

# **OFFICE OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

## **MISSION**

The Office of Mental Retardation and Developmental Disabilities (OMRDD) serves and supports individuals and families of individuals with developmental disabilities. OMRDD works with local governments and non-profit providers to oversee a comprehensive system for delivery of services to people who have developmental disabilities. Both institutional and community-based services are delivered through a network of non-profit providers, State Developmental Centers and numerous State-operated programs based in the community.

## **ORGANIZATION AND STAFFING**

Under the direction of a Commissioner appointed by the Governor, OMRDD currently operates through district offices, called Developmental Disabilities Services Offices (DDSO). Its Central Office oversees and supports operations of the district offices.

OMRDD will have a workforce of 22,181 for 2001-02, most of whom work directly with consumers of services. The remainder of the workforce are supervisors of direct care workers, clinicians, administrative support and management personnel.

By the end of 2001-02, OMRDD will operate some 662 developmental center beds, along with 1,030 special unit beds. From 1995 to the end of the 2001-02 fiscal year, the State will have moved some 3,300 people into more appropriate community care and will have closed more than 1,900 unneeded institutional beds.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Total funding of \$2.4 billion supports a comprehensive system of care serving more than 120,000 persons with disabilities and their families. Over the last seven years, OMRDD's operating budget has grown by \$503 million, reflecting the Governor's ongoing commitment to serving the needs of persons with developmental disabilities. In 2001-02, OMRDD's mission is supported by the following recommendations:

- OMRDD's Institutional Services Program will receive total funding of \$360.7 million, to support residential care and habilitative services for people in developmental centers. In addition, another \$71.4 million funds OMRDD's Central Coordination and Support and Research in Mental Retardation Programs, which provide policy direction and technical support to the entire service system.
- OMRDD's Community Services Program will receive nearly \$1.9 billion to fund hundreds of State-operated residential and day programs and ancillary services such as clinics and transportation networks, as well as to support local governments and a network of more than 600 non-profit agencies.
- OMRDD's new capital appropriations of \$92.8 million support the maintenance of existing institutions, community residential and day program sites as well as the development and renovation of residential and day programming sites and other expanded bed capacity.

This budget reflects a \$143 million increase over 2000-01 funding, primarily attributable to growth in funding for community-based services. These recommendations anticipate that OMRDD will continue to aggressively pursue Federal financial support for its programs as well as take other targeted administrative actions to achieve management efficiencies

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in both the State and non-profit sectors. As a result, General Fund support for OMRDD's operations increases by \$24.9 million, in part reflecting one-time General Fund spending for collective bargaining payments in 2000-01. The Executive Budget recommendations preserve essential direct care and maintain the quality of services for consumers in both non-profit and OMRDD-operated programs.

The 2001-02 Executive Budget incorporates third-year funding of \$105 million for the Governor's nationally-acclaimed five-year initiative known as New York State-Creating Alternatives in Residential Environments and Services (NYS-CARES). This initiative will virtually eliminate the OMRDD adult residential waiting list for persons with developmental disabilities in New York State who are seeking a home in the community. The 2001-02 Budget supports the development of nearly 1,000 additional beds, 600 case management opportunities, and 190 day service opportunities. Over five years, New York State will invest \$314 million in State and Federal funds to provide services to 8,100 individuals requiring out-of-home residential placements.

In support of existing services, a Medicaid trend factor of 3.52 percent will be provided to Intermediate Care Facilities (ICF) and most Home and Community Based Services (HCBS) Waiver programs, providing more than \$20 million in additional State funding to non-profit community-based providers for residential and other services. All new residential programs developed under NYS-CARES will receive this trend. Further, in recognition of the impact of higher fuel costs on day treatment programs, special funding has been set aside to allow service providers to apply for additional reimbursement to ensure consumers receive appropriate transportation services.

The Budget provides funding sufficient for a base salary increase for 38,000 direct care and support staff in the not-for-profit sector, in order to encourage qualified individuals to enter, and remain, in the field of direct care. Non-trended programs will receive \$4.3 million in special General Fund support for a \$500 base wage and benefit increase, while trended programs will be encouraged to invest similarly in direct care from the 3.52 percent trend factor. In addition, OMRDD will be pursuing an e-commerce approach towards publicizing the availability of direct care and support positions in New York State. This approach will promote those job opportunities and is designed to enhance recruitment for direct care and support personnel.

