

GUAM HEALTH PLANNING AND DEVELOPMENT AGENCY
REVIEW MANUAL FOR PROPOSED USE OF FEDERAL
FUNDS

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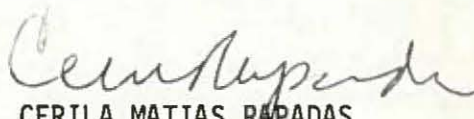
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April 29, 1980

To: All Concerned

This Manual to be used for Proposed Uses of Federal funds (PUFF) reviews was duly adopted by the Guam Health Planning and Development Agency on December 20, 1979, registered with the Secretary of the Fifteenth Guam Legislature on January 15, 1980 and approved by the U.S. Department of Health, Education, and Welfare on March 20, 1980.

The Agency is authorized to recommend approval or disapproval on those applications mentioned in this Manual which will be affected.


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Administrator

GUAM HEALTH PLANNING AND DEVELOPMENT AGENCY

REVIEW MANUAL
FOR
PROPOSED USE OF
FEDERAL FUNDS

ADOPTED:

DECEMBER 20, 1979

GUAM HEALTH PLANNING & DEVELOPMENT AGENCY
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PROPOSED USE OF FEDERAL FUNDS

INTRODUCTION

The National Health Planning and Resources Development Act of 1974 (P.L. 93-641) provided for the creation of a territorial planning agency for the purpose of improving the health care of residents, increasing accessibility including overcoming geographic and transportation barriers, acceptability, continuity and quality of health services provided them, restraining increases in the cost of providing health services, and preventing unnecessary duplication of health resources.

In carrying out the intent of the Act, the Guam Health Planning and Development Agency (GHPDA) has been established as Guam's health planning body.

As part of its mandate, the GHPDA is required to review and approve or disapprove each proposed use of Federal funds. In performing its review functions under the Act, the GHPDA must follow procedures and apply criteria which were adopted and found in Title 42 of the Federal Register, Parts 122 and 123, dated April 2, 1979.

This Project Review Manual has been prepared to comply with the Act by including procedures and criteria to be used by the GHPDA in reviewing proposals.

SCOPE OF COVERAGE

Projects subject to review are those funded by -

1. the Public Health Service Act,
2. the Community Mental Health Centers Act,
3. the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, or
4. Sections 409 and 410 of the Drug Abuse Office and Treatment Act,

through grants, contracts, loans or loan guarantees for the development, expansion, or support of health resources; or, an allotment made available to the Territory under the acts cited above for grants or contracts for the development, expansion, or support of health resources.

The GHPDA will not review and approve or disapprove proposed uses of Federal funds which are:

- a. non-competing extension grant applications, or
- b. supplemental grant applications for administrative increases in costs.

However, an application for a non-competing continuation grant will be subject to GHPDA review and approval or disapproval if any of the following conditions apply -

1. GHPDA submits to the Federal funding agency at least nine months before the scheduled date of the continuation grant award a request to review it;
2. The applicant proposes a change in the funding level of 20 percent or more from that previously approved by the Federal funding agency;
3. The applicant or the Federal funding agency determines that there has been a substantial change in the proposed or actual use of funds;
4. In any case at least every five years if there has been no submission under any of the previously stated conditions, beginning November 8, 1979 (the effective date of Federal regulations).

Supplement 3.3 lists projects requiring GHPDA review. In addition, projects requiring Guam Health Coordinating Council (GHCC) review are listed because the GHPDA will provide administrative and technical support in handling those projects.

It should be noted that the list may not be complete or up-to-date, as programs are either added or dropped from time to time. The Secretary periodically publishes notification of covered programs in the Federal Register. Therefore, it is incumbent upon the prospective applicant to consult with the GHPDA before submitting an application for funding to determine whether or not it must be reviewed.

ROLES AND RESPONSIBILITIES

A. Applicant

The applicant is responsible for submitting documentation addressing all the GHPDA review criteria together with his formal application for funding. Because Territorial Executive Order 74-32 requires all requests for funding to be reviewed by the A-95 Clearinghouse (Lieutenant Governor's Office), the applicant should prepare GHPDA's Notice of Intent

form and submit it to GHPDA at the same time it submits the A-95 Notice of Intent to the Clearinghouse (see Supplement 3.2). This will inform GHPDA of the upcoming application and fact-finding discussions can be initiated to resolve potential conflicts.

Each applicant may be requested to make a brief presentation at the Council meeting and the Project Review Committee. Even if they are not formally requested to do, each applicant has the right to attend any of the Project Review Committee meetings. Applicants are required to comply with all of the procedures specified in this manual.

B. Guam Health Planning and Development Agency (GHPDA)

The GHPDA has final responsibility for approving or disapproving applications reviewed under Section 1513(e) of the Act. It must conclude its review process within (60) days from the date that notification of the beginning of the review is sent to affected persons. The GHPDA will provide staff assistance to GHCC and its Project Review Committee.

C. Guam Health Coordinating Council (GHCC)

GHCC has final responsibility for approving or disapproving State plans and formula grants specified in Section 1524(c) (6) of the Act. GHCC only recommends approval/disapproval to GHPDA on grant applications covered under Section 1513(e). The GHCC Chairperson shall dismiss any Council member having conflict of interest as prescribed in the GHCC Rules prior to votation on a project.

PROCEDURES

1.1 Coordination with Applicant

GHPDA will review each proposed use of Federal funds subject to its review based on the criteria and procedures found in this manual. Applicants should read this manual thoroughly to understand exactly what actions need to occur for their application or plan to be properly reviewed. In fact, anyone intending to apply for Federal funds which are covered in this manual should seek GHPDA's assistance, if necessary, to understand the review process which would occur.

