

**11/17/80 [2]**

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THE WHITE HOUSE  
WASHINGTON

11/17/80

ANNE WEXLER

The attached was returned in  
the President's outbox today  
and is forwarded to you for  
your information.

Rick Hutcheson

THE WHITE HOUSE  
WASHINGTON

Date: 11-17-80

TO: RICK HUTCHESON

*Rick, I noted RSC's comment to me  
and am returning this to you since  
it's the original.*

*mfm*

FROM: Madeline MacBean  
200-EW  
456-6633

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THE WHITE HOUSE

WASHINGTON

November 12, 1980

*m - FYI*  
*We approved*  
*most of this -*  
*all but few*  
*activities &*  
*are combining*  
*some of*  
*those*  
*groups -*  
*R*

MEMORANDUM FOR THE PRESIDENT

FROM:

ANNE WEXLER *Anne*

SUBJECT:

EXPRESSIONS OF APPRECIATION

We have developed a system to organize your expressions of appreciation to (a) campaign workers and supporters and (b) administration officials, White House staff and outsiders who were crucial to our efforts over the last four years. Because lists are located here and at the campaign, careful organization will be necessary to avoid omissions or duplications.

In sum, each White House unit, the campaign and Cabinet and agency heads will be asked to submit names by category of appreciation (e.g., gifts, letters, photo opportunities, social events). A small executive group will make final decisions on the names in the various categories of appreciation.

The purpose of this memorandum is to obtain your approval of the major categories and some initial ideas on social events beyond those already submitted to you by Gretchen Poston.

I. Categories of appreciation

The following list is in roughly descending order although inclusion in one major category would not preclude inclusion in another.

A. Gifts

1. A total of 300 numbered, privately produced books from Set Momjian. 150 copies of etchings of special scenes in the Mansion and 150 artistic photographs of Mansion rooms. These are similar to books you have given on previous occasions and I believe the First Lady has looked at some of the etchings and photographs. These books would be inscribed by you and/or the First Lady as Christmas/Thank you gifts to:

The Cabinet  
Personal friends  
House and Senate Leadership  
Other people you want to thank  
with a very personal gift

Most of these books will be available in time to be sent out for Christmas, although they can be used afterwards.

2. 500 Large Prints of a watercolor selected by you, numbered and signed by the painter and signed by you. This is intended to be the top gift for people not included among the 300 books for personal friends (above). This group includes people recommended by the Senior Staff, top contributors, the people who ran your campaign in the various states, special outsiders and key White House staff and agency heads.
3. 3000 Large Prints of a watercolor selected by you with your signature offset. They will not be individually numbered and signed by the painter. These will be sent to your appointees together with a cover note expressing appreciation for their service.
4. 20,000 Watercolor Prints of a picture selected by you of the size of the large version of the Christmas Card (smaller than the large prints discussed above). This is intended for the bulk of those recommended to receive special recognition for their support of the Administration. Your signature would be offset on each print.

Note: You should make this selection as soon as possible. I will bring the choices to the 3 p.m. meeting.

APPROVE \_\_\_\_\_

DISAPPROVE \_\_\_\_\_

B. Telephone Calls and Letters

1. Phone Calls -- being submitted by campaign and White House staff. Phone calls will be tracked by computer to coordinate with other categories. In addition, all of the phone calls made during the campaign are being reviewed for inclusion in the various categories.
2. Handwritten notes. A small number of handwritten notes will be recommended by the campaign and White House staff for people who deserve extra special recognition even if they are included in one of the other categories. We consider this to be a special case situation.

3. Individually typed letters. About 5000 autopenned, individually typed letters can be sent based on the recommendations of the campaign and White House staff for extra special situations even if the recipient is included in one of the other categories.

4. 100,000 to 150,000 Mass Produced Letters

This is intended to cover the bulk of people who have worked with the Administration on issues over the last four years or were active in the campaign and who have not qualified for one or the other categories. They can be produced by computer.

APPROVE \_\_\_\_\_

DISAPPROVE \_\_\_\_\_

C. Photo opportunities

Recommended photo opportunities submitted by the staff and campaign will be scheduled with Phil Wise. We will recommend photo opportunities including family members for the White House Senior Staff, the Special Assistants, the Deputies and certain key additional members of the White House staff. Generally these will be in the same category as those who received photo opportunities on earlier departures from the White House staff. In addition, the campaign will recommend certain selected campaign leaders for similar photo opportunities and we anticipate recommending some for Washington based people who have been instrumental in your Administration over the last four years (e.g., Lloyd Hackler).

D. Autographed pictures of you

We will continue to provide autographed pictures based on staff recommendations as has been past practice. While we will track this effort, we do not see a reason why receipt of a picture should be exclusive of the other gift categories.

II. Social Events

We recommend using the traditional Christmas Events as occasions to say "thank you" to the vast majority of staff and support personnel, the Congress as a whole and the White House Press Corps in general. In addition, as has been the practice with past President's on leaving office, we recommend a series of events in January to express appreciation to a large number of people who have been supportive of the Administration.

A. Christmas Events

Gretchen has already submitted a list of Christmas Events. She includes a dinner on December 15 for the Senior Staff and the Cabinet. I would recommend adding Senior Staff Deputies to this dinner both because of the extensive effort they made on your behalf over the last four years and because they are an integral part of White House leadership.

On Deputies:

APPROVE \_\_\_\_\_

DISAPPROVE \_\_\_\_\_

B. January Events

As soon as you can get back from Christmas vacation, you should host a series of dinners, receptions, parties running right up to January 19. On January 19 you should host the Cabinet and the Senior Staff at a private dinner. In addition, some suggestions from Tom Donilon are attached. If you concur with the concept, I will submit a detailed schedule in the next several days.

APPROVE \_\_\_\_\_

DISAPPROVE \_\_\_\_\_

MEMORANDUM

THE WHITE HOUSE

WASHINGTON

November 11, 1980

NOTE FOR ANNE WEXLER

FROM: TOM DONILON 

RE: PRESIDENTIAL ACTIVITY IN JANUARY

You asked for suggestions for activity during the month of January. From a political point of view, I believe that it would be beneficial to have the President active during January expressing his appreciation to those people who have helped him and the Democratic Party over the past four years. We owe it to the Party to use the resources of the White House to maximum advantage during the President's last weeks in office.

The following are suggestions that need to be developed and checked with the appropriate White House Assistant:

- o A Dinner with Democratic Governors
- o A Dinner with the top 10 Democratic Mayors
- o A Reception for Democratic Mayors
- o Key Black Leaders Reception
- o Hold the DNC Meeting during January and host a reception at the White House. Have Executive Committee to Dinner the evening before.
- o Key Hispanic Reception 
- o Labor Leaders Dinner and reception
- o Series of lunches with key political leaders from key states (8-10 at a time)
- o Key fundraisers reception
- o A large reception for political leaders from around the country. 

11/17/80

SECRETARY MILLER  
JIM MCINTYRE

The attached was returned in  
the President's outbox today  
and is forwarded to you for  
appropriate handling.

Rick Hutcheson

CC: ARNIE MILLER



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

NOV 17 1980

*(Handwritten mark)*

MEMORANDUM FOR THE PRESIDENT

FROM: JAMES T. McINTYRE, JR. *Jim*

SUBJECT: Appointment of the Synthetic Fuels Corporation Advisory  
Committee Chairman

The Synthetic Fuels Corporation Act creates an Advisory Committee to advise the Board of Directors and the Chairman of the SFC.

The Act provides that the President designate the Chairman of the Advisory Committee among the members of the Committee, which is composed of the Secretaries of Defense, Energy, Interior and Treasury, and the Administrator of the Environmental Protection Agency.

The EPG recommends unanimously that you designate the Secretary of Energy as Chairman of the Advisory Committee and the Secretary of the Treasury as Vice-Chairman.

                     Approve

                     Let's Discuss

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(12:00)

THE WHITE HOUSE

WASHINGTON

Luncheon with Campaign Workers  
Monday, November 17, 1980  
The Cabinet Room  
(60 minutes)

- I. PURPOSE: to thank them for their efforts
- II. PARTICIPANTS: see attached list\*
- III. BACKGROUND: all invitees today worked for the campaign during the primary and general election periods.
- IV. PRESS: White House photographer

\*In addition to those on attached list, the following were invited but were unable to accept because they are travelling: John Rendon, Jerry Austin, Jay Hakes, Jay Beck, and Dan Horgan.

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17 nov 80

Jim McIntyre .

The attached was returned in  
the President's outbox today  
and is forwarded to you for  
appropriate handling.

Rick Hutcheson



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

NOV 13 1980

*Jim -*  
*These reports*  
*should be published*  
*prior to 1/20*

MEMORANDUM TO THE PRESIDENT

FROM:

Jim McIntyre *Jim*

SUBJECT:

Management Improvement Projects

I would like to bring you up-to-date on two of our management improvement projects that are beginning to pay dividends.

Immigration and Naturalization Service. At the request of the Attorney General, we undertook in March of this year a broad management review of INS operations. The INS was one of the most criticized agencies in the survey of Congress conducted early in your Administration, and events such as the Iranian student situation have graphically illustrated the recordkeeping and enforcement problems at INS.

We set up a special interagency study team under the auspices of the President's Management Improvement Council to conduct the review. Although the study team is looking at almost every aspect of management operations, it is giving special attention to helping the INS develop its goals and operating strategies--something that has not been done in recent years and which explains some of the current problems. The study team also is heavily involved in developing information systems that will provide needed data and help reduce the backlog of applications for naturalization and other benefits.

The study team has gained the confidence of INS staff, Justice officials, the concerned Congressional committees, and GAO, and has been very successful in implementing improvements to INS operations. Although a complete fix will extend over several years, I believe we are on the right track. We are also working with the Justice Department to recruit an experienced Deputy Commissioner for INS. We have identified several candidates with the help of the White House Personnel Office and will give the Attorney General the final candidates shortly.

Debt Collection. The significant and increasing amount of overdue debts owed the government prompted us to establish a Debt Collection Project in August 1979, also under the sponsorship of the President's Management Improvement Council.

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The project staff, consisting of representatives from both the government and the private sector, has been conducting an extensive review of credit management and debt collection practices in twenty-four agencies. These agencies account for over 95 percent of the \$175 billion in debt owed the government. The review includes: (1) analyzing the universe of government receivables in terms of age, delinquency rates, write-offs, and expected losses; (2) evaluating the effectiveness of each agency in the management of receivables; and (3) identifying solutions to both agency and government-wide problems.

The agencies already are taking many actions to improve their credit management and debt collection practices as a result of the review. We are now addressing the major government-wide issues which need to be resolved, including: (1) the establishment of formal centralized monitoring of agency performance in receivable management; (2) the use of private sector tools, such as credit bureaus and collection agencies to improve the government's collection efforts; and (3) the issuance of more explicit guidelines on credit management and debt collection in the government. A final report is targeted for January 1981.

THE WHITE HOUSE  
WASHINGTON

11/18/80

STU EIZENSTAT

The attached was returned in  
the President's outbox today  
and is forwarded to you for  
appropriate handling.

Rick Hutcheson

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for Preservation Purposes

THE WHITE HOUSE  
WASHINGTON

November 18, 1980

MEMORANDUM FOR THE PRESIDENT

FROM: STU EIZENSTAT *Stu*  
DIANA ELMES

SUBJECT: INTERAGENCY INDEPENDENT LIVING INITIATIVE

*Stu - Rewrite  
letter. Begin with  
an outlining preparatory  
work which has  
already been done -  
assurance of financing,  
then call to  
participate  
J*

Last spring you announced that a new independent living project would be launched this fall. This project would utilize existing program funds to provide housing and services to assist handicapped people in living outside of institutional-type facilities.

Since then we have worked with seven agencies (ACTION, the Community Services Administration, the Departments of Education, Health and Human Services, Housing and Urban Development, Labor, and Transportation) to obtain specific commitments of existing program resources which could be devoted to this project, and to develop a specific program design for administering this new initiative. Through these efforts we have obtained commitments from the seven agencies which assure that over \$80 million in on-going program funds will be available to expand current independent living capability for the physically, mentally, and developmentally disabled. We have also developed a process for making these funds available to community independent living programs which, we believe, will generate state government involvement and commitment to independent living efforts. This process requires each Governor interested in participating in this Interagency Independent Living Initiative to submit comprehensive "letters of intent" describing resource commitments and activities within their state devoted to independent living. On the basis of these letters, up to fifteen states will be selected for funding through this Initiative.

We have prepared the attached letter for your signature to be sent to all Governors inviting their participation. If you agree we will finalize the launching of this Initiative through the sending of these letters. (A press release describing the Initiative was issued October 31.)

AGREE \_\_\_\_\_

DISAGREE \_\_\_\_\_

Attachment

Dear Governor

Thousands of handicapped persons could live more independently outside of institutional-type facilities if community-based housing and services were available to assist them. Because of this fact, I am launching a new Interagency Independent Living Initiative designed to encourage the development of independent living programs for disabled people. I invite your State's participation in this Initiative and your full support for all independent living programs.

Enclosed are materials which describe the new Initiative in greater detail. Of special interest to you is the description of the letters of intent which each state interested in participating, must prepare and submit to the Department of Health and Human Services.

This Initiative meets a commitment I made last spring to expand our current independent living capability and to dramatize how existing federal programs can be coordinated and utilized more effectively and efficiently to make independent living possible for more handicapped people. I hope that you share this commitment and will be interested in participating in this exciting new effort to help thousands of handicapped people lead more independent and fulfilling lives.

Sincerely,

Enclosures

## FACT SHEET ON INTERAGENCY INDEPENDENT LIVING INITIATIVE

### INTRODUCTION

Independent living is a new concept in the rehabilitation of handicapped people which calls for providing housing and services that enable disabled persons to become fully functioning members of society, living independent of institutions and with reduced dependence on family and friends. The ultimate goals of a community-based independent living project are to enable handicapped persons to improve the quality of their lives, choose their own lifestyles, and minimize reliance on others in making decisions regarding self-maintenance. Essential elements of independent living range from basic human needs like food, shelter and income, to job training, education, case management, transportation, interpreter services and counseling.

Because no one program and no one agency can fully meet the diverse needs of handicapped people attempting to live independently, this Interagency Initiative is being launched to show how ongoing programs can be tapped for purposes of expanding current independent living capability for three groups of handicapped people who have traditionally been served through separate authorities at Federal, state and local levels: physically, developmentally and mentally disabled (including chronically mentally ill) people. The specific goals of the Initiative are:

- o To create additional and/or expand existing community-based independent living projects with resources made available through ongoing Federal, state and local programs.
- o To heighten government and public awareness about the concept of community-based independent living for handicapped individuals, and to acquaint consumers and decision-makers with a range of programs available to independent living projects.
- o To promote Federal, state and local cross-program cooperation for purposes of facilitating independent living for the physically, mentally, and developmentally disabled.

- o To learn about and evaluate new and creative methods for tapping ongoing programs to meet independent living needs
- o To strengthen and expand existing state and local capabilities to plan and deliver independent living-related housing and services.

DESCRIPTION

This Initiative will be implemented through the following steps:

1. The President will invite each Governor to submit a "letter of intent" if the state is interested in participating in this Initiative. These letters assess independent living resources and capability within the state and indicate state and local commitment to this Initiative.
2. Governors of interested states will create a Task Force to plan and prepare the letter of intent.
3. A Federal Coordinating Task Force comprised of agencies participating in this Initiative will select up to fifteen states on the basis of state and local independent living commitment and capability as indicated in letters of intent.
4. States selected for participation will invite proposals from private non-profit and public organizations interested in developing or expanding independent living projects.
5. Applicants for Initiative funds must obtain commitments from appropriate state and local agencies regarding the level of present and continuing support that the state or local agency plans to provide.
6. Proposals will be collected, reviewed and ranked by the Governors' Task Force. This ranking will be considered in the final selection process.

7. Proposals will be reviewed in full by the Federal Coordinating Task Force for overall determination of project merit. In addition, each agency will review those elements of the proposal that request funds from that agency. Final funding will be approved only if individual agencies and the Federal Coordinating Task Force approve the proposal.
8. Applicants selected for funding will receive financial or other assistance through generic Federal programs.

