

SAM—STATEWIDE PLANNING

CHAPTER 1100 INDEX

This chapter covers the State Plan Preparation and Review Process. It provides guidance to State agencies who must prepare State plans. It also provides a means for agencies that provide like or similar services, or that serve the same clientele, to ensure that services do not overlap and that processes and policies are uniform.

GENERAL POLICY	1100
TERMS AND DEFINITIONS	1101
POLICY AND AUTHORITY	1103
STEPS TO PLANNING PROCESS	1106
BASIC INFORMATION REQUIREMENTS FOR HUMAN SERVICE-RELATED PLANS	1107
APPENDICES	
FIGURES: Early Notice Of Plan Preparation	AF-1

SAM—STATEWIDE PLANNING

GENERAL POLICY

(Revised and Renumbered From 1102 4/92)

1100

The State Plan Preparation and Review Process provide guidance to State agencies who must prepare State plans. This Chapter applies to all agencies, including those designated as a single State agency for receipt of Federal funds.

Objective. State plans should present a clearly defined, uniform policy that directs all State administered programs. The planning process described below is not meant to duplicate or replace the coordination between departments that is normally achieved at the Cabinet level. The objective of this process is to promote:

1. State policies that guide spending.
2. Uniform programs and policies in areas that affect more than one agency.
3. The use of the same population projections and demographic data that is provided by the State's Demographic Research Unit.
4. Oversight in the use of Federal funds.
5. Consultation between agencies when the programs of one agency may impact the programs of other agencies.
6. Uniform policies when more than one agency serves the same client group.
7. Interaction between agencies with similar programs where there is the possibility that they can help one another deliver services.
8. The avoidance of duplicated effort among State agencies.
9. The receipt of Federal funds.
10. The use of Federal funds to achieve State policies while avoiding increased State expenditures.
11. The use of Federal funds and regulations in keeping with State policies.
12. Human and social services that prevent dependence on public assistance, and foster self-sufficiency and independence whenever possible.

(Continued)

SAM—STATEWIDE PLANNING

(Continued)

GENERAL POLICY

(Revised and Renumbered From 1102 4/92)

1100 (Cont. 1)

13. Providing the Department of Finance ([DOF](#)) with timely planning and program data. This will help Finance better evaluate the cost-effectiveness of State planning programs.
14. Providing the Office of Planning and Research ([OPR](#)) with timely planning and program data. This will help OPR better evaluate the effectiveness, coordination, and consistency of State planning programs in meeting Statewide goals and objectives.

Procedure. All State agencies that are required by legislative or executive mandate to prepare a State plan must comply with the planning process review procedures described below. The State plan does not need to be statewide in scope. If more than one plan is prepared to fulfill State or Federal requirements, then each plan is subject to the review process.

All State agencies that prepare a State plan must:

1. Submit an Early Notice of Plan Preparation to the Office of Planning and Research (OPR) by February 1 of the year that the plan is prepared.
2. Participate in an early consultation meeting sponsored by OPR. The meeting is held to discuss the concerns and recommendations of agencies, and interested parties regarding the proposed plan.
3. Submit to OPR the number of copies of the draft plan which they request. OPR distributes the copies to State agencies, interested parties, and appropriate regional planning bodies.
4. Respond to the comments that come out of the plan review process.

SAM—STATEWIDE PLANNING

TERMS AND DEFINITIONS

(Revised 2/93)

1101

Consulting Agencies. Refers to clearinghouses and State, local, and nonprofit agencies that participate in the preparation and review of State plans. These include agencies that run related programs, serve the same clients, or offer special expertise on clients or services.

DOF. The Department of Finance.

Early Consultation Meeting. Refers to a presentation by the agency preparing the plan to the consulting agencies. The meeting takes place before submission of the draft State plan. Consulting agencies present issues and identify opportunities for coordination at the meeting. This meeting is the most important step in the coordinated preparation and review process of State plans.

E. O. 12372. A Presidential Executive Order.

OPR. The Office of Planning and Research.

Preparing Agency. The agency with the primary responsibility for writing a State plan. The State agency that administers federally funded activities is the "preparing agency".

State Plan. Plans by State agencies that promulgate State objectives and standards, or determine or affect the allocation or administration of State or Federal funds. This includes, but is not limited to, all mandated State plans subject to review under [E.O. 12372, Part III](#). A State plan may include:

1. Policy directives.
2. A program for development of facilities.
3. Guidelines for governmental activities.
4. Federal grant applications.
5. Recommended actions.