Under P.L. 93-641, review responsibilities of GHPDA extend beyond merely "review and comment" to actually "review and approve/disapprove". It is recognized that problems will occur for applicants in having to comply with this review format, therefore, GHPDA will lend as much assistance as it can within the parameters set forth in this manual.

Upon request, GHPDA will notify the applicant and other persons subject to review under provisions of this manual as to the status of GHPDA review of projects, of findings made in the course of review, and other appropriate information respecting the review.

1.2 Procedures for Submission of Applications

Applications for Federal funds must be submitted at the time and in the form and manner prescribed by the Secretary (DHEW) or, in the case of funds made available by the Government of Guam under an allotment program, by the state program agency.

1.2-A Notification of Intent

Applicants proposing the use of Federal funds subject to Section 1513(e) shall submit a Notice of Intent to Submit an Application (see Supplement 3.2) to GHPDA at least 30 calendar days prior to submission of a final application to the funding source.

GHPDA shall provide the applicant with a written acknowledgement of the receipt of the Notice of Intent.

1.2-B Information Requirements

Upon receipt of a Notice of Intent, GHPDA staff shall notify the prospective applicant of the data and other information which shall be required as part of the completed application.

The applicant must provide the information specified by GHPDA as described in the Information Requirements for Review.

1.2-C Timing of Submission

An application for Federal funds to be reviewed by GHPDA must be submitted simultaneously to GHPDA and the Federal funding agency. However, for certain Federal funding programs or types of applications, submission will be made either through GHPDA and then to the Federal funding agency or it will be made directly to the Federal funding agency which would provide the application (or a summary) to GHPDA at a time it (the Federal funding agency) considers appropriate.

For a non-competing continuation grant application, one of the conditions listed under Scope of Coverage must apply before it will be reviewed by GHPDA.

Since the Federal funding agencies are allowed a great deal of latitude in prescribing the way in which applications will flow through or to GHPDA and the three submission procedures may be applied by different Federal funding agencies, the timely submittal of the application will be the joint responsibility of the applicant and the Federal funding agency.

1.2-D Submission of Completed Application

The applicant should submit five (5) copies of the final application; if determined to be complete, the review process begins. If determined to be incomplete, GHPDA staff will make recommendations, in writing, to the applicant about the contents of the application.

1.2-E Definition of a Completed Application

An application will be considered by GHPDA to be complete for review purposes when:

- The applicant has submitted a Notice of Intent to GHPDA at least 30 calendar days prior to submission of the final application to the Federal funding agency;
- GHPDA receives confirmation about submission of the application, the review timeframe, and the applicant's eligibility to apply for the funds requested in the application from the Federal funding agency; and

- The applicant has submitted five copies of both the DHEW application form and the GHPDA Information Requirements for Review concurrent with, or prior to, submission of the application to the Federal funding agency.

1.2-F Amendments to Applications

During the course of the GHPDA review, additional information may be requested by DHEW from the applicant, or the applicant may request a change in its application. In any case, copies of such materials should be submitted to GHPDA at the same time they are submitted to the Federal funding agency.

1.2-G Review Timeframe

Review of an application subject to the authority of Section 1513(e) shall be concluded within sixty (60) days from the date of notification of the beginning of review. When time and workload permit, GHPDA may complete its review in a shorter period.

Extensions of the timeframe will occur under the following conditions:

- With the written concurrence of the applicant and with the assurance of the funding source that such extension would still permit completion of the review prior to final action by the funding source;
- Where the funding source has provided for a longer period for a particular program.

For a proposal for using territorial allotment funds, a minimum of sixty (60) days will be allowed for the GHPDA to review the proposal after it is received from the state program agency or the applicant.

1.2-H Written Notice of Start of Review

GHPDA will send notification to affected persons of the beginning of a review by hand-delivered letter within seven (7) days of receipt of the application.

Notification to the general public shall be in the form of an announcements during public information programs of local radio stations. Information provided will include the review schedule, the deadline for affected persons to request a public hearing and the manner in which notification will be provided of the time and place of any hearing so requested. GHPDA will simultaneously provide such written notification to the Federal funding agency.

1.2-I Opportunity for GHCC Review

In addition to affected persons, GHPDA will notify the GHCC of each proposed use which it will review to afford GHCC a reasonable opportunity to review and comment. Within forty-five (45) days after notification of beginning of a review, the GHCC should provide written comments to GHPDA.

1.3 Request for Public Hearings

The purpose of public hearings on Section 1513(e) applications held during the course of GHPDA's review process is to respond to any requests by one or more persons or interested parties. Such comments may be in favor of, or in opposition to, a project.

Requests for public hearing must be made to GHPDA within seven (7) days after....notification of start of review is received by affected persons.

Affected persons will be advised by hand-delivered letter of the time and place of any public hearings at least seven (7) days prior to the public hearing. The general public shall be advised through local radio stations.

If a hearing is requested, GHPDA will allow any person to present testimony.

1.4 Provision for Written Findings of Final Decision

Written findings which state the basis for any final decision or recommendation made by GHPDA will be sent to the applicant, the state program agency (if not the applicant), and the Federal funding agency not later than the close of the first business day following the end of the review period. Those findings are available to others upon request.

If notification is not provided by GHPDA following the 60-day review period, then the proposed use of Federal funds shall be deemed not to have been disapproved by GHPDA.

