MONITORING AND TECHNICAL ASSISTANCE REVIEW SYSTEM NOTEBOOK

The American Dream Belongs to Everyone.

ADMINISTRATION ON DEVELOPMENTAL DISABILITIES
Administration for Children and Families
United States Department of Health and Human Services

2009

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PREFACE

This notebook provides guidance on the Monitoring and Technical Assistance Review System (MTARS). The notebook is intended to be used as a guide by ADD staff who manage MTARS and by MTARS reviewers who conduct the site visit activities. The notebook is also designed to help Councils, P&As, and UCEDDs prepare for and participate in MTARS activities.

The MTARS notebook describes procedures for every stage of the MTARS process, from selecting grantee sites to review through follow-up activities after the monitoring visit. It is organized into the following seven sections:

1) Section 1: Overview of the DD Act and ADD
2) Section 2: Monitoring and Technical Assistance Review System
3) Section 3: MTARS Team
4) Section 4: Planning Activities
5) Section 5: Pre-Site Visit Activities
6) Section 6: MTARS Site Visit
7) Section 7: Post-Site Visit Activities

There are also a number of Tabs at the end of the notebook that provide additional information and resources related to MTARS. There is a list of acronyms in *Tab A* and the glossary in *Tab B* that will help with understanding words and concepts associated with MTARS that appear in the notebook.

SECTION 1

Overview of the DD Act and ADD

The DD Act

The Developmental Disabilities Assistance and Bill of Rights Act of 2000 (P.L. 106-402) (DD Act) contains three complimentary grant programs designed to assist individuals with developmental disabilities in reaching their maximum potential through increased independence, productivity, inclusion, and community integration. The three grant programs are:

1) State Councils on Developmental Disabilities (Councils)
2) Protection and Advocacy (P&As) Systems
3) University Centers for Excellence in Developmental Disabilities (UCEDDs)

The DD Act also includes the *Projects of National Significance* (PNS), which is a discretionary grant program. PNS grant projects do not fall under MTARS, but are reviewed through an alternate process.

Developmental Disabilities

There are approximately 4.5 million individuals with developmental disabilities in the United States. Developmental disabilities (DD) are severe, life-long disabilities attributable to mental and/or physical impairments, manifested before age 22. Developmental disabilities result in substantial limitations in three or more areas of major life activities:

- self-care
- receptive and expressive language
- learning
- mobility
- self-direction
- capacity for independent living
- economic self-sufficiency

Without appropriate services and supports, the choices open to people with developmental disabilities including where they live, work, and play are minimal. Limited options lead to people being isolated rather than fully integrated and included in the mainstream of society. Persons with developmental disabilities often require individually

planned and coordinated services and supports. In order to live successfully in the community they need services and supports related to housing, employment, education, civil and human rights protection, health care, transportation, and recreation.

ADD

The Administration on Developmental Disabilities (ADD) is the Federal agency responsible for the implementation and administration of the DD Act. Organizationally, ADD is located within the U.S. Department of Health and Human Services and is part of the Department's Administration for Children and Families. ADD's mission is to improve and increase services to and assure that individuals with developmental disabilities have opportunities to make their own choices, contribute to society, have supports to live independently, and are free of abuse, neglect, financial and sexual exploitation, and violations of their legal and human rights.

State Councils on Developmental Disabilities (Councils)

Councils pursue systems change that promotes improved outcomes for individuals with developmental disabilities and their families. Councils pursue capacity building to develop and expand projects that successfully deliver services and supports. Councils also support advocacy activities that promote self-determination and inclusion in the community. Examples of Council activities include demonstration of new approaches, outreach, training, public education, and providing information to policy-makers.

Protection and Advocacy (P&As) Systems

P&As protect the legal and human rights of individuals with developmental disabilities. P&A strategies include legal, administrative, and other remedies (e.g., mediation and alternative dispute resolution); information and referral; investigation of incidents of abuse and neglect; and education of policy-makers.

University Centers for Excellence in Developmental Disabilities (UCEDDs)

UCEDDs are either components of a university system, or are public or not-for-profit entities associated with a university. UCEDDs are required to carry out four core functions:

1) Interdisciplinary pre-service preparation and continuing education
2) Community services, which includes services, training, and technical assistance

3) Research
4) Information dissemination

In terms of its organizational structure, the DD Act requires UCEDDs to be associated with a University. To meet this requirement of the Act, the majority of UCEDDs are "housed" at a University and situated within a major organizational unit of the University, such as a School of Medicine, School of Health Sciences, or a College of Education. Within this unit, the UCEDD functions as an independent entity carrying out the core functions. The UCEDD director reports to the leadership (such as a Dean or Provost) of the organizational unit.

Because they are generally independent entities within an organizational unit of the University, UCEDDs do not recruit and formally admit students to their program. Instead, students are recruited from other academic programs in the University, such as Pediatrics, Nursing, Education, Occupational Therapy, Dentistry, Nutrition, etc. Students will typically spend part of their academic training with the UCEDD.

SECTION 2

Monitoring and Technical Assistance Review System (MTARS)

Overview of the MTARS

The Administration on Developmental Disabilities (ADD) uses the Monitoring and Technical Assistance Review System (MTARS) to evaluate three of its grant programs:

1) State Developmental Disabilities Councils (Councils)
2) State Protection and Advocacy Systems (P&As)
3) University Centers for Excellence in Developmental Disabilities Education, Research and Services (UCEDDs).