Resources available to this Initiative include:

- o ACTION VISTA volunteers
- o The Community Services Administration's Community Action Agency Local Initiative grants.
- o The Department of Education's special independent living contracts.
- o The Department of Health and Human Services' waiver authority for eligibility and other criteria under Medicaid.
- o The Department of Housing and Urban Development's rental assistance program.
- o The Department of Labor's Comprehensive Employment and Training Act (CETA) program.
- o The Department of Transportation's capital assistance program for transporting the elderly and handicapped.

Through the combined resources of these programs over \$80 million will be available to expand current independent living capability.

INTERAGENCY INDEPENDENT LIVING INITIATIVE



INTERAGENCY INDEPENDENT LIVING INITIATIVE

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## OVERVIEW

Because no one program and no one agency can fully meet the diverse needs of handicapped people attempting to live independently, this Interagency Initiative is being launched to show how ongoing programs can be tapped for purposes of expanding current independent living capability for three groups of handicapped people who have traditionally been served through separate authorities at Federal, state and local levels: physically, developmentally and mentally disabled (including chronically mentally ill) people. Under this Initiative, up to fifteen states will be selected to receive additional program resources and technical assistance to complement non-institutional community based independent living efforts, both new and existing, for these three population groups. Participation of states will be determined on the basis of the content of "letters of intent" which assess independent living resources and capability within the state and indicate state and local commitment to this Initiative.

Once the initial selection of states is made, proposals for funding will be solicited from local private non-profit and public organizations. These proposals will outline how applicants would utilize Initiative funds to initiate or expand independent living projects for the mentally, physically and/or developmentally disabled within a given community. Independent living models will not be imposed from the

Federal level but will be left to the discretion and creativity of applicants. Approximately seven to ten projects in each state will be funded through generic Federal programs. Projects will be approved by the Federal Coordinating Task Force on the basis of organizational capability, consumer involvement, appropriateness of services, and other factors as outlined in later sections. Final selection for funding will require approval of both the Federal Coordinating Task Force and the individual agencies from which resources are sought.

BACKGROUND

Within the past few years a new concept in the rehabilitation of handicapped people has emerged called "independent living" which had its origin in providing services for severely physically handicapped individuals to enable them to become fully functioning members of society, living independent of institutions and with reduced dependence on family and friends. The concept is today also highly significant for developmentally disabled and mentally disabled people who, via community based programs, have been able to leave or avoid the more restrictive environment of institutions. The ultimate goals of a community based independent living project are to enable handicapped persons to improve the quality of their lives, choose their own lifestyles, and minimize reliance on others in making decisions regarding self-maintenance. These goals are sought by all handicapped people whether physically, mentally or developmentally disabled.

This self-determination and self-direction is possible only if a wide variety of support services are readily available to meet the needs of handicapped people. Such services cover a broad spectrum ranging across basic human needs such as housing referral and assistancé; personal assistance; independent living skills training; treatment, habilitation and rehabilitation; and social and integrative services.

A number of social service and other programs can be tapped to provide many of the services needed. However, these programs are spread across a number of agencies with funds dispensed through a variety of processes. There is at present no mechanism at the Federal level for funding these services from various agencies in a coordinated manner. This Initiative will, for the first time, provide for Federal coordination among seven agencies with programs which can meet independent living needs.

#### A. Independent Living Programs

A number of community-based programs have been initiated around the country which characterize themselves as "independent living projects" and which provide and coordinate services that assist developmentally, physically, and/or mentally handicapped persons in minimizing their dependence on others. Each of these programs represents a diverse array in terms of sponsorship, services offered, community placement, and general approach, although most share a commitment to consumer direction and control. Some projects are "center-based"; others are basically providers of more or less comprehensive services. Three types of currently functioning models are defined as follows:

An Independent Living Services Provider is an organization

that does not have a full independent living or community support program per se, but does provide some services that contribute to opportunities for independent living for disabled persons. This could range from a Community Mental Health Center providing psychosocial rehabilitation services to a Community Action Agency to many others.

An Independent Living Center is a nonprofit organization, controlled by handicapped consumers. It is non-residential in nature and provides or accesses services such as attendant, reader and/or interpreter services or referral; peer counseling; financial and legal advocacy; and housing assistance, community awareness and barrier removal.

An Independent Living Residential Center provides housing, attendant care and transportation referral or service. One example may be a mental health or mental retardation agency providing group home or cooperative apartment services. Other services also can be provided or accessed through other agencies or providers.

This Interagency Initiative will encourage the development and expansion of these three and other new types of independent living projects.

B. Range of Services

Services offered by a particular project will vary according to the population being served, the situation in existence at the local level, and the requirements of specific programs from which funding is requested. The range of services identified in this section does not preclude a given project from developing additional services; rather, these services are presented as the basic elements from which a program can be constructed and to which other services can be added according to identified needs. It should be stressed that few consumers would need all or most of these services at any given time.

Appropriate services for projects include:

I. BASIC HUMAN NEEDS

a) Shelter:

- o Housing referral or emergency housing assistance
- o Housing provision: group homes, cooperative apartments, other residential opportunities

b) Food:

- o Meal planning and purchasing assistance
- o Food preparation supervision or assistance
- o Food cost assistance counseling

c) Clothing

d) Income:

- o Financial support
- o Financial aid counseling

e) Personal Assistance

- o Attendant care referral, assistance and training
- o Home management training and assistance
- o Homemaker or housekeeping assistance

f) -Human Interaction/Mobility:

- o Independent living skills training (lifeskills development)
- o Interpreter services
- o Reader services
- o Mobility training
- o Barrier removal
- o Vehicle modification
- o Advocacy
- o Wheelchair or equipment repair and maintenance
- o Family relations planning
- o Counseling and training in community living

2. HABILITATION AND REHABILITATION NEEDS

a) Vocational:

- o Prevocational training
- o Vocational assessment and counseling
- o Vocational education
- o Job-seeking training
- o Sheltered work opportunities
- o Work activities programs
- o Transitional employment
- o Job development, placement and follow-up support

b) Educational:

- o Consumer education on goods and services
- o Adult education (high school and college)

3. INTEGRATIVE SERVICE NEEDS

- a) Case identification
- b) Information and referral
- c) Service planning
- d) Case management; client advocacy
- e) Transportation referral and assistance
- f) Public education and information
- g) Service system: planning, management, monitoring

4. TREATMENT NEEDS

a) General Medical Services:

- o Physician assessment of care
- o Nursing assessment and care
- o Physical therapy
- o Occupational therapy
- o Speech/hearing therapy
- o Medical rehabilitation
- o Nutrition counseling
- o Medication monitoring
- o Home health services
- o Dental services

b) Mental Health Services:

- o Diagnosis and assessment
- o Counseling
  - peer counseling
  - family counseling
- o Psychotherapies
  - individual
  - group
  - family
  - partial hospitalization
  - day treatment
- o Self-medication training
- o Medication monitoring (psychoactive)
- o Crisis stabilization services
  - protective supervision
  - on-site crisis services
  - telephone crisis services
  - emergency hospitalization

5. SOCIAL SERVICE NEEDS

- a) Family support
- b) Legal and paralegal services
- c) Entitlement assistance
- d) Peer counseling

Applicants are encouraged to coordinate their plans with existing services in order to develop proposals that will lead to a minimally comprehensive system, which for the purposes of this Initiative is defined as any reasonable arrangement of services which contains elements from all of the above five categories. These linkages with existing services are intended to assure that Initiative funds support new rather than duplicative services within a community.

## II. PROGRAM DESCRIPTION

### A. Goals

This Initiative is intended:

1. To create additional and/or expand existing community based independent living projects with resources made available through ongoing Federal, state and local programs.
2. To heighten government and public awareness about the concept of community based independent living for handicapped individuals, and to acquaint consumers and decision makers with a range of programs available to independent living projects.
3. To promote Federal, state and local cross-program cooperation for purposes of facilitating independent living for the physically, mentally, and developmentally disabled. Where feasible, it is hoped that this cooperation will be institutionalized through the establishment of comprehensive coordinating and planning mechanisms. In addition it is expected that through this Initiative, impediments to cross-program cooperation will be identified, thereby facilitating future policy changes which can improve the ability of programs to meet independent living needs.

4. To learn about and evaluate new and creative methods for tapping ongoing programs to meet independent living needs. In this regard information will be gathered from funded projects regarding costs, techniques and strategies used in accessing resources, changes in the quality of life of the served handicapped population, and changes within the community environment. Information about successful projects and strategies for accessing services will be widely disseminated in order to promote replication.
  
5. To strengthen and expand existing state and local capabilities to plan and deliver independent living-related housing and services.

B. Population to be Served

For the purpose of this program, the population to be served will be defined according to the definition of "handicapped person" established by the Department of Health, and Human Services in their regulation implementing Section 504 of the Rehabilitation Act of 1973:

"Handicapped person" means any person who: (i) has a physical or mental impairment which substantially limits one or more major life activities, (ii) has a record of such an impairment, or (iii) is regarded as having such an impairment".

This definition is interpreted to include physically disabled, developmentally disabled, and mentally disabled (including chronically mentally ill) people.

The focus of this Initiative will be upon adults. However some programs may be available for persons under age 18 and some may have statutory age requirements which individual projects must honor.

In providing independent living services, an applicant is encouraged to serve a diversity of disabilities. It is intended that the applications funded by this Initiative will, to the greatest extent possible, benefit all handicapped groups in an equitable manner. Thus, we anticipate that the physically disabled, developmentally disabled, and mentally disabled will each receive approximately one third of the funding. It is hoped that States, in their recommendation of local projects, will adhere to the same principle of equity.

C. Program Implementation

Long-term state and local commitment to and involvement in promoting independent living services is critical to the success of this Initiative. While the Federal government can support the development of services, including housing, the responsibility for ensuring the provision of the necessary services over the

long term must rest with appropriate state and local agencies. Accordingly, this Initiative is designed to require such involvement at each stage of project development. In addition, consumer participation in planning and management will be required at Federal, state and local levels.

This Initiative will be implemented through the following steps (more detail on these steps is contained in Part III Program Administration):

1. The President will invite the Governors of the 50 states, the Commonwealth of Puerto Rico and the Possessions of the United States, and the Mayor of the District of Columbia (hereafter referred to as "states" or "Governors") to submit a "letter of intent" if the state is interested in participating in this Initiative.
2. Governors of interested states will create a Task Force to plan and prepare the letter of intent. The Governor's Task Force shall be composed of representatives of state agencies responsible for administering Federal programs available to this Initiative, local governments, local organizations of and for handicapped individuals, and others.

3. A Federal Coordinating Task Force comprised of agencies participating in this Initiative will select up to fifteen states on the basis of state and local independent living commitment and capability as indicated in letters of intent.
4. States selected for participation will invite proposals from private non-profit and public organizations interested in developing or expanding independent living projects.
5. Applicants will apply for funds and services from an array of Federal programs and will document significant consumer participation in project management.
6. Applicants for Initiative funds must obtain commitments from appropriate state and local agencies regarding the level of present and continuing support that the state or local agency plans to provide.

7. Proposals will be collected and checked for completeness by the Governor's Task Force. The Governor's Task Force will also review the proposals and provide a ranking based on merit of individual proposals. This ranking will not be binding on the Federal Coordinating Task Force, but will be considered in the selection process. Proposals will then be transmitted from the states to the Federal Coordinating Task Force for review and selection.
  
8. Proposals will be reviewed in full by the Federal Coordinating Task Force for overall determination of project merit. In addition, each agency will review those elements of the proposal that request funds from that agency. Final funding will be approved only if individual agencies and the Federal Coordinating Task Force approve the proposal.

9. Applicants selected for funding will receive financial or other assistance through generic Federal programs. For the purposes of this program, funding award dates may deviate from established schedules in order to assure timely implementation of all elements.

#### D. Funding Authorization

A wide array of programs within each of the seven agencies participating in this Initiative could conceivably be utilized by independent living projects. However, many of these programs have very limited funds or funding requirements, which make targeting upon the needs of the handicapped difficult. Therefore, six agencies have identified core programs believed appropriate to this Initiative through which funds will be available to individual projects.

The seventh agency, the Department of Education, is the one agency which currently has a program specifically targeted to independent living projects (Title VII of the Rehabilitation Act). Thus, Education will be playing a unique technical assistance and program development role during the course of this Initiative by awarding contracts to develop established programs for independent living into exemplary model sites. Education will announce the details of how to apply for these contracts through the Business and Commerce Daily.

In addition, Education will be evaluating the overall success of projects funded through this Initiative, and, along with other agencies, providing technical assistance.

Core programs available to this Initiative are briefly described below. By targeting funds through these core programs this Initiative will dramatize that a variety of programs in addition to Education's Title VII authority can significantly contribute to independent living, and thereby broaden the scope of government assistance to independent living.

Other programs which could be used to supplement specific projects as needed are listed in Appendix A.

#### CORE PROGRAMS

ACTION: VISTA: This program provides volunteers to organizations for purposes of mobilizing community resources and increasing the capacity of the target community to solve its own problems. (See Appendix B for details)

Community Services Administration: Community Action Agency Local Initiative (section 221) Grants. These grants provide funds to 900 CSA recognized organizations (CAAs) which operate locally conceived and administered anti-poverty programs which meet the particular needs of the community. (See Appendix C for details)

Department of Health and Human Services: Grants to State Agency Administering Medicaid (Section 1115 of the Social Security Act). This provision allows for waiver of elements of a State's Medicaid plan, and allows for payment for services that would otherwise not be reimbursed under Medicaid. (See Appendix D for details)

Department of Housing and Urban Development: Lower-Income Rental Assistance (Section 8 Existing). This program provides rent subsidy for lower-income families to help them afford decent housing in the private market. (See Appendix E for details)

Department of Labor: The Comprehensive Employment and Training Act. CETA provides job training and employment opportunities for the economically disadvantaged (which is defined to include handicapped persons), unemployed and underemployed. (See Appendix F for details)

Department of Transportation: Capital Assistance Program for Private Nonprofit Organizations to Transport Elderly and Handicapped Persons (Section 16b2 of the Urban Mass Transit Act). This program provides capital grants to private nonprofit organizations, for 80% of the purchase of vehicles to transport elderly and handicapped persons. A more limited program for purchase of service under Section 6 of UMTA will also be available. (See Appendix G for details)

III. PROGRAM ADMINISTRATION

A. Federal Coordinating Task Force

A Federal Coordinating Task Force will be established consisting of one official from each agency providing a program or funding resource to this Initiative and six non-voting members (three consumers or consumer representatives\*, and three other representatives of disability constituents, e.g., state mental health agencies). Non-voting members will equally represent the developmentally, mentally and physically disabled and will assume responsibilities identical to other Task Force members (but only agency representatives will vote). The functions of this Task Force are to:

- o Coordinate the national implementation of the Initiative
- o Review Governors' "letters of intent"
- o Select states for participation in the program
- o Review project proposals for overall merit and simultaneously submit them to the agencies from which funds are requested for purposes of review and approval.
- o Select projects for participation in the program
- o Assure that agencies provide projects with appropriate requested technical assistance
- o Monitor progress of projects and review results

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\* A consumer is defined to mean, throughout the document, a handicapped individual. A consumer representative is defined to mean a parent, family member or other advocate.

B. State Letter of Intent

The letter of intent submitted by the Governors interested states must include the following information.

- 1) Current Activity: Identify existing and/or currently planned community based independent living programs within the state.
  - Indicate services available or planned, number of persons and types of disabilities served, current commitment of resources to independent living, and degree of consumer involvement in planning and management.
  - Describe how existing program activities such as Title VII (Independent Living) grants, Community Support Programs, and HUD/HHS Demonstration Program for Deinstitutionalization of the Chronically Mentally Ill will be coordinated with this Initiative.
- 2) Funding Commitment: Specifically indicate what state-funded or state-pass-through funded resources will be used to complement the Federal resources available through this Initiative.

- Specify whether the state Vocational Rehabilitation Agency will apply for a new Title VII project or expansion of an existing project as part of this effort, and whether any other projects or programs such as the Community Support Program and the HUD/HHS Demonstration Program are applying for additional funds as part of this effort.
  
- Specify whether the state Medicaid agency is willing to apply for an 1115 waiver for social and mental health services proposed by local applicants, and how these services will be supported following termination of the waiver. Those states not planning to apply for an 1115 waiver must indicate their plan for supporting the services component of local projects approved for funding by the Federal Coordinating Task Force.