1.5 Construction Projects

In the case of construction projects, the persons proposing such projects must submit letters of intent to GHPDA describing the scope and nature of the projects. Letters of intent must be submitted at the earliest possible opportunity in the course of planning such construction projects.

1.6 Review of Applications Subject to Multiple Review Mandate

On occasion, GHPDA will receive for review an application that is subject to more than one review mandate (e.g., 1513(e), 1513(f), etc.). In all such cases, GHPDA shall conduct one review only.

1.7 Public Access to Applications and Other Materials

The general public will have access to applications reviewed by GHPDA and to all other written materials pertinent to the review. Individuals requesting to review applications or other written materials will be registered by GHPDA; such registration information is available to project applicants upon request.

Public access, including GHPDA access, to complete portions of research projects and for contracts may be prohibited by Federal law. Consequently, only summaries of research portions of applications and summaries of proprietary information contained in contract documents will be made available to GHPDA and the public.

GHPDA will publish annually reports of reviews being conducted and of reviews completed during the period covered by the report. In the case of reviews not completed, GHPDA will report on the status of each review. A general statement of findings and decisions will be included for completed reviews.

1.8 Periodic Report by Potential Applicant

A person preparing an application which is subject to GHPDA review must notify GHPDA of the status of its development in order to alert GHPDA to the forthcoming application and permit GHPDA to work with the

applicant to assure a complete application and an expeditious review. Submitting a Notice of Intent under Procedure 1.2-A will suffice.

1.9 Appeal Procedures Upon GHPDA Disapproval

If GHPDA disapproves a proposed use of Federal funds, the Secretary may not make such Federal funds available for such use until he has made, upon the request of the entity making such proposal, a review of the GHPDA decision.

1.9-A Provisions for Requesting Review

To be effective, a request for review must be:

- Provided (including mailing) to the Federal funding agency, in such form and manner as may be prescribed by the Federal funding agency, not later than fifteen (15) days after GHPDA provides notice of the disapproval;
- Accompanied by a justification for approval by the Secretary of the proposed use of Federal funds despite GHPDA's disapproval, including detailed responses to the reasons given by GHPDA for its disapproval.

1.9-B GHPDA Comments on Disapproval Decision

The Secretary will provide GHPDA copies of the request for review and any material accompanying the request. GHPDA must mail or otherwise provide to the Secretary its response not later than fifteen (15) days after the information is mailed or otherwise provided to GHPDA.

1.9-C Review by the Secretary

The Secretary, after taking into consideration comments received from GHPDA, may make Federal funds available for use, notwithstanding the disapproval of GHPDA. Each decision by the Secretary to make funds available despite GHPDA disapproval will be submitted to the applicant and GHPDA, and will contain a detailed statement of the reasons for the decision. In reviewing GHPDA's disapproval, the Secretary will consider at least the following:

- Whether GHPDA substantially adhered to its adopted applicable review procedures;

- Whether the proposed use of Federal funds is consistent with the applicable adopted review criteria of GHPDA;
- Whether the failure to make the proposed Federal funds available will adversely affect the health of residents of Guam or surrounding areas;
- Whether the proposed use of Federal funds meet a national need for which local conditions offer special advantages and which is unlikely to be accomplished efficiently or effectively in another health service area.

1.10 Alteration of Procedures and Criteria

All proposed editorial and substantive changes to procedures or criteria will not be adopted until they have undergone the same public notice process as required for original adoption of procedures and criteria

2.0

REVIEW CRITERIA

The following criteria were taken from Federal regulations (42 CFR Part 122) and constitute the minimum and only set of criteria which GHPDA will use in evaluating each proposed use of Federal funds.

To make it easy for the applicant to understand what each criterion is measuring, GHPDA has identified the following five broad categories: Demonstrated Community Need; Relationship to Existing Health Care System; Ability to Staff and Operate; Physical Design and, Financial Considerations. The following criteria form the basis for a review by providing measures against which certain aspects of a project proposal are compared so that GHPDA will render its decision based on the merits of that proposal.

GHPDA advises each applicant to take notice of the GHPDA Information Requirements for each category which must be submitted along with the proposal. It is essential that the required information be submitted because they are the key items for assessing the merits of each proposal.

CRITERIA: 2.1 Demonstrated Community Need

The relationship of the health services being reviewed to the Guam Health Plan and Annual Implementation Plan.

The relationship of services reviewed to the long-range development plan (if any) of the person providing or proposing the services.

The need that the population served or to be served has for the services proposed to be offered or expanded, and the extent to which low-income persons, racial and ethnic minorities, women, handicapped persons, and other underserved groups are likely to have access to those services.

In the case of a reduction or elimination of a service including the relocation of a facility or a service, the need that the population presently served has for the service, the extent to which that need will be met adequately by the proposed relocation or by alternative arrangements, and the effect of the reduction, elimination or relocation of the service on the ability of low-income persons, racial and ethnic minorities, women, handicapped persons, and other underserved groups to obtain needed health care.

The special needs and circumstances of those entities in Guam which provide a substantial portion of their services or resources, or both, to individuals not residing in the Territory of Guam. These entities include medical and other health professions schools, multidisciplinary clinics and specialty centers.