The State's commitment to continued expansion of non-profit community services is reflected in funding for development of 1,050 day habilitation service opportunities for persons aging out of special education day school programs and provision of 140 new beds, day services, and service coordination for legally mandated populations, such as those referred by the New York City Administration for Children's Services. Further, the Governor's budget will support the creation of 1,550 new supported employment placements, with a new emphasis on providing more severely disabled persons the opportunity to work. In 2001-02, OMRDD will continue to restructure its system to provide services in the most appropriate, least restrictive settings.

During 2001-02, the effort to place individuals residing in the developmental centers into more appropriate community settings will continue. An additional 179 individuals will leave institutions for care in their own communities during 2001-02 and new admissions will be limited to emergency situations of persons with special needs and to persons entering special treatment units. Projections are that by the end of next fiscal year, there will be fewer than 1,700 people living in institutional settings, of whom more than 60 percent will live in specialized settings. OMRDD remains committed to deinstitutionalization for all consumers who can be appropriately cared for in community settings.

In addition, the safety and welfare of the public, as well as those served by OMRDD, continues to be a priority of the Governor. Therefore, the 2001-02 Executive Budget recommends funding to increase State-operated capacity for persons with severe behavioral involvement who require intensive treatment services. Many of these individuals are referred from the criminal justice system as a condition of parole or diverted by the

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courts at sentencing, while others are identified from within the OMRDD system as requiring more intensive interventions. These placements ensure that these individuals will not be a danger to themselves or others.

Sixty beds will be added in these enriched units, which are known as Intensive Treatment Units and offer an appropriate level of care to persons who cannot be adequately cared for in regular developmental centers or Multiply Disabled Units, but do not require a secure treatment setting. Including Intensive Treatment beds which opened in 2000-01, OMRDD will have a total of 235 beds at this level of care by the end of 2001-02. In addition, these Budget recommendations also support 60 new beds at the secure Valley Ridge Center for Intensive Treatment in Chenango County, which is under construction and scheduled to open in January 2002.

In 2001-02, OMRDD will also serve 40 new consumers dually diagnosed with both developmental disabilities and with mental illness, but where their primary diagnosis is mental retardation/developmental disability. Many of these individuals will transfer from the Office of Mental Health's care to OMRDD, where they will receive more appropriate care.

In addition to this expansion of specialized settings, OMRDD will open 24 State-operated community beds in New York City to accommodate high priority referrals of severely disabled children from the Health and Hospitals Corporation and the Administration for Children's Services. The Budget recommendations also fund continued development of 100 State-operated community residential opportunities for the NYS-CARES program.

Consistent with the Governor's emphasis on restructuring government to provide higher quality services more efficiently, including the innovative use of technology, OMRDD will undertake a number of actions to streamline administrative operations in 2001-02. The Office will centralize certain routine human resources and payroll functions, reducing the workload on its district offices, by implementing new automated systems. Through partnerships with voluntary not-for-profit providers and other agencies, education and training services will be delivered to both the public and private sectors on a regional basis, including using the Internet for distance learning. Voluntary provider payments for services — such as room and board supplements — which parallel Medicaid services will be automated, reducing clerical processing workload.

In addition, Article VII legislation is proposed to consolidate the Taconic DDSO into other district office catchment areas, creating a unified administration for developmental disabilities services in the upper Hudson Valley. Since 1995, OMRDD will have streamlined its district office structure from 19 DDSOs to 12 by the end of 2001-02, enabling the reduction of administrative costs while expanding services and oversight. Along with other efficiencies, such as purchasing and overtime best practices, these management actions will save OMRDD \$18 million annually when fully implemented in 2002-03.