3) Target Areas: Provide a detailed report on target areas the state would like to see served, whether geographic areas, certain disabilities, certain service areas, etc.

- Justify selecting such target areas.
  
- Indicate State plans for serving these target areas.

4) Local Providers: Provide general information about local groups and agencies involved in organizing and providing services for disabled people. Provide additional information on localities required by participating Federal agencies in Appendix H.

5) Implementation Plan: Describe the state's plan for:

- Publicizing the Initiative among potential applicants (this plan must include as a minimum the notification by each state agency involved in this Initiative of its particular constituent groups, i.e., the state Vocational Rehabilitation Agency would notify rehabilitation providers, the state Mental Health Agency would notify mental health providers, Developmental Disabilities Council would notify developmental disabilities service providers, etc.)
- Assisting applicants in obtaining commitments or required agreements from local agencies.
- Providing on-going liaison and technical assistance and other support to local projects selected for funding.
- Encouraging private sector involvement in independent living projects within the state.

- 6) Consultation: Document the state's consultation with local organizations serving and/or representing the targeted disability groups. Provide evidence of local jurisdictional (city or county) interest in, and support and resources for, this Initiative, including public and private local organizations such as Community Action Agencies and transit authorities.
  
- 7) Persons Preparing Letter of Intent: Provide a list of persons, including their respective agencies or organizations, involved in preparing the letter of intent (see Governor's Task Force below). Designate a state coordinator for this Initiative and indicate his/her location in the state hierarchy, and his/her authority and responsibility for coordinating and marshalling resources.

C. Governor's Task Force:

To prepare the letter of intent a Governor must establish a Task Force comprised of representatives of the state agencies with responsibilities for administering the core programs available to this Initiative (see above)-- e.g., the State Office of Economic Opportunity (or the office administering CSA programs), Office of Voluntary Citizen Participation, the State Housing Authority, the state 16B2 transportation coordinator, the state Medicaid Agency, the State Employment and Coordinating Council, and the State Vocational Rehabilitation Agency.

A representative of the Governor's office, the State Mental Health Agency, and the state agency responsible for the developmentally disabled shall also serve on the committee. Representatives of additional state agencies with related responsibilities may also serve on the Task Force (e.g., Vocational Education). Other members of the committee shall include representatives of local jurisdictions, local organizations serving handicapped people, parents of disabled persons and handicapped individuals. At least one-third of the Task Force shall consist of handicapped consumers who are physically disabled, developmentally disabled or mentally disabled, or their representatives. Each of these three disability groups shall be equally represented by consumer members of the Task Force.

Initially, the Governor's Task Force shall prepare and submit the letter of intent to the Federal Coordinating Task Force. If the state is selected for participation, the Governor's Task Force will:

- o Be responsible for soliciting potential project proposals.
  
- o Receive proposals for funding; review proposals rank according to project merit (ranking does not constitute state approval of the projects for

Federal funds and is not binding on the Federal Coordinating Task Force or individual agencies, however, these rankings will be considered in the selection process); complete a tabulation form on the proposals (attached appendix I) and forward all proposals to the Federal Coordinating Task Force.

- o Serve as a coordinating mechanism at the state level for delivery of state-funded (state-pass-through funded) services to local projects.
- o Ensure the smooth implementation of this Initiative at the state and local levels.
- o Provide for some technical assistance and conduct on-going liaison with independent living projects selected for funding.

#### D. Selection of States

States will be selected by the Federal Coordinating Task Force based on the assessment of state capability and commitment as documented in its letter of intent and as evaluated independently by each Federal agency.

The following criteria will be used to evaluate the letters of intent submitted by Governors:

- 1) Service Delivery Performance: past and current state and local efforts in support of community based independent living programs for disabled people.\* Innovative programming responsive to specific needs of the various disability groups.
  
- 2) Resource Commitment: stable and long-term source(s) of funds to complement and/or ultimately supersede Federal resources available to this Initiative. Substantial and/or increasing support for community-based, as opposed to institutional, programs for disabled people.\*

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\* A strong history of performance and commitment will be favorably weighed. However, state letters of intent which do not demonstrate historical support for independent living may also be favorably reviewed if there is a strong showing of current support and future commitment.

- 3) Implementation Capability: demonstration that the Governor's Task Force has brought together the appropriate agencies to assume successful implementation, that the state coordinator for this Initiative is appropriately located within the state hierarchy to assure smooth implementation, and that appropriate technical assistance and support will be made available to projects selected for funding.
  
- 4) Consumer Involvement and Local Support for this Initiative: history of involving consumers and family members in planning and providing services for the various disability groups. Level of support for this Initiative indicated by consumers, consumer organizations, local jurisdictions and local organizations.

#### E. Local Applications

In states selected for participation, local organizations interested in funding through this Initiative will submit proposals for funding to the Federal Coordinating Task Force through their Governor's Task Force. Actual project development will be done entirely at the local level. Technical assistance may be coordinated or available through Community Action Agencies (See below)

Private nonprofit and public bodies are eligible to apply for funds under this Initiative. Eligible applicants include but are not limited to:

- o existing Centers for Independent Living or other Independent Living programs (including Centers funded under Title VII of the Rehabilitation Act).
- o existing community-based residential programs for one or more of the targeted disability groups
- o existing Community Support Programs
- o Federally and/or state funded Community Mental Health Centers
- o psychosocial or physical rehabilitation centers
- o transitional service corporations providing housing for mentally, developmentally or physically disabled individuals

- o University or publicly affiliated mental health or physical rehabilitation providers
- o religious organizations
- o nonprofit consumer cooperatives
- o Community Action Agencies
- o other organizations serving physically handicapped, developmentally disabled or mentally disabled people.

Applicants must submit a single narrative proposal (not to exceed 40 pages double spaced) which includes the following:

- 1) Funding Sought: a list of the core programs the applicant wishes to utilize, along with the dollars requested from each program.
- 2) Description of Applicant Organization
  - history and organizational structure of applicant including staff, budget, current activities (including the provision of services, if any) and populations currently targeted

- documentation of substantial consumer and/or consumer representative involvement in planning, management and policy discussion
- goals of the applicant in meeting independent living needs
- statement of applicant's experience in assisting disabled persons in accessing and/or delivering services needed for independent living.

3) Proposal for Use of Initiative Funds

- Description of principle activities to be undertaken by applicant with Initiative funds. This description should include (where applicable):
  - a) number of VISTAs sought and the responsibilities to be undertaken by each (see appendix B)
  - b) proposed use of CSA grant funds (see appendix C)
  - c) proposed number and type of services to be reimbursed under a Medicaid 1115 waiver (see appendix D)

- d) estimate of the number of section 8 certificates to be utilized by the project (see appendix E)
  - e) number of CETA slots sought and general job description of each or the program activity to be funded (see appendix F)
  - f) Transportation needs and proposed strategy for meeting those needs (see appendix G)
- 
- Identification of population to be served by proposed activities and services (indicate those proposed activities or services which will serve more than one disability group and those which will focus on only one disability group).
  - Description of aspects of the proposed project which the applicant believes to be particularly unique or noteworthy
  - Discussion of the need for Initiative funds, including a description of gaps in community resources for the disabled which Initiative funds will fill
  - Discussion of plans for continued funding beyond the life of this Initiative

4) Local Support

- Description of community resources which could supplement services to be provided by applicants under this Initiative
- Documentation of linkages with and/or plans for using existing community-based services to supplement applicant's program
- Endorsements from appropriate state and local agencies (e.g., CETA prime sponsors, Community Action Agencies, or ACTION agencies), nonprofit organizations, providers of services and others, of the objectives of this Initiative, and descriptions of the levels of present and continuing support these agencies and organizations plan to provide. Support can include land, buildings, technical assistance, volunteer services, support services, or a commitment to provide funds as necessary to make up capital deficits or to provide services not otherwise available in this community.

- 5) Self Evaluation: description of measures by which the applicant proposes to assess its accomplishment in meeting its goals through this Initiative

F. Selection of Local Projects

Selection of applicants for funding will be made at the Federal level, by the Federal Coordinating Task Force with consideration of state ranking. Proposals for funding will also be reviewed by each agency from which funds are sought. Final selection for funding will require approval of both the Federal Coordinating Task Force and individual agencies from which funds are sought.

Proposals for local projects will be evaluated by the Federal Coordinating Task Force using the following criteria:

1) Organizational Capability

- evidence of capacity to carry the project through to long-term operation
- evidence of management capability to provide adequate services, staffing, coordination, implementation and fiscal responsibility
- experience in serving target populations

- 2) Consumer Involvement: the degree to which consumers are involved in an on-going basis in planning, management and policy direction for the project
- 3) Program Goals: the appropriateness of program goals in meeting independent living needs
- 4) Appropriateness of Proposed Activities: the extent to which funding is likely to provide needed services within the community, and expand existing independent living capabilities within the area to be served
- 5) Appropriateness of Target Population: breadth of population to be served; demographic characteristics of population (age, type of disabilities, rural or urban environment, socioeconomic status, etc.)
- 6) Local Support: degree of support indicated by local service providers and organizations, and degree to which applicant has established ties with state agencies, local agencies, and other providers of services to disabled populations.

G. Technical Assistance

To facilitate the smooth and effective implementation of this Initiative, technical assistance will be available within each state selected for funding. Specifically, Community Action Agencies will assume responsibility for coordinating technical assistance which will aid

- 2) Consumer Involvement: the degree to which consumers are involved in an on-going basis in planning, management and policy direction for the project
- 3) Program Goals: the appropriateness of program goals in meeting independent living needs
- 4) Appropriateness of Proposed Activities: the extent to which funding is likely to provide needed services within the community, and expand existing independent living capabilities within the area to be served
- 5) Appropriateness of Target Population: breadth of population to be served; demographic characteristics of population (age, type of disabilities, rural or urban environment, socioeconomic status, etc.)
- 6) Local Support: degree of support indicated by local service providers and organizations, and degree to which applicant has established ties with state agencies, local agencies, and other providers of services to disabled populations.

G. Technical Assistance

To facilitate the smooth and effective implementation of this Initiative, technical assistance must be available within each state selected for funding. Specifically, each state must indicate what technical assistance it will provide. Where Community Action Agencies exist, they will

normally assume responsibility for coordinating technical assistance which will aid potential applicants in developing their proposals. Participating CAAs will be a point of contact for information on developing proposals to establish or expand an independent living program. They will disseminate appropriate information, facilitate contact with experts in independent living who can advise potential applicants on development of proposals, and provide grantsmanship assistance.

In addition, following the selection of projects for funding, participating CAAs will be responsible for assisting projects in locating and tapping appropriate technical assistance needed for program implementation and operation. Sources for assistance include state offered technical assistance and each participating agency's technical assistance, whether through the Washington offices, regional offices or contractors.

#### H. Project Monitoring and Evaluation

Projects which are selected for funding will periodically be required to complete self-evaluation forms prepared by the National Institute of Handicapped Research within the Department of Education. These self-evaluations will gather information regarding case-load service provision, costs, staff organizational structure, etc., necessary to determine overall effectiveness of the project.

At the end of three years, NIHR will prepare a final report on projects supported by this Initiative. This report will assess each project on the basis of persons served, services provided, cost-effectiveness, techniques in accessing resources, prospects for longevity, impact upon the quality of life of handicapped persons in the community, impact upon the community environment, and such other criteria deemed appropriate by NIHR and/or the Federal Coordinating Task Force. Projects selected for funding will be expected to cooperate with NIHR during the preparation of this final report.

Some core programs may also have regular reporting requirements which projects are expected to adhere to during the course of this Initiative unless otherwise waived.

## I. Special Option for State Coordinating Projects

While the primary focus of this Interagency Initiative is upon the development of community based independent living projects, it is recognized that in some cases the state may play an important coordinating role that will facilitate independent living services in local projects across the state. Thus, on a selective basis, the Initiative will entertain applications which, if funded, will enable statewide coordinating activities that promise a broad and significant impact on independent living capability throughout the state. To be considered, state projects must coordinate one or more service areas for all three targeted disability groups. Examples of projects which may be funded under this special option include a State Housing for the Handicapped Coordinating Office or State Advocacy Program for Disabled Persons.

Proposals for coordinating projects submitted by states must include:

- 1) Proposed Activities: Description of principal activities proposed to be undertaken to meet independent living needs within the state. Detailed discussion of how

the proposed activity will serve to coordinate one or more service areas in a unified manner for the three targeted disability groups, including a description of those aspects of the proposal considered unique or otherwise noteworthy.

- 2) Resource Commitment: discussion of state resources to be committed to this effort, rationale for need for Federal resources, and description of how Federal funds will be used to complement state resources.
- 3) Management Plan for Project: identify lead individual or agency, location within the state government hierarchy, evidence of access to Governor's office, evidence of necessary interagency agreements, and other significant management features
- 4) Implementation Plan: project development over an initial one-year period with preliminary long-range plan for three years
- 5) Consumer Involvement: description of how consumer and local involvement is to be ensured in the project
- 7) Evaluation Plan: description of plan for evaluating the effectiveness of the project

- 7) Specific Applications: application forms for specific Federal programs from which funds are requested (see Appendix B-G for catalog of available programs, requirements for funding, and contact for obtaining appropriate application forms)

Criteria for evaluation of state project proposals will include:

- 1) Appropriateness of Proposed Project: degree to which project addresses statewide needs of all three targeted disability groups
- 2) Resource Commitment: adequacy of funds budgeted for proposed project; reasonableness of projections for future budgets
- 3) Management Capability: delegation of sufficient authority for accomplishing project; evidence of interagency agreements; previous experience, if any, with interagency service coordination; access to Governor's office; relationship with service agencies being coordinated and other relevant state agencies

- 4) Implementation: adequacy and practicality of the required implementation plan
  
- 5) Consumer and Local Constituency Involvement: degree to which consumers representing all three targeted disability groups will be represented in planning and advisory positions for the project; degree to which consumers are represented or will be represented on project staff; degree to which local community based independent living programs will be involved in planning and advisory roles for project
  
- 6) Evaluation Plan: adequacy of mechanisms to produce information needed for monitoring and for national evaluation

Applications for specific program funding will be evaluated according to individual agency criteria.

J. Timetable

This Initiative will be implemented in accordance with the following timetable:

October 31-November 21	Announce program, send letters to Governors requesting participation, publish program design in Federal Register
February 6	Receive letters of intent
March 2	Announce states selected for participation
May 29	Governor's Task Force receives proposals from local applicants
June 22	Federal Coordinating Task Force receives proposals ranked by states
August 7	Announce proposals to be funded

Appendix A

Other Programs Which May Supplement Specific Projects

o ACTION:

Voluntary Citizen Participation Programs  
Older Americans Volunteer Programs

o Department of Education:

Variety of programs for deaf/blind and other handi-  
capped children and their parents; personnel  
training for education of handicapped individuals;  
regional education programs for postsecondary  
handicapped students

Rehabilitation Services Administration: Capacity  
Development, Comprehensive Rehabilitation Centers,  
Independent Living (Title VII)

o Department of Health and Human Services:

Title XVI

Title XVIII

Title XIX

Title XX

Community Mental Health Centers

Community Health Centers

Developmental Disabilities Special Projects and  
State Grants

o Department of Housing and Urban Development:

Section 202

Community Development Block Grants

Congregate Housing Services Program

o Department of Transportation:

UMTA Section 3

UMTA Section 5

UMTA Section 6

UMTA Section 8

FHWA Section 18

FHWA FAUS

Appendix B

VISTA

VOLUNTEERS IN SERVICE TO AMERICA (VISTA)

1. THE MISSION OF VISTA

a. Purpose

The Domestic Volunteer Service Act of 1973 states that VISTA's mission "is to strengthen and supplement efforts to eliminate poverty and poverty-related human, social, and environmental problems in the United States by encouraging and enabling persons from all walks of life and age groups, including elderly and retired Americans, to perform meaningful and constructive volunteer service in agencies, institutions, and situations where the application of human talent and dedication may assist in the solution of poverty and poverty-related problems and secure and exploit opportunities for self-advancement by persons afflicted with such problems."

b. Three Fundamental Assumptions

The VISTA program rests on three fundamental assumptions:

- (1) that private citizens can, on a voluntary basis, contribute to the solution of the nation's domestic poverty problems;
- (2) that their skills and energies are most effectively utilized by permitting them to live and work with the low-income people that they are serving;
- (3) that the full-time presence and personal involvement of volunteers bring an added dimension to local public and private non-profit organizations working to eliminate poverty.

c. Participants

To carry out its mission, VISTA develops and coordinates a merger of the interests and

activities of three primary groups: the poor, the organizations which sponsor volunteers, and the volunteers themselves.