The special needs and circumstances of health maintenance organizations (HMOs) for which assistance may be provided under Title XIII of the Public Health Service Act. These needs and circumstances must be limited to:

- (i) The needs of enrolled members and reasonably anticipated new members of the HMO or proposed HMO for the health services proposed to be provided by the organization.
- (ii) The availability of these health services from non-HMO providers or other HMO in a reasonable and cost-effective manner which is consistent with the basic method of operation of the HMO or proposed HMO. In assessing the availability of such health services from non-HMO providers or other HMO providers, the GHPDA must consider only whether the health services from these providers:

- (A) Would be available under a contract of at least five years duration;
- (B) Would be available and conveniently accessible through physicians and other health professionals associated with the HMO or proposed HMO (for example, whether physicians associated with the HMO have or will have full staff privileges at a non-HMO hospital);
- (C) Would cost no more than if the health service were provided by the HMO or proposed HMO; and
- (D) Would be available in a manner which is administratively feasible to the HMO or proposed HMO.

The special needs and circumstances of biomedical and behavioral research projects which are designed to meet a national need and for which local conditions offer special advantages.

The contribution of the project in meeting the health related needs of members of medically underserved groups and members of groups which have traditionally experienced difficulties in obtaining equal access to health services (for example, low-income persons, racial and ethnic minorities, women, and handicapped persons), particularly those needs identified in the Guam Health Plan and Annual Implementation Plan as deserving a priority.

REQUIRED
INFORMATION:

2.1-A Relationship to Plans

Have the Guam Health Plan and Annual Implementation Plan been considered in the development of this proposal? Discuss the extent to which the GHP and AIP are supportive of this proposal.

Have other State Plans been considered? Discuss extent to which these plans (i.e., Territorial Economic Development Plan, Territorial Comprehensive Development Plan, State Plan for Maternal and Child Health, etc.) support this proposal.

Is the project consistent with the most recent Federal Regulations governing the proposal? Cite Federal Register volume and section.

Description of relationship of proposed project to GHPDA planning documents (GHP, AIP, Special Studies) and planning documents of other appropriate organizations (i.e., Mental Health Substance Abuse, Agency on Aging, etc.).

REQUIRED

INFORMATION:

2.1-B Relationship to Applicant's Long-Range Plans

Provide summary of institution's short-term and long-term service plans.

If the project is a new service, provide projected capacity and projected utilization levels for the first three years after implementation.

Provide (existing and simulated) summary statistics for the various components and measures of service for this facility (i.e., number of clients, capacity level, number of beds, operating cost per equivalent patient day, etc.).

REQUIRED

INFORMATION:

2.1-C Need of Population to be Served

Documentation of community and/or special target population demand through media, reports, surveys, current utilization, etc.

Identification and description of proposed target population.

Description of health problem and projection of anticipated impact of proposed project on the health status of the population to be served.

Provision of summary statistics of utilization and client Characteristics for three most recent years ended and two years projected budget periods for both entire operations and proposed project. Provision of information in terms of the number of: patients, encounters, hospital ER visits, lab and radiology procedures. Documentation of the utilization rate, the encounter capacity level, referrals made and received, socio-demographic characteristics by age groups (0-4, 5-9, etc.) and race.

Will the proposed service be made available and accessible to all persons within the health service area? Discuss the extent to which this assurance will be met.

Identify and provide patterns and utilization of existing similar and related services in the health service area.

Assurances, in the case of a reduction or elimination of a service, including the relocation of a facility or a service, that the need for all persons presently served will be met by arrangements with other health facilities who offer similar or related services in the present health service area.

Identification and Analysis of alternatives to proposed project. (The rationale for determining the proposed project is the best from among those alternatives considered).

Discuss the availability of this service through commentary on such factors as distance, travel time, public transportation and hours of operation.

Provide a list of procedures used to assess and deal with a patient's ability to pay. Include procedures specific to the project such as the use of patient advocates, governing or advisory board policy, and ER admission policy and procedures.

If the project increases, the capacity of an existing service, provide a discussion of current capacity and utilization levels (i.e., patient days, patient visits, etc.). In addition, provide a discussion of project capacity and utilization levels for the first three years after implementation.

REQUIRED
INFORMATION:

2.1-D Entities Providing Services to People Outside the Health Service Area

Provision of summary statistics of utilization and client characteristics for three most recent years ended and two years projected budget periods for both entire operations and proposed project. Provision of information in terms of the number of: patients, encounters, hospital ER visits, lab procedures and radiology procedures. Documentation of the utilization rate, the encounter capacity level, referrals made and received, socio-demographic characteristics by age groups (0-4, 5-9, etc.) and race.

REQUIRED
INFORMATION:

2.1-E Special Needs of HMOs

Identification and description of proposed target groups.

Description of health problem and projection of anticipated impact of proposed project on the health status of the population to be served.

Description of proposed service area and percentages of client utilization.

Identification of existing similar and related services within the service area.

Documentation of community and/or special target population demand through media, reports, surveys, current utilization, etc.

REQUIRED
INFORMATION:

2.1-F Special Needs of Research Projects

Documentation of community and/or special target population demand through media, reports, surveys, current utilization, etc.

Identification and description of proposed target population.

Description of proposed service areas and projection of anticipated impact of proposed project on the health status of the population to be served.

REQUIRED

INFORMATION:

2.1-G Needs of Traditionally Medically Underserved

Will the proposed service be accessible and available to all segments of the population? Describe plans to make these services accessible and available.

CRITERIA: 2.2 Relationship to Existing Health Care System

The relationship of the services proposed to be provided to the existing health care system of the Territory of Guam.

The relationship, including the organizational relationship, of the health services proposed to be provided to ancillary or support services in the Territory of Guam.

REQUIRED

INFORMATION:

2.2-A Service to Existing Health Care System

Evidence that the project sponsor has communicated with providers of similar or related services in the health service area to inform them of plans for the proposed project and that efforts have been made to determine and establish appropriate relationships. Such evidence may include documentation of: meetings/correspondences including dates, attendance, and issues discussed and resolved; letter of comment.