Infrastructure throughout the State and not-for-profit systems will be maintained through new capital appropriations of \$93 million and reappropriations of \$111 million. Capital appropriations for institutional projects will focus on the need to reinvest resources into preserving and maintaining long-term facilities mostly for a core population of consumers who have severe behavioral treatment needs and/or have been involved with the criminal justice system. In 2001-02, OMRDD will develop new institutional capacity for these individuals by developing 60 new beds in Intensive Treatment Units across the state. The agency will also complete capital construction associated with other secure and special unit expansions begun in prior years, including opening the Valley Ridge Center for Intensive Treatment. Additionally, OMRDD will begin a significant new capital project at the Institute for Basic Research in Developmental Disabilities to replace old, outdated labs with 17 new labs to ensure ongoing compliance with health and safety requirements.

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New appropriations for institutional projects increase by approximately \$17.5 million in 2001-02. Funding for capital renovations to support placements in special units and the laboratory project at the Institute for Basic Research are the major components of the year to year change.

State and voluntary-operated community capital appropriations increase by \$12.5 million. Capital projects in the community reflect a continued investment to maintain both State and voluntary not-for-profit community based sites, and to develop State-operated residential placements for adults in developmental centers and on the NYS-CARES waiting list. While a modest increase in bonded appropriations is included, in part to address funding needs for small inner-city providers which cannot obtain alternative financing, voluntary not-for-profit capital development needs for NYS-CARES and other program expansion initiatives will continue to be met primarily through the use of non-State revenue such as Federal Housing and Urban Development (HUD) grants and private financing.

In total, these recommendations — through the combination of new and currently operating programs — will support an estimated 8,100 new service opportunities in community programs during 2001-02. This includes community placements for people in developmental centers and for mandated populations, as well as service opportunities for people on community waiting lists. Services to individuals and families have also been preserved within family support services.

### ***PROGRAM HIGHLIGHTS***

OMRDD serves more than 120,000 New Yorkers with developmental disabilities, which include mental retardation, epilepsy, cerebral palsy, neurological impairments and autism. In recent years, New York has made great strides in its methods of delivering services to this vulnerable population, moving more persons from institutions to the community than any other state in the nation. In addition, New York continues to place greater emphasis on consumer choice and satisfaction.

Under a 1991 Federal Medicaid waiver, consumers have the opportunity to receive individualized services in less restrictive settings. With the aid of trained service coordinators, consumers choose the services they need, and receive them in appropriate settings. New York commits more resources to its Home and Community Based Services (HCBS) Waiver program than any state in the nation, investing three times as much as the next highest state offering services under a waiver.

Maintaining a statewide system of services, delivered through both the State and non-profit providers, OMRDD:

- provides 35,000 persons with certified residential services;
- provides 63,000 persons with community day services; and,
- assists in the care of 72,000 persons with developmental disabilities who are living in their own homes.

An overview of these services is provided below:

### ***RESIDENTIAL SERVICES***

Residential services are offered through a continuum of programs in both community and institutional settings. The alternative which provides the most intensive services in a community setting is the Intermediate Care Facility for the Developmentally Disabled (ICF/DD). These facilities — some 8,300 beds operated statewide by both State and not-for-profit providers — are appropriate for individuals requiring 24-hour care. A typical community ICF has 12 to 14 beds.

The most common residential placement for persons under the waiver are Individual Residential Alternatives (IRAs) — homes, typically for 6 to 8 consumers, operated by

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either the State or not-for-profit providers in the community. This budget supports more than 15,000 IRA beds and accompanying service coordination. Other community living arrangements include Community Residences and Family Care homes, which serve more than 9,000 people.

In addition to these community-based programs, OMRDD operates ten campuses across the State. Fewer than 1,700 people will be served in these settings by the end of 2001-02, of whom more than 60 percent will be receiving specialized services. OMRDD remains committed to providing community residential opportunities for all those in State institutions who can receive appropriate care in the community. Currently, New York serves more persons in community residential settings than any other state, with the exception of California.

### ***DAY SERVICES***

OMRDD supports an array of day services for persons with developmental disabilities, which also vary depending on the needs of the consumer. The major programs include:

- day treatment which provides diagnostic, treatment, and rehabilitative services;
- day habilitation, a smaller more individualized service for persons under the Federal Medicaid waiver for home and community based services;
- supported work, which provides the opportunity for individuals to work in competitive positions usually in integrated settings in the private sector;
- sheltered workshops which provide basic, non-competitive work opportunities; and
- day training which develops the knowledge and skills that enable persons with developmental disabilities to improve their personal, social, and vocational skills and to function independently.