(1) The Poor

Low-income individuals from the target community must actively participate in the program planning, development, and implementation of the projects in which volunteers work. Such participation is essential not only to enable the poor to become self-sufficient, but also to insure that the changes and improvements which the sponsoring organization promotes are, in fact, responsive and relevant to the low-income citizens to whom they are addressed. It is central to VISTA's mission that projects of sponsoring organizations utilizing VISTA Volunteers contribute to the creation of more self-reliant communities by developing in and among the poor the capacity for leadership, problem-solving and active participation in the decision-making processes which affect their lives.

(2) The Sponsoring Organization

The sponsoring organization may be a Federal, State or local agency, or private non-profit organization among whose purposes is to help eliminate the causes of poverty.

VISTA expects and encourages sponsoring organizations to develop their own ideas, to commit their own resources, and to assume responsibility for initiating and carrying out planned projects which are suited to the needs of their anti-poverty programs. The sponsoring organization must be able to direct the project, supervise the volunteers, and give the volunteers in-service training and administrative support.

(3) VISTA Volunteers

VISTA Volunteers are required to make a full-time personal commitment to combating poverty and poverty-related human, social, and

environmental problems. To the maximum extent practicable, this shall include a commitment to live among and at the same economic level as the people served, and to remain available for service without regard to regular working hours, at all times during their periods of service, except for authorized periods of leave.

A VISTA Volunteer makes a commitment to serve the poor, generally for no less than one year, excluding time devoted to pre-service training. The job of each VISTA Volunteer depends upon the problem of poverty being addressed by the project to which the volunteer is assigned and upon the way in which the particular sponsoring organization has decided to deal with the problem.

VISTA Volunteers are not federal government employees. However, for certain limited purposes, they are regarded as federal employees in order to receive benefits and protections which are available only to federal employees. These benefits are detailed in the VISTA Volunteer Handbook. VISTA Volunteers are, of course, subject to such terms, conditions and restrictions as are prescribed legislatively or as the Director of ACTION determines in accordance with regulations issued under the authority of the Act.

d. Strategy

While VISTA is a national manpower program that provides volunteers to organizations which have goals that are in accord with its mission, VISTA does not manage, design or finance program operations. VISTA assigns volunteers to work on tasks as defined by the individual poor communities which will change and improve the situations adversely affecting them. The VISTA Volunteer's role in each instance includes mobilizing community resources and increasing the capacity of the target community to solve its own problems.

Handbook 4301.15

While VISTA Volunteers serve as an important link between local sponsors and the poor who are being helped, it is crucial to the concept of local self-reliance that sponsoring organizations plan for the eventual phase-out of VISTA Volunteers from the community and the assumption of the volunteer functions by local citizens.

2. ESSENTIAL DOCUMENTS FOR ESTABLISHMENT OF A VISTA PROJECT

a. Project Narrative

The Project Narrative is the main document prepared by all prospective sponsoring organizations. It includes all of the basic and background information on the sponsoring organization, the identification and description of the problem(s) of poverty that will be the focus for the project, the goals and objectives for the project, and a description of the strategy to be employed.

b. Memorandum of Agreement

- (1) Once a proposed project for VISTA Volunteers has been approved by ACTION, the next major step is the signing of an official document between ACTION and the sponsoring organization called the Memorandum of Agreement. In this Memorandum each party assumes specific legal obligations for the performance of the project.
- (2) The Memorandum of Agreement is a document that has continuing importance for the project. The sponsoring organization will be held accountable for the project on the basis of the specific obligations it assumes by signing the Agreement.

c. Program Submittal to Governor

- (1) Volunteers may not be assigned to duties or work with a specific sponsoring organization in any state, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, or the Virgin Islands unless the sponsoring organization's program has been submitted, by the ACTION Regional Office, to the Governor or other chief executive officer of the jurisdiction concerned, and has not been disapproved by him within forty-five days of such submission.

- (2) If any of the following changes occur during a project's operation, the ACTION Regional Director must notify the Governor's office in writing, and request consent to the change(s):
  - (a) If the maximum number of volunteers on a project previously submitted to the Governor increases;
  - (b) If the sponsoring organization for the volunteers changes from the one previously submitted to the Governor;
  - (c) If the scope of the activities and duties to be performed by the volunteers substantially changes from those already submitted to the Governor.
- (3) The assignment of any VISTA Volunteer must be terminated by the Director of ACTION (or his designee) when so requested by the Governor or chief executive officer of the jurisdiction concerned not later than thirty days after such request has been made, or at such other time as may be mutually agreed upon.

3. PROJECT ACCOUNTABILITY

- a. The sponsoring organization is accountable for that which is set forth in the Project Narrative, as approved by ACTION for the placement of volunteers, and as incorporated into the Memorandum of Agreement:
  - (1) active participation of program beneficiaries in the continued planning, development, and implementation of project activities;
  - (2) progress toward achievement of specific goals and objectives within an approved timeframe;
  - (3) maintenance of effective direction and support of volunteer activities.
- b. The task of evaluating the approved projects once volunteers begin working is a jointly shared responsibility of ACTION and the sponsoring organization. ACTION's evaluation of a project is made by means of periodic visits to the site to observe

the project and to discuss all the relevant topics pertaining to its operations. Written and telephone reports from the sponsoring organization supplement these visits. The purpose of this type of evaluation, often termed "monitoring", is to assist the sponsoring organization in improving the project as well as to keep ACTION informed of the project's progress toward achieving its goals and objectives.

- c. In addition, the evaluation staff in ACTION Headquarters and/or contract personnel periodically conduct formal evaluations of projects. Although the purpose of these evaluations is much the same as those noted above, the information gathered and the opinions expressed in the evaluation reports are analyzed by the evaluation staff and transmitted to ACTION's Washington and Regional staff as data for identifying major policy and program issues, and for making budget and resource allocation decisions.
- d. The sponsoring organization will be notified in advance of any visits by Washington evaluation staff. Results of the evaluations will be provided to the sponsor through the ACTION Regional Office.

4. SUSPENSION AND TERMINATION OF MEMORANDUM OF AGREEMENT OR FINANCIAL ASSISTANCE

- a. ACTION may terminate 1) a Memorandum of Agreement for the assignment of volunteers, or 2) financial assistance to a sponsor if the sponsor fails to comply with the terms and conditions of the Memorandum of Agreement, contract, or grant. In cases where such action is proposed, the sponsor must be afforded reasonable notice of the intended action and an opportunity for a full and fair hearing.
- b. A Memorandum of Agreement and/or financial assistance may also be temporarily suspended in certain cases. Except in emergency situations, the sponsor must be given a reasonable opportunity to show why such action should not be taken.
- c. ACTION may also refuse to renew or extend a Memorandum of Agreement, or may deny an application for refunding of financial assistance. If ACTION

intends to do so, the sponsor must be given a reasonable opportunity to show why such action should not be taken.

- d. For details of the procedures in all such cases, consult Part 1212 of Title 45 of the Code of Federal Regulations on Termination or Suspension of the Memorandum of Agreement, and Part 1206 of Title 45, CFR, on termination, suspension or refusal to renew financial assistance. These regulations may be obtained through the ACTION Regional Office.

Appendix C

Community Action Agency Local Initiative Grants

# FACT SHEET FOR COMMUNITY ACTION

COMMUNITY SERVICES ADMINISTRATION 1200 NINETEENTH ST., WASHINGTON, D.C. 20506

CSA's network of 897 Community Action Agencies covers every state, Puerto Rico, the Virgin Islands, and the Pacific Trust Territories. A CAA is a vehicle for low-income persons, local government representatives, and representatives of the private sector to work together in designing, operating and evaluating programs to address the problems of poverty at the local level. CAAs mobilize and bring together Federal, state, local and private resources to provide a wide range of economic and educational opportunities for the poor. CAAs also act as advocates of the poor by encouraging policies, programs and practices, both within their community and at broader levels, to be more institutionally responsive to the needs of the nearly 25 million poor Americans. It is estimated that the Community Action Program reaches 86 percent of the poverty population.

Staffed and governed by professionals and neighborhood residents intimately familiar with the needs of their communities, CAAs are committed to the fullest possible involvement of the poor in program design, implementation and evaluation. Through their own organization — the CAA — poor persons have the opportunity to speak out and act effectively on issues and problems which directly affect their lives.

Over the years, the community action network has proven itself to be one of the most effective service delivery systems on the local level. The vast majority of CAA programs rely on non-CSA funds for program costs and many have demonstrated an outstanding ability to mobilize Federal, state and local, public and private resources. Approximately 80 percent of the money administered by CAAs comes from sources outside of CSA.

In all, the CAA network administers more than \$3 billion in anti-poverty programs. These include Headstart, weatherization, home heating assistance, housing, health, rural transportation, senior opportunities and services, food and nutrition, employment and training, job placement, and migrant and Indian programs. These programs are operated in addition to CSA's basic information, outreach and referral services.

Ninety percent of CAAs are private nonprofit organizations. The remaining ten percent are administered by a substate political jurisdiction.

HISTORY:

The Community Action Program was the centerpiece of the "War on Poverty" legislation passed by Congress in 1964, and represented a shift away from traditional approaches to solving the problems of poverty. The Economic Opportunity Act embodied the concept that the most effective approach to meeting the needs of the poor was one in which the poor of each community were intimately involved. Local initiative became a new thrust, with funds provided by the Office of Economic Opportunity (CSA's predecessor agency) for locally conceived and administered programs. For this reason, no two CAAs are exactly alike. The activities and services each provides are designed specifically to meet the particular needs of the community it serves. Successful programs developed in the past fifteen years have been transferred from CSA to other departments of the Federal government, but continue to be administered in large part by Community Action Agencies.

LEGISLATIVE AUTHORITY:

Title II of the Economic Opportunity Act of 1964, as amended  
(42 U.S.C. 2781)

PRINCIPAL REGULATIONS:

45 CFR Chapter X:

Subpart 1060.1: Participation of the Poor in the Planning, Conduct, and Evaluation of Community Action Programs. Part 1061: Character and Scope of Specific Programs. Part 1062: Community Action Agencies; Eligibility and Establishment. Subpart 1063.130: The Mission of the Community Action Agency. Part 1067: Funding of CSA Grantees.

FUNDING, ALLOCATIONS AND MATCHING REQUIREMENTS:

Local initiative (Sec. 221) funding supports the community action structure at the local level. Section 221 monies are used for CAA and program administration and for leveraging funds from other Federal and non-Federal, public and private sources.

Congress appropriated \$369 million for FY 1979 and \$387 million for FY 1980 under Section 221. (These figures do not include funding to CAAs for CSA categorical programs, nor do they include funds received from other Federal sources).

Apportionment of funds to the states is governed by Section 225 of the EOA. CSA Regional Offices determine funding levels to individual CAAs based upon the demonstrated continued effectiveness of the local program, maintenance of adequate levels of program management, and historical funding levels.

CSA requires a 20 percent non-Federal match for local initiative funds.

TOTAL NUMBER OF GRANTEES:

897 Community Action Agencies serve 2,212 of the nation's 3,141 counties. The counties served contain 75 percent of the nation's population and a similar percentage of the poor. There are 449 urban and 448 rural CAAs.

The normal grant period is twelve months.

BENEFICIARY ELIGIBILITY REQUIREMENTS:

Persons eligible for CAA services must have incomes at or below the CSA poverty guidelines. Eligibility requirements may vary for specific special purpose programs administered by CAAs.

AUDITS, EVALUATIONS:

CSA closely monitors the Community Action Program. A pre-review, a major review of the CAA's accomplishments, and at least two on-site visits of each CAA are undertaken each year.

Each CAA must submit to CSA an annual audit, as well as two program progress reports and a number of evaluations, each year.

CONTACT PERSON

Regional Director  
See Attached List

# CSA REGIONAL DIRECTORS

Appendix C

1 Mr. Ivan Ashley  
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26 Federal Plaza, 32nd Floor  
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Puerto Rico, Virgin Islands  
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3 Dr. W. Astor Kirk  
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CSA Region III  
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4 Mr. William "Sonny" Walker  
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7 Mr. Wayne Thomas  
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8 Mr. David Vanderburgh  
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Utah, Wyoming  
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9 Mr. Alphonse Rodriguez  
Regional Director  
CSA Region IX  
450 Golden Gate Avenue, Box 36008  
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SAN FRANCISCO - Arizona,  
California, Hawaii, Nevada,  
Trust Territories  
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(FTS) 556-5400

10 Mr. N. Dean Morgan  
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Oregon, Washington  
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(FTS) 399-4910

Grants to State Agency Administering Medicaid

SECTION 1115 WAIVER AS IT PERTAINS TO THIS  
DEMONSTRATION PROGRAM

For this Demonstration Program, the 1115 waiver mechanism may be used if there is a demonstrated need for additional funds to supplement services available under categorical programs within a State. Section 1115(a) of the Social Security Act is applicable to this Demonstration and consists of the following:

Section 1115(a)(1), the waiver provision, permits the Secretary of HHS to "waive compliance with any of the requirements of Section. . . . ., 1902, . . . . .", and; Section 1115(a)(2), the "costs not otherwise matchable" provision, provides that "costs of such project which would not otherwise be included as expenditures under Section. . . . ., 1903, . . . . . shall . . . . . be regarded as expenditures under the State Plan . . . . ., or for administration of such State Plan . . . . ." The third section of 1115(a) which is contained in the unnumbered paragraph following 1115(a)(2) relates to special Federal projects funds that are not available for this Demonstration.

The Structure of Title XIX of the Social Security Act in the Context of  
Section 1115

Section 1902, which is referenced above, contains State Plan requirements (i.e., those elements and commitments which must be part of a State's Title XIX (Medicaid) Plan in order for it to be approvable by the Secretary and thereafter remain in compliance with Title XIX). In operating its ongoing Medicaid program, a State is required to follow the commitments made in its State Plan. Consequently, in order to operate its Medicaid program on a demonstration basis where the State, as part of the demonstration, may not be able to fulfill its commitments under portions of its State Plan, a waiver should be obtained.

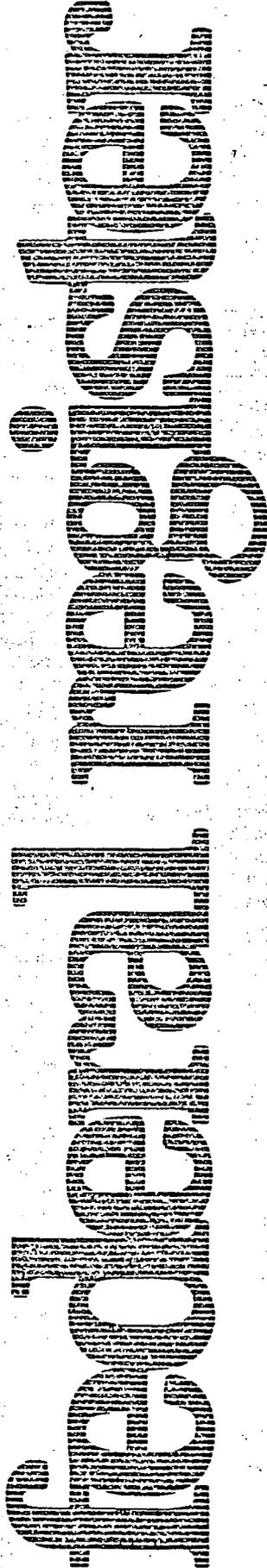
Section 1903, also referenced above, contains provisions dealing with payment to states. There is no authority to waive 1903 provisions. However, Section 1115(a)(2) enables the Secretary to prescribe that certain expenditures for items which are not matchable under the regular (Medicaid) program shall be regarded as expenditures under the State's Plan. Accordingly, the State will receive the appropriate reimbursement for these expenditures.