Description of relationship of proposed project to GHPDA planning documents (GHP, AIP, Special Studies) and planning documents of other appropriate organization (i.e., Local Mental Boards, Substance Abuse Boards, etc.

List of agencies, institutions or organizations from which referrals will be received or to which referrals will be made, and a copy or description of working agreements or affiliations with referral resources. For continuation grants, indicate the number of clients referred to the resources listed in the application.

Copies or descriptions of all other working agreements, affiliations and contracts with health care providers.

REQUIRED
INFORMATION:

2.2-B Service to Ancillary or Support Services

Discuss the relationship between this proposed project and the existing ancillary services. Also, what expansion of ancillary services will be necessary to meet the demands of this project.

Copies or description of all other working agreements, affiliations and contracts with other health care providers.

CRITERIA: 2.3 Ability to Staff and Operate

The availability of resources (including health manpower management personnel, and funds for capital and operational needs) for the provision of the services proposed to be provided and the availability of alternative uses of resources for the provision of other health services.

REQUIRED
INFORMATION:

2.3-A Staffing Consideration

Documentation that the staff of the project has the necessary academic qualifications and experience to manage the activities of the organization.

Provide an outline of the project's organizational, structural and operating procedures for implementing the program and for providing accountability.

Provide staff position description with educational and/or experience requirements which guarantee that the qualifications of project personnel will be appropriate to their responsibilities.

Assurance that the staffing pattern for service project is designed to provide efficient as well as effective service delivery. Demonstrate how this assurance will be met.

Is service training plan indicating classification of employee, and policy on continuing educational opportunities for staff.

Provide staff/client ratio or staff/client encounter ratio, including percentage of staff which will be involved in administration, direct services and other.

Provide documentation of availability of manpower to staff project.

Provide measurable project objectives which include quantitative outcome projections.

Provide a concise and specific description of the activities (operational procedures) which will be performed to accomplish the project's objectives.

Provide description of the proposed methodology for evaluating performance with respect to quantitative outcome projections contained in the service objectives. If continuation, provide comparison of objectives of previous year. Include evaluations conducted by outside sources (e.g., by independent sources, contracted evaluation).

Provide, by job title or classification, the total amount of personnel expenses for the project. Differentiate between salary rates, total salaries and fringe benefits.

If this proposal will result in a substantial reduction in personnel, what arrangements have been made for phasing out employees in an orderly manner as well as retraining them or phasing them in on other projects.

CRITERIA: 2.4 Physical Design

In the case of a construction project:

- (i) The costs and methods of the proposed construction, including the cost of methods of energy provision;
- (ii) The probable impact of the construction project reviewed on the basis of providing health services by the person performing the construction project; and
- (iii) The relationship of the construction project to the Guam Medical Facilities Plan.

The special circumstances with respect to the need for health care institutions conserving energy.

REQUIRED

INFORMATION:

2.4-A Provide evidence of availability of appropriate facility compliance with code and occupancy permit requirements and specifications of necessary renovations.

Provide floor and site plan of facility, if appropriate.

Provide description of equipment lists and evidence of availability.

Provide specification of availability of public transportation and parking.

Provide location and hours of operation. Provision for 24-hour telephonic coverage, if any.

Provide description of architectural assessability of facility to handicapped individuals.

Provide a description of the organizational goals which have been adopted as the basis for the present and future development of the site.

Provide a map for the facility which indicates the following: major department or functional areas, existing, proposed and projected future facilities, and major traffic patterns.

Provide a description of the organizational goals which have been adopted as the basis for the present and future development of the facility. This description will include methods and techniques to be used in establishing a facility efficient in terms of operating costs, staff, energy consumption and future expansion.

CRITERIA: 2.5 Financial Considerations

The availability of alternative, less costly, or more effective methods of providing the services.

The immediate long-term financial feasibility of the proposal and the probable impact of the proposal on the costs and charges for providing health services in the Territory of Guam.

REQUIRED

INFORMATION: 2.5-A Alternative Delivery Modes

Demonstrate that alternatives to the proposed service do not exist in terms of cost effectiveness, efficiency and appropriateness and the development of such alternatives is not practicable.

REQUIRED

INFORMATION: 2.5-B Financial Feasibility

Provide copies of financial statements, audited if available, including revenue and expense statements for current and two previous years.

Provide total health program organization budget and sources of revenue for current year, two previous years. Provide a revenue and expense statement with applicable categories for the three most recent years ended and a two-year projected budget to include the cost of the project.

For inpatient services - number of admissions, outpatient visits (emergency and non-emergency), lab procedures, beds utilized per day, inpatient bed utilized. Also, document the average length of stay, outpatient revenue, inpatient revenue, and other pertinent data.

Provide itemized program budget for proposed project.

Provide unit cost by program service the number of encounters provided, cost per encounter, and the cost per patient served.

Provide service charge structure.

Provision for clients unable to pay.

Plans for long-range funding. Documentation of availability of future trends, if possible.

AFFECTED PERSON

Includes: at a minimum, the person whose application for a proposed use of Federal funds is being reviewed, those members of the public who are to be served by the proposed project and the following organizations: Government of Guam A-95 Clearinghouse; Guam Department of Public Health and Social Services; Guam Memorial Hospital Authority; Guam Mental Health and Substance Abuse Agency; Guam Medical Society; Guam Department of Education; and any entity which, prior to receipt by GHPDA of the applicant's proposal, has formally indicated intention to provide similar service or conduct similar activities in the future.

