dues, travel, rental of equipment and staff that do not conduct state plan activities.

“Functions of the DSA” is the amount of money a DSA can request to be paid for costs necessary to support the Council. Subtitle B funds (federal funds) cannot exceed 5% of the 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. Costs in this category are administrative costs.

The Subtitle B\$ column amount for General management and Functions of the DSA cannot exceed 30% of the Council’s annual award.

**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 your assigned Program Specialist to determine the need for new assurances.

**Public input and review**

Public Review comments (a 45-day public comment period is required for amendments to State Plan goals as indicated in [45 CFR 1326.31](#)).

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

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

### Annual Work Planning

A separate work plan must be developed for each federal fiscal year of the 5-year plan. See the resource [“What is Due and when? Calendar for Federal Reports”](#) for details and due dates.

Review the previous year’s work plan to determine if changes/updates need to be made to the upcoming Federal Fiscal Year annual work plan.

Special NOTE: Please include the objective that deals with emerging needs (natural or manmade disasters) in each FFY annual work plan. You are allowed to mark key activities, expected outputs and outcomes, and data and evaluation fields with a “TBD” notation and insert zeros for the projected performance targets. This guidance applies to this objective ONLY.

For all other objectives:

The annual work plan includes the following information by goal: a description of the goal, areas of emphasis, activities to be used in achieving each goal, identification of areas the goal will address, and collaborators planned for the goal; and for each objective, a description of the objective with identification of the following:

- ✓ Key activities
- ✓ Expected outputs.
- ✓ Expected objective outcomes.
- ✓ Data evaluation and measurement
- ✓ Targeted, projected federal performance measures for each objective.

### Key activities

Identify the **major** activities the Council will use to reach the objective and support progress towards the 5-year goal.

*State plan activities are derived from the unmet needs of the citizens of the State/Territory (§124(c)(4)(A)(i)).*

*General management activities should **not** be included as a key activity. General management is typically defined as any activity that is a standard part of implementing the DD Council program. Examples of general management activities are Council meetings, RFP and contracting*

*activities, staff, and committee work activities to review the state plan, awarding grants, paying invoices.*

Additional notes on key activities: Focus on what the key activity will address. For example, “providing funding” or “fund a grant/contract” is sometimes listed as a key activity. The focus on the key activity is the funding rather than what the funding will address. Rephrase key activity statements so that the focus of the funding will support outcomes for people with DD, their families, or will address a system change.

### **Expected Outputs**

Outputs are the measurable things a key activity produced. Examples of expected outputs are the number of training curriculum developed, number of training sessions conducted, number of communities identified to increase accessibility to services, support and other assistance.

Identify the outputs the Council expects from implementing the key activity. Reminder: the expected outputs entered in this section will be used to populate the program performance report.

### **Expected Objective Outcomes**

These are the effects a key activity produced for people with developmental disabilities and their families, and outcomes from issues the Council addressed through an activity. An outcome is the change that is expected to occur because of the key activity. Examples of expected outcomes are People with DD and their families in rural areas are more knowledgeable about services and access new services to meet their needs; community education efforts increased volunteerism opportunities by 10% in “ABC” community; policymaker education and information increased affordable housing options.

Identify the expected outcomes for people with developmental disabilities and their families because of the activities implemented. Reminder: the expected outcomes entered in this section will be used to populate the program performance report.

*Focus on the outcome(s) for a person with developmental disability, their family, or services, supports, or other assistance for people with developmental disabilities.*

### **Data Evaluation and Measurement:**

Data evaluation is the process of collecting and analyzing data to determine if and to what extent the project, objective, and 5-year goals have been achieved. Measurement is collecting data and is typically thought about in two ways – quantitative (numbers) and qualitative (stories and experiences).

Identify the data you will measure (examples of data include program records, pre and post-tests, surveys, interviews, focus groups). *Note: Data evaluation and measurement should NOT be the same as items listed under "Expected Objective Outcomes."*

**Record Keeping:**

Keep a copy of your State Plan updates or amendments as submitted. Once approved, download the approved copy and keep on file.