In simpler terms, the Section 1115 waiver allows a State to amend and expand its "State Plan" to include services not already approved for a one year period and, subject to acceptable performance, may be renewed annually up to a maximum of three years. Anticipating the termination of waiver authorized reimbursement of services at the end of the waiver period, the State is expected to find State and local funds for continued services to the residents of the Demonstration projects.

It is suggested that the State obtain a copy of the waiver application as soon as possible in order to become familiar with the application requirements and procedures. An application kit, containing appropriate forms and guidance for the completion of the forms, is available from:

HCFA, Project Grants Branch  
E-1  
Gwynn Oak Building  
1710 Gwynn Oak Avenue  
Baltimore, Maryland 21207  
(301) 594-3332.

Monday  
February 25, 1980



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**Part III**

**Department of  
Health, Education,  
and Welfare**

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**Health Care Financing Administration**

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**Health Financing Research and  
Demonstration Grants; Availability**

DEPARTMENT OF HEALTH,  
EDUCATION, AND WELFARE

Health Care Financing Administration

Health Financing Research and  
Demonstration Grants; Availability

AGENCY: Health Care Financing  
Administration (HCFA), HEW.

ACTION: Final notice.

**SUMMARY:** This Notice is HCFA's annual announcement about the availability of funds for research and demonstration grants. It contains information about grant subject areas which will be given priority, project requirements, applications procedures, and amounts and duration of grants. HCFA grants provide funds for activities which will help to resolve major health financing policy and program issues or to develop new methods for the administration of HCFA programs.

**DATES:** Closing dates and times for submission of grant requests are presented in item four of the Application Procedures section of this Notice.

**FOR FURTHER INFORMATION CONTACT:** Frances Lariviere, 301-594-8274. If you choose, you may write for information to the following address: Health Care Financing Administration, Office of Research, Demonstrations and Statistics, Program Support Office, Area 2-E-6, Oak Meadows Building, 6340 Security Boulevard, Baltimore, Maryland 21207.

**SUPPLEMENTARY INFORMATION:** This Notice supersedes the Notice published in the Federal Register on March 28, 1979 (44 FR 18626) and:

1. Revises the priority areas for grants;
2. Extends the original schedule for submittal, review and funding of grant applications from quarterly to semiannual; and
3. States that special solicitations may be made by announcement, from time to time, in the Federal Register. One such special solicitation is for a hospice study referred to in the list of subjects to which we are giving priority.

Availability of Grants

The Office of Research, Demonstrations and Statistics (ORDS) of the Health Care Financing Administration (HCFA) has funds for research and demonstration grants. Applications for grants may be made by nonprofit or public organizations and institutions (including state agencies responsible for administering the Medicaid Program). Grants may be made for research, planning or conduct

of demonstrations or data collection and dissemination activities.

General Policy Considerations

The grants we make are intended to assist in the resolution of major health financing policy and program issues or to assist in developing new methods for the administration of HCFA programs. In general, we will consider funding projects which:

- Develop or demonstrate new financing mechanisms or controls, management or administrative procedures, service delivery concepts or technological innovations designed to improve HCFA programs; or
- Develop knowledge about the basic nature of costs and inflation in the health care field or the economic and behavioral relationships between health care financing methods and the activities in the health care sector.

Applicants who have ideas in either of these general areas are encouraged to develop them into complete applications.

There are several areas of interest and concern which are current priority areas. However, these areas are not exhaustive of our interests.

Applications which fit one of the priority areas will be considered as "solicited." Applications which do not fit one of the areas also will be considered if they fit within the two general areas described above. However, there is no guarantee that there will be sufficient funds to make awards in all priority areas. These applications will have to compete with one another and across areas.

HCFA Priority Areas for Grants

The areas announced in the March 28, 1979 Notice are being consolidated and adjusted.

The new priority areas are:

1. Beneficiary awareness;
2. Child health;
3. Health systems organization;
4. Hospital costs;
5. Industrial organization reimbursement;
6. Integrated data systems;
7. Long term care (studies and demonstrations);
8. Physician reimbursement;
9. Public financing;
10. State Medicaid programs; and
11. Special one-time solicitation for study of hospices.

An explanation of the new priority areas will be published in a brochure which will be available from:

Program Support Office, Office of Research, Demonstrations and Statistics, Health Care Financing Administration, Department of Health, Education, and Welfare, Area 2-E-6, Oak Meadows Building, 6340 Security Boulevard, Baltimore, Maryland 21207.

This brochure is the basic source for information on the content of the current

priority areas for this grants program. An explanation of the special solicitation may be published in the same brochure or at a later date. As changes are made in these priority areas, new editions of the brochure will be prepared and made available.

However, this Notice remains the primary source of information on other aspects of the program.

Duration of Funding

Grants are awarded for a period of 1 year, and may be continued on a non-competing basis generally for up to 3 years if originally awarded as a multiple year project. Continuation funding is contingent upon the availability of future year funds, the applicant's ability to meet prior year project objectives, and the continued relevance of the project to HCFA programs.

Applications which seek to continue a project for a longer period of time than that stated in the original application are treated as if they were new projects. Thus, they must compete for available funds and will be reviewed competitively along with all other new grant applications.

General Criteria for Funding New Projects

The Director of ORDS determines which projects will be funded. These decisions are based on the recommendations of technical review panels and on the comments of other Department components and outside individuals or organizations. More specifically, the criteria employed in arriving at the award decision include:

1. The availability of HCFA human and fiscal resources combined with the relative importance of the proposed project;
2. Whether the project addresses an area of declared interest, and the relevance of the anticipated results to HCFA programs;
3. The adequacy and creativity of the research or demonstration design and hypotheses, the validity and appropriateness of the methods and data base(s) proposed, and the experience and competence of the researchers;
4. Whether there is a realistic expectation that the project can be carried out within the times specified;
5. Whether the proposed project methodology is rigorous and consistent with what is generally agreed to be the state of the art;
6. Whether the overall budget, the personnel resources to be used, and the facilities and equipment are appropriate for the proposed project and to the concern of HCFA for that issue;
7. If the project requires the cooperation of multiple parties, documentation of a commitment of the parties necessary to the success of the planned project; and

8. Whether results would be of value in other state settings or are of national importance.

#### Project Requirements

In addition to meeting the general criteria described above the application must meet the following requirements.

1. The project goals and objectives must be clearly stated and be measurable.
2. The research design, including the questions to be addressed, the methods and the data to be used must be explicitly defined. The methodology must be well defined and scientifically valid.
3. A demonstration or experimental project must include demonstration design, objectives and proposed analytical and evaluation methods. Such projects must have an evaluation component. This must describe data collection and analysis procedures for an evaluation that will assess the degree to which the objectives of the project were met. (HCFA reserves the right to evaluate any experiment or demonstration.) The evaluation component may, at the discretion of HCFA, be performed separately. Therefore, the evaluation effort should be separately and distinctly budgeted.
4. The relevance of the findings to HCP program operations and policy concerns should be discussed.
5. The tasks and milestones must be clearly described and scheduled and must include a schedule of reports to be submitted to HCFA.
6. The application must specify the availability of the data to be used. If data are to be collected, the discussion should describe the nature of the data sought, the sample design and size, controls (if any) and the problems that might be encountered. Data that are collected under a HCFA grant must be available to HCFA or its agents. The applicant must ensure the confidentiality of any personally identifiable information collected under the auspices of any HCFA grant.
7. The Application must show the qualifications and experience of the personnel and demonstrate how their qualifications make the individuals capable of performing the tasks in the project. The application should also show how the personnel are to be organized in the project, to whom they report and how they will be used to accomplish specific objectives or portions of the project.
8. The application must show the availability of adequate facilities and equipment for the project or clearly state how these are to be obtained.
9. The budget must be developed in detail with justifications and explanations for the amounts requested. The estimated costs should be reasonable considering the anticipated results. Applicants must directly share in the costs of the projects (see Application Procedures, Item 3, *Grant Policies* below).
- Funds will not be available for construction or remodeling; or for project activities that take place before the applicant has received official notification of HCFA approval of the project.
10. Sections 1115 and 222 projects that require waivers must define the services, list

the waivers, discuss the implications if such waivers are granted, state the effect on Federal, State and local laws as well as the effect (beneficial or adverse) on beneficiaries or recipients enrolled in the project.

In addition, these types of applications must estimate the amount of program (and administrative) expenditures that will occur under the waivers and compare these expenditures to those that currently occur in the programs. Particular emphasis should be given to this element. A broad viewpoint may be used so that even though a new service may be added via the waiver, the overall impact on the programs could be to lower costs.

11. Plans for utilization of the project's results should be discussed.

12. The application must assure the applicant's willingness to comply with the human subjects regulations by the inclusion of a completed form HEW-596 (Rev. 1975) "Protection of Human Subjects" (45 CFR Part 46).

Applicants are reminded to make note of this requirement. It may require substantial effort.

#### Review of the Applications

The review process will consist of two phases. During the first phase applications will be separated into two groups, those that are relevant to the interests of HCFA and those that are not. The criteria used for this decision will be whether the project fits within the language of HCFA's general interest appearing in the first paragraph of "General Policy Considerations" of this Notice. The first group will be screened for completeness and assigned to review panels; the second group will be returned to the applicants. The second phase will consist of the review, ranking and award. The review will be conducted by a panel of not less than three experts (who are not staff members of ORDS).

There will be at least one panel for each priority. An ORDS chairperson will coordinate the panel's review but will not vote. This individual will also prepare the panel's recommendation to the Director, Office of Research, Demonstration and Statistics. The panel's recommendations will contain numerical ratings, ranking of acceptable projects and a written assessment of each application.

A separate panel will be designated for the study of hcspices. The Director's decision is transmitted in writing to the applicant.

#### Section 1115 Projects

Under section 1115(a)(1) of the Social Security Act, compliance with statutory

State Medicaid Plan requirements may be waived to enable a State Medicaid agency to carry out a significant demonstration project which will further the general objectives of the Medicaid program.

Section 1115 "waiver only" applications (i.e., applications which seek only waivers of HCFA regulations) are reviewed concurrently with other grant application requesting direct financial support. The closing, review and award dates established for grant applicants in this Notice will be used as well for Section 1115 waiver only projects unless otherwise stated in a Federal Register Notice.

All requirements of the Social Security Act, the Code of Federal Regulations and other issuances that pertain to the Title XIX categorical program are applicable to a project approved under section 1115, except as specifically waived.

When a State Medicaid agency applies for a section 1115 project special attention should be given to the preparation of the budget. These budgets are substantially more extensive than the budget for other grant applications (see HCFA-PG-11A, Instructions for Completion of Federal Assistance Application form HCFA-PG-11).

#### Number and Size of Awards

Awards generally range from \$25,000 to \$1,000,000, in total cost. Most grants will range between \$25,000 and \$250,000 per year and range from 1 to 3 years. Occasionally, projects last up to 5 years. The number of awards and the priority areas in which they occur will depend on the size of the highest quality/greatest interest applications.

The number and size of awards will depend also on the availability of funds and on the needs of projects that are continuing from prior years.

A review of the requirements of existing projects and our expected fiscal year 1980 budget indicates that \$1,000,000 to \$4,000,000 may be available for new grant awards.

#### Authorities

The authorities for these grants are: Social Security Act, Title XI, and Sections 1110 and 1115. Section 222(a) of the Social Security Amendments of 1972. Section 402(a) of Social Security Amendments of 1967. Public Health Act, Section 1526(a), as restricted by Section 1521(b)(3). Public Health Act, Section 1533(a), as it relates to Section 1533(d).

**Application Procedures**

1. *Applications forms.* A standard application form has been developed for the HCFA research and demonstration grant program. Application kits and guidance for the completion of the forms are available from:

Health Care Financing Administration,  
Project Grants Branch,  
Gwynn Oak Building, Area E-1, 1710 Gwynn  
Oak Avenue, Baltimore, Md., 21207,  
telephone (301) 594-3332.

Application kits for the special solicitation on the study of hospices should be obtained from the same source. This kit will be available on or about April 10, 1980.

The application must include in the project title block, the priority area and number to which the applicant is responding. The priority area designation must also be clearly marked on the outside of the package/envelope. If the application is unsolicited (not in response to any of the priority areas) the project title should include the phrase "... an unsolicited grant application" and the package/envelope should indicate the same.

2. *Multiple Applications.* The applicant must indicate when the same or a similar application is submitted to another HEW agency; e.g., the Social Security Administration, the Office of Human Development Services or the Public Health Service.

3. *Grant Policies.* The funding of grants is made through a competitive process based on a choice of applications generally submitted in response to this notice. All grantees are expected to share directly (not in-kind) in the costs of the projects. This sharing will not be less than 5 percent of the total project cost.

For Section 1115 projects, the amount the single State agency will be expected to provide generally will be at least 5 percent of special Federal project funds.

Other policies including grantee responsibilities, awarding and payment procedures, special provisions and assurances may be found in the following documents that are included in the application kit:

- HCFA Grants Policy Handbook, DHEW Publication No. (HCFA) 79-04001 (Rev. 8/79)
- 45 Code of Federal Regulations, Part 74: Administration of Grants

4. *Closing Dates and Times.* Grant applications are regularly processed twice a year with award decisions being announced approximately 5 to 6 months later.

For fiscal year 1980, the second and last closing date will be Monday, April 7, 1980. For fiscal year 1981, the closing

dates are Monday, October 6, 1980 and Monday, April 6, 1981. The closing dates in fiscal year 1982 are Monday, October 5, 1981 and Monday, April 5, 1982. For all dates, the closing time is not later than 4:30 p.m. Baltimore, Maryland time.

Applications received any time after the closing date or time will not be considered unless they were sent by Registered, Certified or Express mail 5 working days in advance of the specified dates. The postmark on the package will establish the date the application was mailed. Late applications will be carried over until the next closing date unless the applicant notifies the Project Grants Branch that it is being withdrawn.

Applications received for the second cycle in any fiscal year will be reviewed with the intent of making awards in the fourth quarter of that fiscal year. However, these applications may be held for award in the first quarter of the subsequent fiscal year.

Applications received for the special solicitation for the study of hospices will be reviewed with the intent of making awards in the fourth quarter of fiscal year 1980.

(Sections 1102, 1110, 1115, 1871 and 1875 of the Social Security Act (42 U.S.C. 1302, 1310, 1315, 1395hh, 1395ll); section 222(a) of the Social Security Amendments of 1972 and section 402(a) of the Social Security Amendments of 1967 (42 U.S.C. 1395b-1); and sections 1521, 1526 and 1533 of the Public Health Service Act (42 U.S.C. 300m, 300m-5 and 300n))

(Catalog of Federal Domestic Assistance Program No. 13.766 Health Financing Research, Demonstrations and Experiments)

Dated: February 12, 1980.

Leonard D. Schaeffer,  
*Administrator, Health Care Financing Administration.*

[FR Doc. 80-5690 Filed 2-22-80; 8:45 am]  
BILLING CODE 4110-35-M

Appendix E

Lower-Income Rental Assistance

• Section 8 Rent Subsidy Program

The Section 8 rent subsidy program is the federal government's major vehicle to assist lower income families to secure adequate housing. The f.y. 1980 appropriations for the Section 8 program was \$19.6 billion. The Section 8 program recognizes the need to increase the rent paying capacity of low income families and individuals; thus, the program is focused on the ability to pay and on subsidizing the "housing unit." This "unit" concept is fundamental.

HUD pays the difference between the tenant's contribution (which is 25% of his/her income) and the fair market rent (FMR) for the dwelling unit. Before 1979, an eligible person with "extraordinary medical expenses" contributed only 15% of income towards the rent; by P.L. 96-153, this 15% was increased to 20% and individuals whose income exceeds 50% of the area's median income must contribute 30% of income. Disabled persons, including by statute specific mention of the developmentally disabled, are eligible for Section 8 payments if they are low income defined as below 80% of the median income for an area. The 1974 legislation subsumed the disabled under the category of elderly family (known as backdoor legislative inclusion); this has resulted in problems of differentiation between the elderly and disabled.

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A number of concepts, provisions, and regulations are of special interest to the handicapped.

- (1) Shopping For A Place To Live: The responsibility for locating housing rests with the individual. This is based on the idea that the consumer is a competent and able shopper.

For existing housing, one goes to the Public Housing Authority (PHA) which is required to advertise available housing.