ANNUAL IMPLEMENTATION PLAN (AIP)

A document developed by the health planning agency which is prepared or updated annually as required by the National Health Planning and Resources Development Act of 1974 (P.L. 93-641). The AIP outlines implementation of specific short-run objectives consistent with the long-range goals in the Guam Health Plan.

APPLICANT

Any individual, group, firm, association, corporation, government unit, or other entity requesting a proposal review. Includes an individual, person, a trust or estate, a partnership, a corporation (including associations, joint stock companies, and insurance companies), the Territory of Guam, or a political subdivision or instrumentality of the Territory.

APPLICATION; INFORMATION REQUIREMENTS

The forms and supplements required from applicants by GHPDA.

CONSTRUCTION

Includes: the construction of new buildings and the acquisition, expansion, remodeling, replacement, and alteration of existing buildings, whether or not expanded, remodeled, or altered.

CRITERIA

Statements of qualities the project (and the project proposal, in some cases) must possess in order to be found acceptable for implementation.

DAY

Calendar day (including weekends and holidays).

DHEW IX

The regional office of the Department of Health, Education and Welfare (DHEW) responsible for funding and monitoring public health service programs in the Territories of American Samoa and Guam; the Commonwealth of the Northern Marianas; the Trust Territory of the Pacific Islands; and the States of Arizona, California, Hawaii and Nevada. Most public health services (PHS) programs in Guam are funded by this office. Some PHS programs are funded directly by the head-quarter's office at the national level.

DEVELOP

The term, when used in connection with health services, means to undertake those activities which on their completion will result in the offer of a new institutional health service or the incurring of a financial obligation in relation to the offering of such a service.

EXPANSION OF HEALTH RESOURCES

Any activity which will result in a substantial and significant increase in the quantity of health resources.

FEDERAL FUNDING AGENCY

The organizational component of the Department of Health, Education and Welfare which has the authority to make a grant, contract, loan, or loan guarantee reviewable under the program described in this manual.

GRANT PERIOD

The period of time for which assistance is provided by the Federal funding agency.

GUAM HEALTH COORDINATING COUNCIL (GHCC)

The Territorial council of providers and consumers required under P.L. 93-64] which advised GHPDA on the performance of its functions and performs review and approval on state plans and applications and prepares the final Guam Health Plan.

GUAM HEALTH PLAN (GHP)

A detailed statement of goals developed by the health planning agency that describes a healthful environment and health system in the Territory which will assure accessible and available health care at a reasonable cost; respond to the Territory's needs and resources; and consider and address national health planning guidelines. The goals are developed by and for the community, in view of the kind of health system desired by the community using available resources.

GUAM HEALTH PLANNING AND DEVELOPMENT AGENCY (GHPDA)

The Territorial agency responsible for planning and project review required by P.L. 93-641.

HEALTH CARE FACILITY

Includes hospitals, psychiatric hospitals, tuberculosis hospitals, skilled nursing facilities, kidney disease treatment centers, including freestanding hemodialysis units, intermediate care facilities, and ambulatory surgical facilities (does not include offices of private physicians or dentist, whether for individual or group practice). The term does not include Christian Science sanatoriums operated, or listed and certified by the First Church of Christ Scientist, Boston, Massachusetts.

HEALTH MAINTENANCE ORGANIZATION (HMO)

A public or private organization organized under the laws of any state which:

- (1) Provides or otherwise makes available to enrolled participants health care services, including at least the following basic health care services: usual physicians' services, hospitalization, laboratory, x-ray, emergency and preventive services, and out-of-area coverage;
- (2) Is compensated (except for copayments) for the provision of the basic health care services listed in (1) to enrolled participants on a predetermined periodic rate basis; and
- (3) Provides physicians' services primarily: (a) directly through physicians who are either employees or partners of such organization or (b) through arrangements with individual physicians or one or more groups of physicians (organized on a group practice or individual practice basis).

HEALTH PROFESSIONS PERSONNEL

Individuals whose main occupation is the delivery of health services.

HEALTH RESOURCES

Includes health service, health professions personnel, and health facilities.

HEALTH SERVICES

Screening, prevention, diagnostic, treatment, habilitative or rehabilitative services; includes alcohol, drug abuse, mental health, preventive and environmental health services, and health information, education and promotion.

INFORMATION REQUIREMENTS

Information required by GHPDA for reviewing specific types of proposals according to the six general criteria.

LETTER OF INTENT

In the case of a construction project, a letter to be submitted by a potential applicant to GHPDA describing the scope and nature of the project. The letter of intent must be submitted at the earliest possible opportunity in the course of planning such construction project.

NOTICE OF INTENT

The form that an applicant must submit to GHPDA 30 days prior to submitting an application for funds reviewable this review program.

PLAN

A documented set of decisions on what short- or long-range actions should be taken to produce future changes to attain explicitly stated desired results.

PROCEDURES

Steps GHPDA takes in actually performing a project review. They include both administrative and policy procedures. These are designed to insure that no essential steps are left out which can affect the validity or the completeness of the review.

PROJECT REVIEW

The analysis and evaluation of proposals for the initiation of change or addition of health services and programs, designed to curtail duplication of health services and facilities and to encourage efficient health system management and development.

PUBLIC LAW 93-641

The National Health Planning and Resource Development Act of 1974 (enacted January 4, 1975) which created a network of health planning agencies for the purpose of increasing the accessibility, acceptability, continuity, and quality of health services; restricting increases in the cost of care; and preventing unnecessary duplication of health resources. Fundamental to accomplishing this purpose is the project review function.