### ***SUPPORT FOR CONSUMERS LIVING IN THEIR OWN HOMES***

OMRDD services also support families and individuals in their own homes. The Family Support Services program assists families in caring for more than 64,000 persons with developmental disabilities, enabling these individuals to remain at home. Services offered include respite, crisis intervention, case management, recreation, information and referral, and home care.

The Individualized Support Services program provides services to more than 1,600 disabled individuals who live independently. In addition, almost 6,300 individuals living in their own homes receive residential habilitation under the Federal Medicaid waiver.

The Care at Home program provides a third alternative, designed to preserve family settings for persons under 18 years of age with developmental disabilities, who are medically frail. This program allows the parents of young persons with severe disabilities to maintain the child at home, regardless of family income level, thereby preventing more costly out-of-home placements.

#### **ALL FUNDS APPROPRIATIONS (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	1,116,464,000	1,140,152,000	23,688,000	44,000
Aid To Localities	1,074,046,684	1,163,599,000	89,552,316	641,000
Capital Projects	63,117,000	92,836,000	29,719,000	110,542,000
Total	<u>2,253,627,684</u>	<u>2,396,587,000</u>	<u>142,959,316</u>	<u>111,227,000</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## ALL FUND TYPES PROJECTED LEVELS OF EMPLOYMENT BY PROGRAM FILLED ANNUAL SALARIED POSITIONS

Full-Time Equivalent Positions (FTE)			
<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Central Coordination and Support			
General Fund	770	763	(7)
Special Revenue Funds - Other	18	0	(18)
Community Services			
General Fund	15,673	15,905	232
Institutional Services			
General Fund	5,253	5,291	38
Enterprise Funds	1	1	0
Research in Mental Retardation			
General Fund	<u>222</u>	<u>222</u>	<u>0</u>
Total	<u>21,937</u>	<u>22,182</u>	<u>245</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	202,337,000	153,296,000	(49,041,000)
Special Revenue Funds - Federal	80,000	80,000	0
Special Revenue Funds - Other	911,535,000	983,521,000	71,986,000
Enterprise Funds	1,957,000	2,350,000	393,000
Internal Service Funds	0	150,000	150,000
Fiduciary Funds	<u>555,000</u>	<u>755,000</u>	<u>200,000</u>
Total	1,116,464,000	<u>1,140,152,000</u>	<u>23,688,000</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(70,815,000)		
Special Revenue Funds - Other	(124,000)		
Enterprise Funds	<u>(7,000)</u>		
Appropriated 2000-01	<u>1,045,518,000</u>		