SAM—STATEWIDE PLANNING

POLICY AND AUTHORITY

(Revised 2/93)

1103

Government Code Section [65030](#) declares that the future growth of the State should be guided by an effective planning process. This process should proceed within the framework of goals and policies that address:

1. Land use.
2. Population growth and distribution.
3. Urban expansion.
4. Other relevant physical, social, and economic development factors.

Government Code Section [65036](#) states the need to ensure orderly planning by units of State government who have responsibility for specific functions. State plans must also start with common assumptions and forecasts of statewide growth and development. Examples are:

1. Water development.
2. Transportation.
3. Natural resources.
4. Economic development.
5. Human resources.

Education Code Section 56881 requires OPR to "establish procedures for the development and review of State agency plans" that use Federal funds for programs that may serve handicapped children. The purposes of the review are to assure coordination of programs serving handicapped children and to secure all available Federal funding.

Government Code Section [65032](#) states the need to integrate the planning and the executive budgeting functions. The purpose of integrating these functions is to allocate fiscal and other resources of the State among the competing programs.

Government Code Section [65040](#) establishes OPR as the overall State planning agency. OPR's purpose is to serve the Governor and the Cabinet, as staff, for long range planning and research. Section 65040 authorizes OPR to "assist in the orderly preparation of" and "regularly evaluate" State plans. In addition, [E. O. 12372, Part III](#) requires that the Governor or his delegated agency review State plans and local needs. Clearinghouses are also encouraged to review the plans and needs.

(Continued)

SAM—STATEWIDE PLANNING

(Continued)

POLICY AND AUTHORITY

(Revised 2/93)

1103 (Cont. 1)

OPR's authority to implement the [E.O. 12372](#) process is provided by Government Code Section 12035. This section of the Government Code designates OPR as the State Clearinghouse for E.O. 12372. Executive Order D-24-83 directs the Office to coordinate Federal grants.

Government Code Section [13073](#) establishes the Population Research Unit and its duties. The duties include:

1. "Providing adequate demographic data to aid effective State and local planning and policy making."
2. "Serving all levels of government and the private sector as the centralized State source of demographic data."

Section 13073 assures that State planning, funding and policy making for all agencies is done with the same set of population and enrollment data. Where they exist, Council of Government forecasts should be used if they do not exceed DOF's baseline regional forecasts.

SAM—STATEWIDE PLANNING

STEPS TO PLANNING PROCESS

(Revised 2/93)

1106

1. Each preparing agency must submit an Early Notice of Plan Preparation to OPR for each plan it will prepare. The Early Notice should be sent to OPR by February 1 of the calendar year in which the plan is to be prepared. If an agency learns that it must prepare a State plan after February 1st, it must submit the Early Notice within 30 days. For an example of the format and content of the Early Notice, see AF-1 in the Appendix at the end of this Chapter.
2. [OPR](#) distributes the Early Notice of Plan Preparation to consulting agencies identified as having programs or interests related to the plan.
3. If there is sufficient interest, OPR in cooperation with the preparing agency, sets up an early consultation meeting. The meeting takes place prior to writing the draft plan.

During the meeting, the preparing agency must give an overview of the contents of the proposed plan. Consulting agencies and OPR may:

- a. Present issues that the plan should address.
 - b. Identify duplication and overlap in clients and programs.
 - c. Follow-up on previous years' comments on the plan.
4. After the preparing agency writes the draft plan, it must send copies to OPR. The exact number needed is set by OPR based on response to the Early Notice of Plan Preparation. OPR must get its copies at least 45 days before the final plan is presented to the approving or funding Federal or State organization.
 5. OPR sends copies of the draft State plan to consulting agencies. These agencies are asked to review the plan. They are also asked to comment on how well it reflects the recommendations and comments made during the early consultation meeting. OPR performs a similar analysis.
 6. OPR sends the preparing agency the written comments and recommendations, including OPR's own, on the draft State plan within 30 days after they are received from the last responding agency.
 7. If the comments warrant, OPR will set up a meeting between the preparing and consulting agencies, or itself. The meeting is scheduled during the 30-day draft plan review period. The purpose of the meeting is to discuss changes to the plan. Any unresolved issues to be followed up in next year's planning process are also discussed.