SECRETARY

The Secretary of the U.S. Department of Health, Education and Welfare.

STATE PROGRAM AGENCY

The agency of the Government of Guam submitting a state plan or application to the Secretary as a condition to the receipt of any funds under allotments made to states and territories reviewable under P.L. 93-641, Section 1513(e).

3.2 Notice of Intent Form

NOTICE OF INTENT		TO SUBMIT AN APPLICATION		1. DATE SUBMITTED
APPLICANT IDENTIFICATION	2. NAME OF APPLICANT AGENCY, INSTITUTION, OR ORGANIZATION			
	3. ADDRESS			
	4. CONTACT PERSON	5. TITLE	6. TELEPHONE	
	7. CHIEF EXECUTIVE OFFICER	8. BOARD PRESIDENT OR CHAIRMAN	9. TYPE OF ORGANIZATION	
PROJECT DESCRIPTION	10. TITLE AND DESCRIPTION OF PROPOSED PROJECT			
	11. ESTIMATED AMOUNT OF FUNDS TO BE REQUESTED \$		12. TYPE OF ASSISTANCE TO BE REQUESTED	
	14. ESTIMATED TOTAL PROJECT BUDGET		13. TYPE OF APPLICATION	
	A. FEDERAL _____ B. APPLICANT _____ C. STATE _____ D. LOCAL _____ E. OTHER _____ F. TOTALS _____		A. NEW _____ B. CONTINUATION _____ C. OTHER (SPECIFY) _____ 15. YEAR OF SUPPORT (CONTINUATIONS ONLY) _____	
FUNDING SOURCE INFORMATION	16. FUNDING AGENCY TO RECEIVE REQUEST (NAME AND ADDRESS)			
	17. TITLE OF FUNDING PROGRAM	18. PUBLIC LAW AUTHORIZATION NUMBER	19. FEDERAL CATALOG NUMBER	
	20. CONTACT PERSON	21. TITLE	22. TELEPHONE	
	23. ESTIMATED DATE OF SUBMISSION OF COMPLETED APPLICATION TO FUNDING AGENCY	24. ESTIMATED PROJECT START DATE	25. ESTIMATED PROJECT END DATE	
	26. TYPE OF REVIEW REQUESTED			
GHPDA	SUBSTANTIVE _____ NON-SUBSTANTIVE _____ UNKNOWN AT THIS TIME _____			
	TO BE COMPLETED BY HSA			
	A. DATE RECEIVED	B. CONTROL NUMBER	C. TEAM LEADER	

3.3 PROGRAMS SUBJECT TO REVIEW

Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA)

(Programs with proposed uses of funds subject to review and approval or disapproval)

Catalog No.	Name of Program	Subject to review by--	
		GHPDA	GHCC
13.235-----	Drug abuse community service programs (grants and contracts)-----	X	-----
13.237-----	Mental health---hospital improvement grants-----	X	-----
13.238-----	Mental health hospital staff develop- ment grants-----	X	-----
13.252-----	Alcohol treatment and rehabilitation- occupational alcoholism services program-----	X	-----
13.257-----	Alcohol formula grants (State plan and application for allotment grant)-----		X
	Alcohol formula grants (projects funded under allotments)-----	X	-----
13.259-----	Mental health-- children's services----	X	-----
13.269-----	Drug abuse prevention formula grants (projects funded under allotments)----	X	-----
13.275-----	Drug abuse education programs-----	X	-----
13.290-----	Special alcoholism projects to implement the Uniform Act-----	X	-----
13.295-----	Community mental health centers--compre- hensive service support-----	X	-----
	State plan required by sec. 237. CMHC Act-----		-----
13.898-----	Alcohol demonstration program-----	X	-----
13.899-----	Alcohol abuse and alcoholism prevention demonstration-----	X	-----

* Proposed uses of funds under the programs listed above are generally subject to review and approval or disapproval by GHPDA and the Federal funding agencies will notify applicants of this. Funding agencies will also identity on a case-by-case basis those specific activities in the programs listed above that are not subject to review and approval or disapproval, as well as those specific activities in programs not listed above that are subject to review and approval or disapproval.

NOTES

Federal grants application subject to review and comment by request of the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA).

Secs. 1513(e) and 1524(c) (6) of the PHS Act refer specifically to Federal funds appropriated under the Public Health Service Act; the Community Mental Health Centers Act or the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970. Sec. 1513 (e) also includes secs. 409 and 410 of the Drug Abuse Office and Treatment Act as a result of the 1976 amendments to the Act. The Alcohol, Drug Abuse, and Mental Health Administration has requested the following Federal health programs, not subject to review under secs. 1513(e) and 1524(c)(6), be subject to review and comment. Therefore GHPDA review and approves or disapproves both (a) direct proposed uses of funds under these sections 409 and 410 (project grants, contracts, loans guarantees,) and (b) proposed uses by grant or contract of funds from allotment grants to States. The Act was not amended, however, to require GHCC review and approval or disapproval of State plans and applications for allotment grants. The Alcohol, Drug Abuse and Mental Health Administration has, however, requested that the following program be subject to GHCC review and comment.