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## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Central Coordination and Support			
General Fund	54,278,000	54,333,000	55,000
Special Revenue Funds - Federal	80,000	80,000	0
Special Revenue Funds - Other	1,728,000	0	(1,728,000)
Internal Service Funds	0	150,000	150,000
Community Services			
General Fund	686,700,000	708,127,000	21,427,000
Institutional Services			
General Fund	354,167,000	357,605,000	3,438,000
Enterprise Funds	1,957,000	2,350,000	393,000
Fiduciary Funds	505,000	705,000	200,000
Maintenance Undistributed			
General Fund	(909,807,000)	(983,521,000)	(73,714,000)
Special Revenue Funds - Other	909,807,000	983,521,000	73,714,000
Research in Mental Retardation			
General Fund	16,932,000	16,752,000	(180,000)
Fiduciary Funds	50,000	50,000	0
Community Projects			
General Fund	67,000	0	(67,000)
Total	<u>1,116,464,000</u>	<u>1,140,152,000</u>	<u>23,688,000</u>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	39,171,000	(137,000)	36,932,000	(146,000)
Community Services	603,254,000	16,277,000	587,091,000	15,209,000
Institutional Services	221,707,000	(5,236,000)	214,233,000	(5,059,000)
Research in Mental Retardation	14,894,000	63,000	14,472,000	63,000
Total	<u>879,026,000</u>	<u>10,967,000</u>	<u>852,728,000</u>	<u>10,067,000</u>
<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	1,991,000	0	248,000	9,000
Community Services	4,765,000	281,000	11,398,000	787,000
Institutional Services	1,030,000	(25,000)	6,444,000	(152,000)
Research in Mental Retardation	260,000	0	162,000	0
Total	<u>8,046,000</u>	<u>256,000</u>	<u>18,252,000</u>	<u>644,000</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	15,162,000	192,000	556,000	22,000
Community Services	104,873,000	5,150,000	36,718,000	1,649,000
Institutional Services	135,898,000	8,674,000	20,091,000	1,992,000
Research in Mental Retardation	1,858,000	(243,000)	697,000	(91,000)
Community Projects	0	(67,000)	0	0
Total	<u>257,791,000</u>	<u>13,706,000</u>	<u>58,062,000</u>	<u>3,572,000</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	1,254,000	141,000	12,051,000	(20,000)
Community Services	5,860,000	263,000	51,344,000	2,745,000
Institutional Services	1,048,000	104,000	29,074,000	2,883,000
Research in Mental Retardation	55,000	(7,000)	845,000	(111,000)
Total	<u>8,217,000</u>	<u>501,000</u>	<u>93,314,000</u>	<u>5,497,000</u>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	1,301,000	49,000	0	0
Community Services	5,111,000	230,000	5,840,000	263,000
Institutional Services	2,017,000	200,000	83,668,000	3,495,000
Research in Mental Retardation	261,000	(34,000)	0	0
Community Projects	0	0	0	(67,000)
Total	<u>8,690,000</u>	<u>445,000</u>	<u>89,508,000</u>	<u>3,691,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	230,000	(1,578,000)	0	(1,126,000)
Institutional Services	3,055,000	593,000	274,000	(5,000)
Research in Mental Retardation	50,000	0	0	0
Total	<u>3,335,000</u>	<u>(985,000)</u>	<u>274,000</u>	<u>(1,131,000)</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	0	(602,000)	230,000	150,000
Institutional Services	2,781,000	598,000	0	0
Research in Mental Retardation	50,000	0	0	0
Total	<u>2,831,000</u>	<u>(4,000)</u>	<u>230,000</u>	<u>150,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	626,058,684	699,955,000	73,896,316
Special Revenue Funds - Other	445,988,000	461,644,000	15,656,000
Fiduciary Funds	2,000,000	2,000,000	0
Total	<u>1,074,046,684</u>	<u>1,163,599,000</u>	<u>89,552,316</u>

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## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Services			
General Fund	622,196,000	699,955,000	77,759,000
Special Revenue Funds - Other	445,988,000	461,644,000	15,656,000
Fiduciary Funds	2,000,000	2,000,000	0
Community Projects			
General Fund	3,862,684	0	(3,862,684)
Total	<u>1,074,046,684</u>	<u>1,163,599,000</u>	<u>89,552,316</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	2,000,000	2,000,000	0	0
Mental Hygiene Capital Improvement Fund	3,000,000	3,000,000	0	0
Non-Bondable Projects				
Capital Projects Fund	2,000,000	1,000,000	(1,000,000)	0
Voluntary-Operated Community Facilities				
Capital Projects Fund	8,383,000	9,782,000	1,399,000	8,383,000
Mental Hygiene Capital Improvement Fund	2,678,000	6,758,000	4,080,000	2,678,000
State-Operated Community Services Program				
Capital Projects Fund	10,200,000	15,096,000	4,896,000	9,608,000
Mental Hygiene Capital Improvement Fund	2,500,000	5,000,000	2,500,000	21,200,000
Institutional Services Program				
Capital Projects Fund	19,445,000	14,250,000	(5,195,000)	30,839,000
Mental Hygiene Capital Improvement Fund	12,911,000	35,450,000	22,539,000	37,834,000
Eaccre Gymnasium Fund	0	500,000	500,000	0
Total	<u>63,117,000</u>	<u>92,836,000</u>	<u>29,719,000</u>	<u>110,542,000</u>