- (2) Fair Market Rents (FMR): Calculated and published annually by HUD in the Federal Register, FMRs are the maximum rent levels allowable under Section 8. They are determined by a review of comparable rental rates for housing in the locality based on average costs within the area. FMR includes rent, utilities (no telephones), ranges and refrigerators, taxes, insurance, maintenance, and management required to obtain and operate privately owned "modest" housing.

for handicapped housing an additional 10-20% increase with approval of HUD area office is authorized. FMR is limited by the concept of "comparability" (comparable to existing nonsubsidized rents; does not apply to Section 202) or rent reasonableness test.

(3) Special Regs For Group Residences

On December 29, 1978 HUD issued final regulations establishing independent group residences for persons with disabilities as eligible housing for Section 8 rent subsidies. Information is available from Louise Kleffner, Chief, Existing Housing Branch, Office of Assisted Housing Development, HUD, 451 7th Street, S.W., Washington, D.C. 20410 (202-755-5380).

a) The Emphasis On Supportive Service Needs

The primary purpose is, as stated by HUD, "the need for and provision of a planned program of continual services is the primary characteristic of independent group residences and special regulatory provisions have been developed to allow these individuals to participate in the Section 8 program in a group situation..." These group residences "are intended to provide a housing alternative to institutional care for handicapped and disabled persons who can reasonably be expected to advance to greater levels of independent living..." Section 8 is only to pay for rent, not supportive services.

b) Type of Housing Specified

As the regs declare "any type of existing housing meeting the housing quality standards may be utilized under this part, except nursing homes, units within the grounds of penal, reformatory, medical, mental, and similar public or private institutions, and facilities providing continual psychiatric, medical, or nursing services." HUD further explains this by saying that "the general exclusion of dormitories, hotels, and rooming houses is intentional since facilities of this type are generally large enough to be institutional in nature and not representative of typical residential housing available in a community..."

Independent Group Residences (IGR) must have at least two occupants not including resident assistants and can not house more than 12 disabled individuals. HUD's justification is that "the Department has determined that a limitation on the number of occupants is necessary and consistent with the objectives of deinstitutionalization of the elderly, handicapped, and disabled requiring supportive services in community based residential settings." Eligible housing can be either publicly or privately owned.

c) Eligible Persons

The program is intended to subsidize the rent of low income disabled persons who need supportive services and group living support in order to live in the community.

In order to allow disabled individuals to select the housing of their choice, the so-called "finders-keepers" policy is used whereby Section 8 subsidies are targeted to the individual resident. An individual will be able to leave the IGR whenever he or she chooses to move to another unit, such as when he or she no longer requires group support. To facilitate this, a 0-bedroom rent certificate is allowed each individual and separate leases and contracts are to be executed for each individual.

HUD recognizes that these mobility opportunities may create financial problems to agencies operating such residences. In response, the regulations allow non-Section 8 persons to reside in such homes to minimize the financial impact of the loss of residents. Additionally, if a resident leaves, the Public Housing Authority must give preference to an applicant who desires to move into the IGR. These provisions do not guarantee Section 8 certificates to the housing sponsor but they should usually offset most problems.

d) Resident Assistants

Supportive services may be provided by either a resident assistant or other qualified individuals who do not reside in the group residence. The supportive service staff need not live in the residence. However, the regulation allows Section 8 rent contracts to cover the living space required by a resident assistant or assistants and specifies that the resident assistant's income shall be disregarded for determining eligibility and subsidy levels. A resident assistant "shall not be related by blood, marriage, or operation of law (such as a guardian) to the individuals receiving Section 8 housing assistance."

e) Fair Market Rent Limitations

Fair market rents (FMR) for similarly sized units are established and the HUD area offices may approve up to a 20% increase over the FMR for these residences.

Each disabled individual is issued a 0-bedroom rent certificate to help them move if they wish; however, the residence does not receive rent subsidies based on a pro rata share of the gross rent for the unit which must be within the FMR limitation.

• State Housing Agencies

State Housing Agencies have been in the forefront in developing housing for persons with disabilities. There are several different models of state agencies:

(1) Department of Community Affairs (DCA)

This type of agency generally utilizes Section 8 existing housing. Advantages are that they generally have prior experience with human service programs and they promote a statewide housing strategy approach. Disadvantages are that they require special authorizing legislation and they can not directly receive Section 8 funds from HUD. California and New Jersey DCAs have developed housing for persons with developmental disabilities. In New Jersey, the State DD Council funded a position in the DCA for the purpose of generating housing for the disabled.

(2) Housing Finance Agency (HFA)

These agencies have the legal capacity to issue bonds to finance housing. Massachusetts, Georgia, Michigan, Tennessee, Virginia, and West Virginia have developed housing for persons with developmental disabilities through their HFAs. Advantages include the ability to receive direct Section 8 funds from HUD and to finance seed money and technical assistance. Disadvantages include difficulty in guaranteeing support services, frequent long construction processes, and a general preference for large facilities.

The oldest HFA program in the nation for the developmentally disabled is Michigan which has constructed 24 congregate homes for the mentally retarded with plans to construct 192 more units each year for the next 3 years.

The Virginia example can serve as a prototype. The State HFA has provided construction and mortgage loan financing, seed money, training programs for resident managers, and Section 8 rent subsidies for group homes for 6 to 16 mentally retarded persons. The State Department of Mental Health/Mental Retardation determines the appropriateness of housing type to the disability, evaluates the housing, and finances support services. An Interagency State level Advisory Council oversees the program.

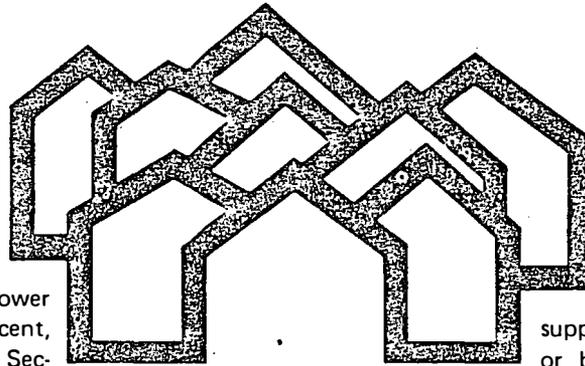
(3) Housing Finance Agency/Title XIX

This approach combines the HFA bond authority for construction with Medicaid Intermediate Care Facility for the Mentally Retarded (ICF/MR) operational support. It has been used for the developmentally disabled in Minnesota where there are 20 group homes for the mentally retarded for 6 to 10 persons financed as ICF/MRs. The population served in these community-based facilities is similar to those people who remain in the state institutions. Several UCPA affiliates operate ICF/MRs. Advantages and disadvantages are discussed in the July 1980 WV Analysis on Medicaid.

# 8 FACTS ABOUT SECTION 8

## U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT ■ FACT SHEET

A Better Way to Aid Lower Income Families  
in Obtaining Standard Housing From the Existing Housing Stock



### 1. Scope of Section 8

The Section 8 Existing Housing program, established by the 1974 Housing and Community Development Act, is the Federal Government's major operating program for assisting lower income families to secure decent, safe, and sanitary housing. The Section 8 existing program emphasizes the competitive forces of the private market while leaving to the public housing agency (PHA) responsibility for providing lower income families with necessary financial and other assistance.

### 2. Will Improve Choices For Eligible Families

The Existing Housing program places the choice of housing in the hands of the consumer and rewards him for being a "smart shopper." Under this program, lower income families who have been certified as eligible by the PHA are encouraged to negotiate directly with landlords to secure rental accommodations best suited to their needs and which meet both rental and housing quality requirements of the program.

Housing must meet an acceptable level of quality before the PHA can approve payments to landlords under the Existing Housing program. Federal housing quality requirements have been established by the Department of Housing and Urban Development (HUD), but localities can tailor the standards, with HUD approval, to meet their particular situations. The Public Housing Agency operating the program will be responsible for informing both certified eligible families and landlords as to what standards will be required. With appropriate training and information, eligible families can gain sufficient understanding of the standards so that they may evaluate the quality of dwelling units as they shop for acceptable housing. When the certified family finds a housing unit it wishes to occupy and reaches agreement with the landlord over lease terms, both the landlord and family inspect the dwelling for conformance with the housing quality standards and submit their findings to the PHA.

Maximum rent levels (Fair Market Rents) by unit-size are established by HUD for each county and metropolitan area. When a family is certified eligible for the program, it is advised of the appropriate unit-size, on the basis of its family size and composition and the applicable Fair Market Rent. The family will know that it cannot enter

into a lease in which the gross rent, including utilities, exceeds the Fair Market Rent, but the program encourages the family to secure accommodations at a lower rent. For the program to work, there must be an adequate supply of modest, decent housing at or below the Fair Market Rents.

### 3. Allows Local Considerations in Setting Maximum Rent

HUD has provided flexibility in the Fair Market Rent. PHA's can request from HUD, on a unit-by-unit basis, exemptions for rents up to 110 percent of the established Fair Market Rent. If the rent patterns of a jurisdiction preclude use of the program in an area because the established Fair Market Rents are too low, the PHA can request that rents up to 120 percent of the established rent be permitted. The Fair Market Rents for existing housing will be adjusted on a periodic basis to keep pace with increased costs of basic rents and utilities.

### 4. Will Motivate Families to Shop Wisely

The program is designed to encourage families to shop wisely, investigating a wide range of housing opportunities and negotiating with landlords for the best lease terms. Section 8 encourages this in three ways. First, the Fair Market Rents will be established at levels high enough to encompass a wide range of housing that meets program standards. Second, the PHA is responsible for providing families with current market information on what their rental dollars can command in the market. In addition, families will be informed about their rights and obligations before they enter into a lease with a landlord. Third, the program introduces a shopping incentive credit as a reward to families who secure acceptable housing below the Fair Market Rent. The family is rewarded with a credit equal to a portion of the difference between the contract and Fair Market Rents. Smart shopping will save money for both the family and the Government.

A participating family will be more responsible if it knows that by abiding by the program rules, it can continue to participate in the program as long as Federal funds are available and the family remains eligible. Since family housing needs change over time with changes in family size, job locations or the like, the program has been designed to facilitate moves by families without loss

of assistance support as long as the family terminates its existing lease within its provisions and finds alternative housing within the program jurisdiction of the public housing agency.

### 5. The Landlord's Role

The role of the landlord in the Section 8 existing program is to provide decent, safe and sanitary housing to tenants at a reasonable rent. The program requirements which the landlord must meet are those which a landlord must customarily provide in that locality. His dwelling unit must pass the program's housing quality standards and be maintained up to those standards as long as the owner receives assistance payments. In addition, the landlord is expected to provide the services agreed to as part of the lease with the tenant.

### 6. The PHA Makes the Program Work

The Public Housing Agency makes the program work by providing families with the certificates that enable them to seek out suitable housing and by entering into contracts with landlords to provide assistance payments on their behalf. The PHA-landlord contract begins after the PHA approves the tenant-landlord lease terms and determines that the dwelling unit complies with program standards. The contract usually covers 1 year, but may extend to 3 years, and payments will be made to the landlord as long as the tenant continues in occupancy and the unit is maintained in standard condition. If the tenant breaks the lease, the PHA will continue to provide a portion of the rental payments to the landlord for a reasonable period of time, not to exceed 60 days, as a grace period during which the owner will seek new

tenants. Conversely, if the landlord fails to meet his obligations under the lease, the PHA has the right to terminate assistance payments.

### 7. Will Provide Sufficient HUD Funding

To cover the full costs of the program, HUD will provide sufficient funds for both the assistance payments made on behalf of families and the PHA costs of administering the program pursuant to annual contributions contracts. It is the Government's intention to provide sufficient funding to cover these expenditures for a 5-year period, taking into account possible increases in costs due to inflation of rents and/or administrative costs.

When funds become available, HUD will advise public housing agencies to submit their applications. Local and State public agencies may apply to establish a Section 8 Existing program. HUD will review the applications. In making awards HUD will take into account any comments by the chief executive of the locality involved and any Local Housing Assistance Plan (which is part of the Community Development Block Grant program application). Where HUD determines that no PHA can feasibly operate a program, HUD or its designee may undertake the program.

### 8. More Detailed Information is Now Available

For additional information about the Section 8 Existing Housing program, get in touch with the local HUD area office in whose jurisdiction your community is located. Address your inquiries to the Area Office Director, attention the Multifamily Housing Representative. A list of office locations is provided below for your convenience.

#### Regional and Area Offices of the Department of Housing and Urban Development

<p>Region I John F. Kennedy Federal Building Boston, Massachusetts 02203 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont</p>	<p>Area Offices: Manchester, N.H.; Boston, Mass.; Hartford, Conn.</p>	<p>Region VI Earle Cabell Federal Building U.S. Courthouse 1100 Commerce Street Dallas, Texas 75202 Arkansas, Louisiana, New Mexico, Oklahoma, Texas</p>	<p>Area Offices: Dallas, Tex.; Oklahoma City, Okla.; San Antonio, Tex.; New Orleans, La.; Little Rock, Ark.</p>
<p>Region II 26 Federal Plaza New York, New York 10007 New Jersey, New York, Puerto Rico, Virgin Islands</p>	<p>Area Offices: New York, N.Y.; Newark, N.J.; Camden, N.J.; Buffalo, N.Y.; San Juan, P.R.</p>	<p>Region VII Federal Office Building 911 Walnut Street Kansas City, Missouri 64106 Iowa, Kansas, Missouri, Nebraska</p>	<p>Area Offices: Kansas City, Kans.; St. Louis, Mo.; Omaha, Nebr.</p>
<p>Region III Curtis Building 6th and Walnut Streets Philadelphia, Pennsylvania 19106 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia</p>	<p>Area Offices: Pittsburgh, Pa.; Philadelphia, Pa.; District of Columbia; Baltimore, Md.; Richmond, Va.</p>	<p>Region VIII Federal Building 19th &amp; Stout Streets Denver, Colorado 80202 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming</p>	<p>NO AREA OFFICES</p>
<p>Region IV Pershing Point Plaza 1371 Peachtree St., N. E. Atlanta, Georgia 30309 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee</p>	<p>Area Offices: Birmingham, Ala.; Jacksonville, Fla.; Atlanta, Ga.; Louisville, Ky.; Jackson, Miss.; Greensboro, N.C.; Columbia, S.C.; Knoxville, Tenn.</p>	<p>Region IX 450 Golden Gate Avenue P.O. Box 36003 San Francisco, California 94102 Arizona, California, Hawaii, Nevada, Guam, American Samoa</p>	<p>Area Offices: San Francisco, Calif.; Los Angeles, Calif.</p>
<p>Region V 300 South Wacker Drive Chicago, Illinois 60606 Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin</p>	<p>Area Offices: Detroit, Mich.; Chicago, Ill.; Indianapolis, Ind.; Minneapolis, Minn.; Columbus, Ohio; Milwaukee, Wis.</p>	<p>Region X Arcade Plaza Building 1321 Second Avenue Seattle, Washington 98101 Alaska, Idaho, Oregon, Washington</p>	<p>Area Offices: Seattle, Wash.; Portland, Oreg.</p>



Appendix F

The Comprehensive Employment and Training Act

The following is excerpted from the Department of Labor publication entitled "A Guide to Seeking Funds from CETA". It is intended that Independent Living Organizations (ILO's) will use this appendix as a guide in preparing proposals for submission to the Governor's Task Force. It should be noted that proposals should be developed in consultation with CETA prime sponsors. The local ILO's will be expected to secure a funding commitment for at least 75 percent of the proposed funding request from the local prime sponsor. States may also contribute a portion of the local commitment.

INTRODUCTION

The purpose of the Comprehensive Employment and Training Act (CETA) is to decentralize the design and delivery of employment and training programs to the State and local government levels. The amended CETA of 1978 emphasizes the provision of employment and training programs or services for those most in need; that is, the economically disadvantaged and the unemployed or underemployed.

Employment and training programs are becoming an increasingly visible area of public administration. Labor markets differ in needs, in the degree of unemployment, and in the character of local institutions. This warrants local decision-making. Thus, CETA transfers control over a large portion of Federal revenues to State and local jurisdictions to enable them to operate employment and training programs.