(Continued)

SAM—STATEWIDE PLANNING

(Continued)

STEPS TO PLANNING PROCESS

(Revised 2/93)

1106 (Cont. 1)

8. OPR sends a copy of the comments to the responsible Cabinet level agency for the department preparing the plan with a copy of the comments. When appropriate, OPR also provides issues of an interdepartmental nature for agency or Cabinet level resolution.
9. When plans fall within the [E.O. 12372](#) process, [OPR](#) sends a letter to the preparing agency when the review requirements are complete.
10. The preparing agency sends OPR at least two copies of the final plan. One copy goes to the State Library and one copy goes to each of the consulting agencies.
11. OPR recognizes that delays in finalizing Federal regulations can reduce the time available to prepare State plans. For this reason, the early consultation meeting can occur before Federal regulations are finalized. When regulations are delayed, OPR's State Plan Coordinator should be contacted to work out a new time schedule.

Any of the steps listed above may be changed by mutual agreement of OPR and the preparing agency. Time periods can be lengthened or shortened. Change is done on a case-by-case basis. Modification of the process is based on:

1. The time needed to ensure proper interagency consultation.
2. The interest stated by other consulting agencies.
3. Shortened Federal time lines.

SAM—STATEWIDE PLANNING
BASIC INFORMATION REQUIREMENTS FOR
HUMAN SERVICE-RELATED PLANS
(Revised 2/93)

1107

The objectives of interdepartmental consultation are:

1. To find ways of solving the problems of two or more agencies either through a single program or by working together.
2. To get more done than is possible if involved agencies remain unaware of each other's common interests.

Agencies can easily work together when they have a good understanding of how related programs work. To make State plans usable by other agencies, basic information is needed to make consultation worthwhile. This basic information helps area wide Clearinghouses perform [E.O. 12372](#) reviews of State plans.

There is no special format for exchanging basic information. This allows the preparing agency the flexibility to meet other State and Federal information provisions. Basic information should describe:

Eligibility for Services—Target Groups. Give income guidelines, eligibility for related services, age ranges, target groups and targeted community characteristics, if any (urban, rural, etc.).

Role of Local Agencies in Program Administration and Service Delivery. Note the role of welfare departments, community-based agencies, community action agencies, local offices of State agencies, and others.

Sources of Program Funding. Give totals for Federal, State, local, and private sources. Include reimbursement amounts and typical rates.

Similar Complementary Services. Briefly describe similar services. These might be programs run by other State, Federal, or local agencies, or by independent agencies like United Way affiliates or CHAD. Include a brief description of complementary services. These might be programs offered within an agency on which plan related services are dependent.

(Continued)

SAM—STATEWIDE PLANNING

(Continued)

BASIC INFORMATION REQUIREMENTS FOR HUMAN SERVICE-RELATED PLANS

1107 (Cont. 1)

(Revised 2/93)

Examples of similar or complimentary services include:

1. Maternal and Child Health in relation to Supplemental Food (WIC).
2. Energy conservation in relation to Weatherization.
3. Vocational Education in relation to the Job Training Partnership program.

Linkages. Define the linkages among the similar and complementary services to the programs of the State plan.

Role in E.O. 12372 Review. Include your program's role in the [E.O. 12372](#) review of similar and complimentary services. Briefly describe formal and informal working arrangements between your agency (or by local service providers) and service providers funded by other programs. Describe efforts to integrate the program with other State, Federal, or local activities. These activities should simplify delivery of services to clients. They should also avoid duplication of effort.

Allocation Formula. Describe the basis for allocating State or Federal funds to local jurisdictions. Explain any Federal requirements and why your agency proposes the allocation criteria.

SAM—STATEWIDE PLANNING
EARLY NOTICE OF PLAN PREPARATION

Plan title: _____

Name and address of preparing agency: _____

Contact person: _____

Title: _____

Phone number: _____

For what state or federal law or regulation is the plan prepared? _____

What State agencies, boards, or commissions are required to approve plan? ____

When do you anticipate submitting plan for their approval? _____

If plan is prepared for federal funds, when do you anticipate submitting the plan to the federal agency for its approval? _____

By what date must the plan be finalized with the federal agency? _____

On what date do you anticipate submitting drafts of plan to OPR for review and comment procedure? _____

SAM—STATEWIDE PLANNING
EARLY NOTICE OF PLAN PREPARATION

(Continued)

Please list any related programs and departments which should be involved in
assisting in the preparation of the plan.

PROGRAM

DEPARTMENT