Catalog No.	Name of Program	Subject to review by	
		GHPDA	GHCC
13.269-----	Drug abuse prevention formula grants (State plan and application for allotment grant)-----		X

Health Resources Administration (HRA)

(Programs with proposed uses of funds subject to review and approval or disapproval)

Catalog No.	Name of Program	Subject to review by	
		GHPDA	GHCC
13.220-----	State medical facilities plan and application for allotment grants (title XVI, PHS Act)-----	-----	X
13.253-----	Medical facilities construction loans and loan guarantees-----	X	-----
	Projects funded under allotment (title XVI, PHS Act)-----	X	-----
13.887 -----	Medical facilities construction--project grants-----	X	-----

* Proposed uses of funds under the program listed above are generally subject to review and approval or disapproval by GHPDA and the Federal funding agencies will notify applicants of this. Funding agencies will also identity on a case-by-case basis those specific activities in the programs listed above that are not subject to review and approval or disapproval, as well as those specific activities in programs not listed above that are subject to review and approval or diapproval .

HEALTH SERVICE ADMINISTRATION (HSA)

(Program with proposed uses of funds subject to review and approval or disapproval)

Catalog No.	Name of Program	Subject to review by--	
		GHPDA	GHCC
	Comprehensive public health services (projects funded under allotments)---	X	-----
13.217-----	Family planning projects-----	X	-----
13.224-----	Community health centers (included rural health initiatives and urban health initiatives)-----	X	-----
13.246-----	Migrant health grants-----	X	-----
13.258-----	National health service corps'-----	X	-----
13.260-----	Family planning services-- training grants and contracts-----	X	-----
13.284-----	Emergency medical services-----	X	-----
13.292-----	Sudden infant death syndrome informa- tion and counseling program-----	X	-----
13.296-----	Comprehensive Hemophilia diagnostic and treatment centers-----	X	-----
13.823-----	Health underserved research and demon- stration projects-----	X	-----
13.882-----	Hypertension programs-----	X	-----
13.888-----	Home health services program-----	X	-----
13.890-----	Genetic disease counseling and educa- tion-----	X	-----

* Proposed uses of funds under the programs listed above are generally subject to review and approval or disapproval by GHPDA and the federal funding agencies will notify applicants of this. Funding agencies will also

. . . . identity on a case-by-case basis those specific activities in the programs listed above that are subject to review and approval or disapproval, as well as those specific activities in programs not listed above that are subject to review and approval or disapproval.

It should be noted that while this program is authorized by sec. 333 of the PHS Act and would therefore be subject to GHPDA review and approval or disapproval, legislation enacted subsequent to Public Law 93-641 provided that GHPDA shall have the opportunity to review and comment on its applications, However the Bureau of Community Health Services has requested that GHPDA review and approve or disapprove these applications.

NOTES

Federal grants subject to review and approval or disapproval by request of the Health Services Administration (HSA).

Secs. 1513(e) and 1524(c)(6) of the PHS Act refers specifically to Federal funds appropriated under the Public Health Service Act, the Community Mental Health Centers Act, or the Comprehensive Alcohol Abuse and Alcoholism Prevention Treatment, and Rehabilitation Act of 1970. Sec 1513(e) also includes secs. 409 and 410 of the Drug Abuse Office and Treatment Act, as a result of the 1976 amendments to the Act. The Bureau of Community Health Services in Health Services Administration has requested the following two allotment grants programs, not subject to review under secs. 1513(e) and 1524(c)(6), be subject to review and comment by GHCC. The bureau has also requested that for the two project grant programs below, the title V State program agencies offer GHPDA the opportunity to review and comment, and that they provide these comments to the Bureau when the State plan and application is submitted for review. GHPDA, when not offered the opportunity for review and comments by the State program agencies is invited by the Bureau to submit their comments directly.

Catalog No.	Name of Program	Subject to review by-	
		GHPDA	GHCC
13.211-----	Crippled children's services (State plan and application for allotment grant)-----	-----	X
13.232-----	Maternal and child health services (State plan and application for allotment grant)-----	-----	X
	Maternal and Infant projects---	X	-----
	Children and youth projects-----	X	-----

Center for Disease Control (CDC)

(Program with proposed uses of funds subject to review and approval or disapproval)

Catalog no.	Name of Program	Subject to review by	
		GHPDA	GHCC
13.210	Comprehensive public health services health incentive formula grants (State plan and application)		X
	Comprehensive public health services (projects funded under allotment)	X	
13.266	Childhood lead-based paint poisoning projects grants	X	
13.267	Urban rat control project grants	X	
13.268	Childhood immunization grants	X	
13.283	Center for disease control-- investigation, surveillance, and technical assistance (only those programs which are funded in whole or in part under authority of the Public Health Service Act are subject to review)	X	
13.977	Venereal disease control grants	X	
13.978	Venereal disease research, demonstration, and public information and education grants	X	
13.979	Influenza immunization grants	X	
13.980	Project grants for preventive health services foundation- Health Education--Grants for personal Choice Health Behavior (Lifestyle)	X	

* Proposed uses of funds under the programs listed above are subject to review and approval or disapproval by GHPDA and the Federal funding agencies will notify applicants of this. Funding agencies will also identity on a case-by-case basis those specific activities in the programs listed above that are not subject to review and approval or disapproval, as well as those specific activities in programs not listed above that are subject to review and approval or disapproval.

Office of the Assistant Secretary for Health(OASH)

(Programs with proposed uses of funds subject to review and approval or disapproval)

Catalog No.	Name of program	Subject to review by-	
		GHPDA	GHCC
13.256	Health maintenance organization development	X	

*Proposed uses of funds under the program listed above are generally subject to review and approval or disapproval by GHPDA and the Federal funding agencies will notify applicants of this. Funding agencies will also identity on a case-by-case basis those specific activities in the programs listed above that are are not subject to review and approval or disapproval as well as those specific activities in programs not listed above that are subject to review and approval or disapproval.