The CETA legislation allows decisions about the kinds of employment and training programs, how the money is to be spent, who is to be served, what types of delivery systems are needed, and related matters to be made at the State and local levels by CETA program operators, known as the prime sponsors. These local decisions must, however, be made within the confines of the CETA legislation (Public Law 95-524) and the CETA regulations (Title 20 of the Code of Federal Regulations, Parts 675 through 679).

The new language and subsequent implementing regulations emphasize the participation of women's groups in the CETA system. This appendix is designed to assist individuals and organizations to learn how to intelligently apply for CETA monies. It tells how to find out who and where CETA prime sponsors are and whom on the staff to contact, describes the steps to take in submitting a proposal to a prime sponsor, and includes information about sources of data which are vital in any proposal. A glossary of terms used throughout this report appears as Appendix A.

STEPS IN THE PROCESS OF APPLYING FOR CETA FUNDS FROM A PRIME SPONSOR

There are seven major steps in applying for CETA funds from a prime sponsor:

1. Find out who your prime sponsor is;
2. Find out who the prime sponsor's CETA planner or director is, make an appointment to talk with either one, and become involved in your prime sponsor's development of the Comprehensive Employment and Training Plan (CETP);
3. Become familiar with CETA in your area;
4. Find out the CETA funding process for your area and the method for submitting your funding application;
5. Complete and submit your application;
6. Be visible and active on a year-round basis;
7. Find out about other CETA funding possibilities.

Step 1 - FIND OUT WHO YOUR PRIME SPONSOR IS.

In order for your group or organization to apply for CETA funds, the first step is to determine the agency and location for the CETA prime sponsor in your area. If you do not already know, call or write the person listed for your State in Appendix B to learn the name and address of your CETA prime sponsor and to ascertain whether the prime sponsor is a city, county, consortium, or balance of State.

Step 2 - Once you have this information, call the prime sponsor to FIND OUT WHO THE PRIME SPONSOR'S CETA PLANNER OR DIRECTOR IS, MAKE AN APPOINTMENT TO TALK WITH EITHER ONE, AND BECOME INVOLVED IN YOUR PRIME SPONSOR'S DEVELOPMENT OF THE CETP.

The CETA planner and director are the key persons with whom you will need to deal. Every prime sponsor has identified one or more persons as the planner. This person is generally the major source of CETA information for the prime sponsor. Therefore, it is extremely important to get to know and keep in contact with this person.

If your prime sponsor is a local one, you will probably talk directly with the planner or director. If your prime sponsor is a consortium or balance of State, you may be instructed to talk with a designated person in your local jurisdiction rather than directly with the planner. This depends entirely on your prime sponsor's administrative structure.

When you sit down to talk with your CETA planner or director, it is important to know that the new CETA regulations require prime sponsors to maintain an inventory of potential service deliverers and, if you wish to be on that inventory, you should notify your prime sponsor in writing. During this meeting you should introduce your organization and explain its capabilities (if this hasn't been done previously). In addition to the inventory of potential service deliverers, prime sponsors are required by the new regulations to maintain a mailing list for review of the Comprehensive Employment and Training Plan. Make sure your prime sponsor has the address of your organization to insure that you receive written notification of the availability of the CETP for review. While you are talking with the CETA planner or director, learn the anticipated goals and objectives of the Annual Plan (yearly description of program activities and services in the CETP) so that you may tailor your funding proposal to meet those objectives.

In introducing your agency to the prime sponsor, you should describe its purpose, size, functions, and activities. Prime sponsors are required by the new CETA reauthorization legislation to serve those individuals who are economically disadvantaged, unemployed or underemployed. In order to accomplish this, prime sponsors must describe specific programs or services for those significant segments of the population who are experiencing severe handicaps in obtaining employment, including displaced homemakers and women. Therefore, you should present your agency in those terms, explaining how you intend to or already are serving those groups.

Under the new reauthorization legislation, there are four titles from which you may be funded by prime sponsors: titles II, IV, VI and VII (see Appendix C). For all titles, prime sponsors must describe in their annual plan how program activities will contribute to the overall accomplishment of overcoming sex stereotyping and procedures which will lead to the development of nontraditional job opportunities. Title II is used to fund basic employment and training programs. It provides employment and training to ease barriers to labor force participation encountered by economically disadvantaged persons, to enable such persons to secure and retain employment at their maximum capacity, and to increase their earned income. A wide range of activities may be funded under title II.

It is important to know your prime sponsor's timetable for making funding decisions. Contact your prime sponsor to learn the due dates for applications in order to apply in time for grants for the upcoming fiscal year.

Another consideration is the present funding of CETA programs in your community. The planner can make available to you a list of services and program operators. This information can help you to draw up a realistic proposal and avoid wasted effort. For example, your organization may have considered requesting funds to set up a comprehensive counseling center. You may find out that such a center already exists. In that case, you may decide that your proposal should concentrate on providing additionally needed services to the existing center.

If you have a specific funding request in mind, now would be an excellent time to discuss it with the planner or director. You should describe your funding request both in general terms of what you want funded and why, and in specific terms--if you know them--of dollars required, the exact types of services to be provided, the target groups you will serve, and other pertinent information. You should also discuss a realistic dollar figure for your proposal. It is important to describe and document your agency's qualifications and experience in coordinating effective programs.

Probably the most important part of this discussion is why you want to receive CETA funds. It is critical to establish the need to obtain funding since the prime sponsor must justify the funding requests made to the Department of Labor in terms of meeting the employment and training needs of communities. Therefore, if you can demonstrate to the prime sponsor the extent to which you will be serving the unemployed, underemployed, and economically disadvantaged through your funding proposal, you will be that much ahead in the process. One of the most effective ways to accomplish this is through the use of data and statistics. (Several sources of statistical information are listed in Appendix D.) If you have difficulty gathering this information, the planner should be able to provide you with assistance. Generally, you should find detailed demographic data, income data, education levels, labor force information, and skill shortage information to support your funding request. You should also ask the planner for any additional information required. It will be extremely useful if you become familiar with data sources and the most effective methods of utilizing them.

Step 3 - After you have had this preliminary introduction to CETA and to the CETA planner, you should BECOME FAMILIAR WITH CETA IN YOUR AREA.

Since CETA is usually integrated into the local government structure, it generally facilitates your ability to work with CETA if you know how to work with the political system of which CETA is a part. This includes:

- a. Identifying the members of the prime sponsor planning council who analyze the need for employment and training and related services in the prime sponsor area and make recommendations to the prime sponsor for funding and operating programs. You should get to know the planning councils' composition and seek ways and means to convey your interests and needs to that group.

b. Determining CETA's role in the general budget cycle for your prime sponsor's governing body (for example, city council or board of supervisors) and possible recommendations you can make in that process, particularly by appearing at public hearings and by other means of directly making your views and needs known to the decisionmakers.

c. Acquainting yourself with the overall role of the governing body for your jurisdiction and possible inputs at this level. For example, if the governing body publishes agenda in advance of public meetings, you should ask to be put on a mailing list if there is one or where you may obtain agenda copies. You should also find out how CETA is listed on the agenda--whether by name or by such terms as "manpower activities," "employment and training services," "human resources division," or "community services." This sometimes varies even within the jurisdiction itself, depending upon the particular aspects of CETA being discussed.

Step 4 - FIND OUT THE CETA FUNDING PROCESS FOR YOUR AREA AND THE METHOD FOR SUBMITTING YOUR FUNDING APPLICATION.

Again, the planner or director would be your key contact for this information. There are many variations of funding methods used by prime sponsors. Some fund programs only once a year; others fund throughout the year. Some have a contingency fund in the event new proposals are brought to their attention. Also, the funding processes for titles II, IV, VI, and VII will probably differ since prime sponsors generally receive title II, IV and VII funds from the Department of Labor only once a year and title VI funds more than once.

In addition to these variations, prime sponsors have many ways of requesting funding proposals from their communities. Some prime sponsors issue requests for proposals (RFP's) and follow a formal RFP procedure. In this case, they usually issue either for a predetermined program or service to be provided, or they may issue a general RFP which solicits proposals that have a broader scope. Some prime sponsors may utilize a public hearing process at which all agencies which request funding state their proposals. Others may accomplish this by a presentation to the governing body.

Prime sponsors are required to maintain an inventory of potential deliverers of employment and training services. In order to be on the inventory, you should give the prime sponsor the name of the organization and the types of services and activities your organization is interested in providing. To demonstrate the effectiveness of these services, you should document and give the prime sponsor the types of services and activities your organization has provided in the past and the number and types of people served. In addition, prime sponsors are now required by the regulations to provide small and minority-owned businesses, including small businesses owned by women, with the "maximum reasonable opportunity to compete for contracts for supplies and services." If you are a woman business owner you should notify your prime sponsor, in writing, of your interest in becoming a deliverer of services and/or supplies by giving your name, address, and types of available services.

You should follow the guidance of the prime sponsor as to the method for submitting your funding application. However, you should be aware of your other options as well. Generally, there are four ways to submit proposals: answer an RFP (or similar solicitation process), make a presentation at a public hearing, submit an unsolicited proposal, or make a direct presentation to the governing body for your jurisdiction.

Step 5 - After you know which method you will use; you should then COMPLETE AND SUBMIT YOUR APPLICATION.

The two most important considerations here are timeliness and thoroughness. To insure adequate coverage of important elements, remember that your request should build from the justification for funding based on fulfilling a community need to serve unemployed, underemployed, and economically disadvantaged significant segments and continue from there. Also, the prime sponsor will very probably provide you with instructions on completing funding applications. If this is not provided, go back to the prime sponsor and ask. The other step vital to your proposal is submitting it by the deadline date designated by the prime sponsor.

Step 6 - BE VISIBLE AND ACTIVE ON A YEAR-ROUND BASIS.

If you are funded, congratulations! If you are not, don't give up. Keep yourself visible and active throughout the year, rather than just at funding time. Offer any volunteer services to the prime sponsor that your agency can provide; for example, emergency day care for CETA participants. Contact the agencies

that receive funding to see if there are services you can offer them. Update your application and find ways to improve it for the next try. Most importantly, keep in contact with the prime sponsor to see how the employment and training needs of the community are being served throughout the year.

Step 7 - FIND OUT ABOUT OTHER CETA FUNDING POSSIBILITIES.

Whether or not you are funded by the prime sponsor, you should become aware of other CETA funding possibilities. Two options are particularly appropriate for direct applications from community nonprofit agencies--the Governor's discretionary or "4 percent" funds and special types of title III programs.

The Governor's discretionary or "4 percent" funds are authorized by Section 202(e) of CETA and provide monies to each Governor for various types of employment and training programs and services throughout each State. Many States have funded programs for women from this source. Information about the programs currently funded and methods for applying for funding can be obtained from your State Employment and Training Council or from the appropriate person listed in Appendix B.

Under CETA title III, the Secretary of Labor is authorized to fund special programs and activities which meet the employment-related needs of persons who face particular disadvantages in specific and general labor markets or occupations. Examples of the targeted groups which can be served under this title are offenders, persons of limited English language proficiency, handicapped individuals, women, single parents, displaced homemakers, youth and older workers. By having your name on the prime sponsor's source list, you will be contacted when any title III funding becomes available.

## GLOSSARY

CETA--The Comprehensive Employment and Training Act Amendments of 1978 (Public Law 95-524, 92 Stat. 1909), which amend the Comprehensive Employment and Training Act of 1973, provide funds to State and local jurisdictions for the purpose of establishing employment and training opportunities for economically disadvantaged, unemployed, or underemployed persons which will result in an increase in their earned income.

CETA DIRECTOR--A person generally appointed by the prime sponsor to administer the overall CETA program in his/her jurisdiction.

CETA PLANNER--One or more persons specifically identified by the prime sponsor as having the year-round responsibility of planning the CETA programs.

COMPREHENSIVE EMPLOYMENT AND TRAINING PLAN (CETP)--The prime sponsor's plan for operating programs under the act, consisting of the Master Plan (long-term agreement between a prime sponsor and the Department of Labor) and the Annual Plan (yearly description of program activities and services to be provided by the prime sponsor).

PRIME SPONSOR--A unit of government or a combination of units of government which have entered into a grant with the Department of Labor to provide comprehensive employment and training services. There are generally three types of prime sponsors.

1. Local prime sponsor--A city or county government with a population of 100,000 or more which operates a CETA program by itself.
2. Balance of State prime sponsor--The area within the jurisdiction of a State which is not included in another prime sponsor's area.
3. Consortium prime sponsor--An entity formed by an agreement among two or more local units of government to operate the CETA program. (At least one member of a consortium must be an eligible prime sponsor on its own.)

"Prime sponsor" generally refers to the highest elected official (for example, mayor, county supervisor, governor) of any political jurisdiction.

Note: There are also some nongovernmental prime sponsors for title III programs; for example, Indian reservations and migrant and seasonal farmworker agencies.

REQUEST FOR PROPOSAL--The request for proposal, or RFP, is a document frequently used by prime sponsors to obtain funding proposals from the community. With the RFP system, the prime sponsor sends funding proposal requests to community agencies. Generally, proposals are evaluated according to established criteria before an award is made.

SIGNIFICANT SEGMENTS--Groups of the population identified in terms of the following demographic characteristics: age, sex, race, and national origin.

STATE EMPLOYMENT AND TRAINING COUNCIL--Each Governor must appoint a State Employment and Training Council (SETC) which serves as the CETA advisory body for the State. The SETC also reviews the yearly plans for prime sponsors within the State.

## APPENDIX B

## STATE CETA CONTACTS

REGION 1

## CONNECTICUT

Olive Sheehan, Director  
Office of Employment and Training  
200 Folly Brook Blvd.  
Wethersfield, CT 06109  
Tel. 203-556-4290

## MAINE

Jean Miley, Director  
Office of CETA Planning and  
Coordination  
Hospital Street  
Augusta, ME 04330  
Tel. 207-289-3375

## MASSACHUSETTS

Frederick P. Nader  
CETA Director  
Executive Office of Economic  
Affairs  
Charles F. Hurley Building  
Government Center  
Boston, MA 02114  
Tel. 617-727-7668

## NEW HAMPSHIRE

David W. Osgood, Commissioner  
Office of Employment and Training  
P.O. Box 1477  
Concord, NH 03301  
Tel. 603-271-3156

## RHODE ISLAND

Thomas Hanley, Director  
Department of Economic Development  
Division of Job Development and  
Training  
5 Cathedral Square, 5th Floor  
Providence, RI 02903  
Tel. 401-277-2598

## VERMONT

Sandra Dragon, Director  
Vermont CETA  
State Office Building  
Montpelier, VT 05602  
Tel. 802-241-2500

REGION II

## NEW JERSEY

John J. Horn, Commissioner  
Labor and Industry Building  
John Fitch Plaza, Room 1002  
Trenton, NJ 08625  
Tel. 609-292-5005

## NEW YORK

Phillip Ross  
Industrial Commissioner  
New York State Department of Labor  
State Campus Bldg. #12  
Albany, NY 12240  
Tel. 518-567-4150

## PUERTO RICO

Gloria Bernier de Renta  
Administracion Del Derecho al  
Trabajo  
GPO Box 4452  
Hato Rey, PR 00923  
Tel. 809-764-0565

## VIRGIN ISLANDS

Richard Upson  
Commissioner of Labor  
Virgin Islands Department of Labor  
P.O. Box 709  
Christiansted St. Croix, VI 00820  
Tel. 809-774-3205

REGION III

## DELAWARE

Donald Whiteley, Chairman  
 State Manpower Services Council  
 701 Shipley Street  
 Wilmington, DE 19801  
 Tel. 302-571-2800

## DISTRICT OF COLUMBIA

Matthew Shannon, Acting Director  
 Department of Manpower  
 500 C Street, N.W., Room 600  
 Washington, D.C. 20001  
 Tel. 202-727-3872

## MARYLAND

Joel Matz, Director  
 State Manpower Planning Council  
 1123 North Eutaw Street  
 Baltimore, MD 21201  
 Tel. 301-932-5551

## PENNSYLVANIA

James Wittle, Executive Secretary  
 State Manpower Planning Council  
 1700 Labor and Industry Bldg.  
 Harrisburg, PA 17121  
 Tel. 717-787-8010

## VIRGINIA

Thomas McKeon, Associate Commissioner  
 Virginia Employment Commission  
 P.O. Box 1300  
 Richmond, VA 23210  
 Tel. 804-770-4831

## WEST VIRGINIA

Howard Henderson  
 Governor's Manpower Director  
 State of West Virginia  
 5790A MacCorkle Avenue, S.E.  
 Charleston, WV 25305  
 Tel. 304-348-5920

REGION IV

## ALABAMA

Roscoe Avery  
 State Manpower Planning Staff  
 Department of Industrial Relations  
 Industrial Relations Building  
 Montgomery, AL 36104  
 Tel. 205-832-3617

## FLORIDA

Edward Feaver, Director  
 State Manpower Council  
 2551 Executive Circle West,  
 Suite 200  
 Tallahassee, FL 32301  
 Tel. 904-487-2950

## GEORGIA

Don R. Bryant  
 Deputy Director for Manpower of the  
 Employment Security Agency  
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 Director of Manpower Services  
 Bureau for Manpower Services, CETA  
 275 E. Main Street  
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Indianapolis, IN 46204  
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State Secondary Complex, 3rd Floor  
7150 Harris Drive  
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Cheyenne, WY 82002  
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Sanele Tuiteleleapaga  
Acting Chief  
CETA Administration Office  
Government of American Samoa  
Pago Pago, American Samoa 96799  
Tel. 9-0, ask for overseas  
operator, give no.: 633-5780

TRUST TERRITORY OF THE PACIFIC  
ISLANDS

Podis Pedrus  
Director of Personnel  
Trust Territory of the Pacific  
Islands  
Saipan, Mariana Islands 96950  
Tel. 9-0, ask for overseas  
operator, give routing 160-671, ask  
for 9330

NORTHERN MARIANA ISLANDS

Felicitas Abraham  
Commonwealth of the Northern Mariana  
Islands  
Office of the Governor Training  
Office  
Civic Center  
Saipan, Mariana Islands 96950  
Tel. 9-0, ask for overseas operator,  
give routing 160-671, ask for 6449  
or 6536

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Boise, ID 83735  
Tel. 208-384-2731

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Manpower Planning Division  
Executive Department  
240 Cottage Street, S.E.  
Salem, OR 97310  
Tel. 503-378-4416

WASHINGTON

John Swannack, Administrator  
Employment Security Department  
General Administration Building  
Room 208, M/S AX21  
Olympia, WA 98504  
Tel. 206-735-5250

SUMMARY OF CETA TITLES

TITLE I (PUBLIC LAW 95-524), ADMINISTRATIVE PROVISIONS--contains the general provisions governing the act, including the designation of State and local prime sponsors to administer the program, the planning and plan approval process, and special responsibilities of the Governor, and State and local advisory councils. The title also establishes an Office of Management Assistance to provide support to prime sponsors and contains strengthened provisions relating to program audits and investigation and compliance activities. In addition, it contains time limitations for participation in programs authorized by the act, as well as new provisions for public service employment wages.

TITLE II, COMPREHENSIVE EMPLOYMENT AND TRAINING SERVICES-- combines the comprehensive employment and training services previously authorized under title I and the public employment programs previously authorized under title II. Allowable program activities include training, work experience, upgrading, retraining, education, and other services (parts A, B, and C) and counterstructural public service employment (part D) needed to enable participants to obtain unsubsidized employment. Participants enrolled in training programs and services (except upgrading and retraining) must be economically disadvantaged and either unemployed, underemployed, or in school. Participants in public service employment must be on welfare or economically disadvantaged and unemployed 15 or more weeks.

TITLE III, SPECIAL FEDERAL RESPONSIBILITIES--authorizes the Secretary of Labor to provide services to segments of the population which experience particular disadvantages in the labor market. Added to the original list of persons with such disadvantages are women, single parents, displaced homemakers, individuals who lack educational credentials, and public assistance recipients.

The title continues authorization of programs of research, training and technical assistance, evaluation, labor market information, and computerized job placement. In addition, it authorizes welfare demonstration projects, projects for middle-aged and older workers, and a program for the coordination and partnership between prime sponsors and State employment security agencies. Voucher demonstration projects are also mandated.

TITLE IV, YOUTH PROGRAMS--provides for particular youth programs, including those enacted in the Youth Employment and Demonstration Projects Act of 1977 (except for the Young Adult Conservation Corps, which is still in title VIII), Job Corps, and the Summer Youth Programs.

TITLE V, NATIONAL COMMISSION FOR EMPLOYMENT POLICY--renames and reconstitutes the National Commission for Manpower Policy, with Cabinet participation reduced, and provides for increased independence from the Department of Labor.

TITLE VI, COUNTERCYCLICAL PUBLIC SERVICE EMPLOYMENT PROGRAM--provides for a countercyclical public service employment program, authorizing the funding of sufficient jobs to employ 20 percent of the number unemployed in excess of a 4-percent rate of unemployment. Jobs are authorized for 25 percent of the number of unemployed in excess of a 4-percent rate of unemployment when national unemployment is 7 percent or higher. Fifty percent of the funds may be used only for the employment of persons in projects of limited duration, and all persons not working in projects must be employed at entry-level positions.

TITLE VII, PRIVATE SECTOR OPPORTUNITIES FOR THE ECONOMICALLY DISADVANTAGED--provides for a demonstration program to test the effectiveness of a variety of approaches to increase the involvement of the business community in employment and training activities supported under the act and to increase the private sector employment opportunities for economically disadvantaged persons. The title provides funds to prime sponsors for the establishment of private industry councils, a majority of whose members shall be from the business community. The councils will participate with the prime sponsor in the development of private sector opportunities for economically disadvantaged persons.

TITLE VIII, YOUNG ADULT CONSERVATION CORPS--contains the authorizations for this program, enacted by the Youth Employment and Demonstration Projects Act of 1977. The Corps provides up to 1 year of employment for out-of-school, unemployed young people aged 16 through 23 years, with preference given to those residing in areas of substantial unemployment.

## APPENDIX G

### Capital Assistance Programs

UMTA administers a special capital assistance program, known as the "16(b)(2) program," to provide 80% Federal capital grant funds to private non-profit organizations for the purchase of vehicles to provide transportation services for elderly and handicapped persons. Approximately \$20.M is allocated each fiscal year for this program. These funds are allocated by formula to each state. Grants are approved in the UMTA regional offices.

The UMTA Service and Methods Demonstration Program provides funding support to develop, test and promote innovative and nationally relevant transportation services and methods. Program funds may cover part or all of the project expenses involving capital investments; operations, administration and evaluation.

Under this Initiative monies will be used to provide technical assistance to potential recipients and for purchase of service arrangements with local transportation providers. This latter arrangement depends on availability of funds in fiscal years 1982 and 1983.

Purchase of service agreements can include:

- 1) User Subsidy - Tickets or vouchers for transportation may be purchased by eligible individuals or service organizations (for distribution to their clientele) at a rate below face value. These tickets or vouchers are then used as payment for transportation services, on buses, taxi or other local transportation providers.
- 2) Transportation Broker - An individual, service agency, or public agency arranges trips between transportation providers and the eligible individual. These trips are frequently subsidized by a public agency or service organization.
- 3) Contract Service - A service agency simply can purchase X number of trips per week or month from a local transportation provider(s) taxi, transit, social service agency or whomever.

**16(b)(2) STATE CONTACTS**

Alabama Comm. on Aging Attn: 16(b)(2) Program Manager 740 Madison Avenue Montgomery, Alabama 36104 205/832-6640	Connecticut Department of Transportation Mass Trans. Planning Division Attn: 16(b)(2) Program Manager 24 Wolcott Hill Road P.O. Drawer A Wethersfield, Connecticut 06109 203/566-3961
Alaska Department of Highways Attn: 16(b)(2) Program Manager P.O. Box 589 Douglas, Alaska 99824 907/364-2121	Delaware Authority for Specialized Transportation Attn: 16(b)(2) Program Manager P.O. Box 265 Wilmington, Delaware 19899 302/571-2995
Arizona Department of Transportation Attn: 16(b)(2) Program Manager 206 South 17th Avenue Phoenix, Arizona 85007 602/261-7434	D.C. Department of Highways and Traffic Attn: 16(b)(2) Program Manager District Building Washington, D.C. 20004 202/629-3284
Arkansas State Highway Department Attn: 16(b)(2) Program Manager P.O. Box 2261 Little Rock, Arkansas 72203 501/569-2286	Florida Department of Transportation Division of Mass Transit Attn: 16(b)(2) Program Manager 605 Suwannee Street Tallahassee, Florida 32304 904/488-7390
California Department of Transportation Attn: 16(b)(2) Program Manager 1120 N Street Sacramento, California 95814 916/322-5480	Georgia Department of Transportation Attn: 16(b)(2) Program Manager 2 Capitol Square Atlanta, Georgia 30334 404/656-6000
Colorado Division of Highways Attn: 16(b)(2) Program Manager 4201 E Arkansas Avenue Denver, Colorado 80222 303/757-9372	

Hawaii Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
869 Punchbowl Street  
Honolulu, Hawaii 96813  
808/548-6934

Idaho Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
3103 Airport Way  
Boise, Idaho 83705  
208/384-3183

Illinois Department of  
Transportation  
Division of Public Transportation  
Attn: 16(b) (2) Program Manager  
300 N State Street  
Chicago, Illinois 60610  
312/793-2111

Indiana Commission on Aging  
Attn: 16(b) (2) Program Manager  
215 North Senate Avenue  
Indianapolis, Indiana 46202  
317/633-5948

Iowa Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
Des Moines, Iowa 50319  
515/247-4297

Kansas Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
State Office Building  
Topeka, Kansas 66612  
913/296-3841

Kentucky Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
421 Ann Street  
Frankfort, Kentucky 40601  
501/564-7700

Louisiana Bureau of Aging  
Attn: 16(b) (2) Program Manager  
P.O. Box 44282  
Baton Rouge, Louisiana 70804  
504/389-2171

Maine Department of  
Transportation  
Bureau of Planning  
Attn: 16(b) (2) Program Manager  
Transportation Building  
Capitol Street  
Augusta, Maine 04333  
207/289-2841

Maryland Public Transportation  
Development Division  
Attn: 16(b) (2) Program Manager  
Mass Transit Administration  
109 East Redwood Street  
Baltimore, Maryland 21230  
301/383-7060

Massachusetts Executive Office of  
Transportation and Construction  
Attn: 16(b) (2) Program Manager  
One Ashburton Place  
Boston, Massachusetts 02103  
617/727-8955

Michigan Department of Highways  
and Transportation  
Attn: 16(b) (2) Program Manager  
P.O. Drawer K  
Lansing, Michigan 48904  
517/374-9183

Minnesota State Planning Agency  
Attn: 16(b) (2) Program Manager  
100 Capitol Square Building  
St. Paul, Minnesota 55101  
612/296-2533

Mississippi Council on Aging  
Attn: 16(b) (2) Program Manager  
510 George Street  
Jackson, Mississippi 39216  
601/354-6590

Missouri Department of Transportation Division of Transit Attn: 16(b) (2) Program Manager P.O. Box 1250 Jefferson City, Missouri 65101 314/751-4922	North Carolina Department of Trans. and Highway Safety Mass Transit Division Attn: 16(b) (2) Program Manager P.O. Box 25201 Raleigh, North Carolina 27611 919/829-4713
Montana Department of Community Affairs Attn: 16(b) (2) Program Manager Capitol Station Helena, Montana 59601 406/449-3757	North Dakota Highway Department Attn: 16(b) (2) Program Manager Capitol Grounds Bismarck, North Dakota 58501 701/224-2537
Nebraska Department of Roads Attn: 16(b) (2) Program Manager P.O. Box 94759 Lincoln, Nebraska 68509 402/473-4694	Nevada Department of Highways Attn: 16(b) (2) Program Manager 1263 South Stewart Street Carson City, Nevada 89701 702/885-5610
New Hampshire Transportation Authority Attn: 16(b) (2) Program Manager 3 Capitol Street Concord, New Hampshire 03301 603/271-2563	Ohio Department of Transportation Attn: 16(b) (2) Program Manager 25 South Front Street Columbus, Ohio 43215 614/466-8955
New Jersey Department of Transportation Attn: 16(b) (2) Program Manager 1035 Parkway Avenue Trenton, New Jersey 08625 609/292-4952	State of Oklahoma Attn: 16(b) (2) Program Manager Special Unit on Aging Department of Institutions P.O. Box 25352 Oklahoma City, Oklahoma 73125 405/521-2281
New Mexico State Highway Department Attn: 16(b) (2) Program Manager P.O. Box 1149 Santa Fe, New Mexico 87503 505/983-0600	Oregon Department of Transportation Attn: 16(b) (2) Program Manager Highway Building Salem, Oregon 97310 503/378-8200
New York State Department of Transportation Attn: 16(b) (2) Program Manager 1220 Washington Avenue State Campus, 4-134 Albany, New York 12232 518/457-7245	Pennsylvania Department of Transportation Bureau of Mass Transit System Attn: 16(b) (2) Program Manager 1215 Transportation & Safety Building Harrisburg, Pennsylvania 17120 717/787-7540

Department of Transportation  
and Public Works  
Attn: 16(b) (2) Program Manager  
Box 8218  
San Juan, Puerto Rico 00910  
809/726-4095

Rhode Island Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
Planning Division  
245 State Office Building  
Providence, Rhode Island 02903  
401/277-2694

South Carolina Budget and  
Control Board  
Attn: 16(b) (2) Program Manager  
Division of Motor Vehicle  
Management  
300 Gervais Street  
Columbia, South Carolina 29201  
803/758-7816

South Dakota Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
Transportation Building  
Pierre, South Dakota 57501  
605/224-3155

Tennessee Department of  
Transportation  
Attn: 16(b) (2) Program Manager  
Nashville, Tennessee 37219  
615/741-2781

Texas Department of Highways  
and Public Transportation  
Attn: 16(b) (2) Program Manager  
P.O. Box 5051  
Austin, Texas 78763  
512/475-7466

Utah Department of  
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Systems Planning Division  
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405 South Main Street  
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Salt Lake City, Utah 84114  
801/533-5707

Vermont Agency for Transportation  
Attn: 16(b) (2) Program Manager  
133 State Street  
Montpelier, Vermont 05602  
802/828-2678

Virginia Department of Highways  
and Transportation  
Attn: 16(b) (2) Program Manager  
221 East Broad Street  
Richmond, Virginia 23219  
804/786-1058

Washington Office of  
Community Development  
Attn: 16(b) (2) Program Manager  
Olympia, Washington 98504  
206/753-2222

West Virginia Office of the Governor  
Attn: 16(b) (2) Program Manager  
Department of Federal State  
Relations  
Charleston, West Virginia 25305  
304/348-2246

Wisconsin Department of  
Transportation  
Planning Division  
Attn: 16(b) (2) Program Manager  
P.O. Box 7913  
Madison, Wisconsin 53707  
608/266-1650

Wyoming State Highway  
Department  
Planning and Programming  
Attn: 16(b) (2) Program Manager  
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Cheyenne, Wyoming 82001  
307/777-7552

APPENDIX H

Additional Information to be Included in State Letter of Intent

Every State submitting a letter of intent must include additional information as follows:

- 1) Low-Income Disabled
  - a) statistics on the number of low-income disabled being served
  - b) current activities being conducted for disabled people by each Community Action Agency in the state
- 2) Transportation
  - a) data on transportation activities in every SMSA within the State with a population over 50,000. The attached questionnaire should be completed.



6. Social Service Agency Coordination of Transportation  
(Describe) \_\_\_\_\_

\_\_\_\_\_

7. 16(b)(2) Grantees (Describe) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\* 8. If Answered Yes to Section 8, Describe Interim Service  
Provision for 504 Requirements \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Appendix I

Form to be completed by Governor's Task Force  
when ranking local proposals

<u>Organization's Name</u>	<u>VISTAs Requested</u>	<u>CSA Initiative Grant Requested</u>	<u>1115 Waiver Requested</u>	<u>Section 8 Units Requested</u>	<u>CETA Slots Requested</u>	<u>DOT Funds Requested</u>
	Yes/No/Number	Yes/No/\$ Amount	Yes/No/Service to be covered/ State Medicaid agency approval	Yes/No/Number	Yes/No/Number Prime Sponsor/ letter of sup- port (yes/no)	16b2 (Yes/No/ \$ Amount/Number of vans) (yes/no/\$ amount)