Under the terms of the DD Act, ADD must conduct oversight to determine the extent to which grantees are helping individuals with developmental disabilities and their families have more opportunities to live, participate, and contribute to community life.

ADD established the MTARS to monitor individual grant programs, to address areas where grantees may benefit from technical assistance, and to identify innovative practices that may assist other grantees.

The title Monitoring and Technical Assistance Review System was carefully and thoughtfully chosen to show the close relationship between monitoring and technical assistance. MTARS is not strictly a monitoring process, nor is it strictly a technical assistance process, but a balance of the two.

MTARS benefits ADD, the States experiencing an MTARS, and all ADD grantees nationwide. ADD relies on MTARS as a significant component of its Federal stewardship and utilizes the information obtained from MTARS reviews to strengthen its position when justifying its programs to Federal oversight agencies. MTARS recipients learn from reviewers how to become even more effective in bettering the lives of individuals with developmental disabilities. All grantees gain through the sharing of innovative practices that are highlighted through the MTARS process.

In addition, the information collected through the monitoring process helps ADD comply with the requirements of two programs that seek to

increase government accountability: the Government Performance and Results Act (GPRA) and the Program Assessment Rating Tool (PART). GPRA was enacted by Congress in 1993 to promote program performance and to provide greater accountability for results within Federal government by requiring agencies to develop measurable goals and to report results to Congress. PART was developed by the Office of Management and Budget in 2002 to complement GPRA by more closely aligning budget decisions with performance information. The PART assessment is published as an element of the President's budget and is used to supplement the budget analysis process so that budget decisions reflect a program's performance and effectiveness.

MTARS Monitoring Elements

Since 1999 MTARS has evolved from a primary focus on mere compliance with the law to one that is more dynamic and takes into consideration the following six elements:

1) Program compliance with the DD Act
2) Accountability and achievement of program goals
3) Collaboration with other DD programs within the State
4) Fiscal management
5) Technical assistance needs
6) Innovative practices

This dynamic model reflects the climate of accountability in Federal Government. In this climate, there is an increasing emphasis on justifying programs and budgets by showing their positive impact on people. It is no longer sufficient to only document program compliance by describing procedures or processes. Rather, programs must show how they are achieving goals of the DD Act thereby impacting people with disabilities. This Federal climate expands responsibilities for Federal stewardship. It is also an opportunity to bring more attention to the impact grantees have in the State.

In its role as federal steward, ADD has modified the MTARS process to include a number of elements that capture how programs working alone or in collaboration with the network partners are achieving important outcomes for people with developmental disabilities and their family members. The sections that follow describe in more detail the six different elements of the MTARS.

Program Compliance

ADD is the Federal steward that ensures its programs operate consistent with the Act and with regulations. The program compliance element of the MTARS asks the question: *Are ADD programs doing what the law requires?* The compliance element is concerned with process. Compliance is seen as the minimum at which ADD grantees must operate.

During an MTARS, grantees are asked to demonstrate *compliance* with the law by documenting how each meets requirements regarding such areas as collaboration, program administration, organization administration, evaluation and reports, and fiscal management.

Accountability and Achievement of Program Goals

While it is important to determine compliance with the Act, compliance in and of itself does not guarantee effectiveness in implementing the purpose of the Act. MTARS is also concerned with outcomes and impact. The accountability element of the MTARS asks the question: *Are ADD programs making a difference in people's lives?*

Grantees are asked to demonstrate *accountability* with program activities based on four principles:

1) *Responsiveness of grantees to stakeholders,* that is the extent to which the grantee seeks and utilizes input from stakeholders (e.g., individuals with developmental disabilities, family members, funding entities, contractors, service providers, policy makers, etc.).
2) *Relationship between goal and objective setting and actual outcomes,* that is the extent to which grantee's goals and objectives are stated in measurable terms and achieved through the implementation of relevant activities that achieve results.
3) *Impact of ADD grantees on consumers and service systems,* that is the kind of difference ADD grantees in a State have made on people and service systems.
4) *Validation of data*, that is ensuring that the data collected by a grantee gives a full and accurate picture of what the grantee is doing.

Program Collaboration

This element of the MTARS asks the question: *Is the DD Network partnering in a strategic way to make a difference in people's lives?* This element is concerned with outcomes and impact from a collaborative perspective. Grantees are asked to provide evidence of *collaboration* with programs in the DD network and by documenting the number of projects having substantive joint efforts among DD programs in the State, the extent of collaboration within a project, the areas addressed by these joint efforts, and the impact of collaboration on project outcomes. MTARS reviewers pay particular attention to grantees' participation in each other's planning process to identify barriers and to pursue collaborative efforts to overcome those barriers.

Fiscal Management

This element of the MTARS asks the question: *Are ADD programs adhering to fiscal management requirements?* The fiscal management element is concerned with monetary tracking and accountability. Grantees are asked to demonstrate *fiscal management* through the appropriate oversight, monitoring, accounting, and use of ADD funds. To this end, they are asked to document fiscal responsibility in the use of federal funds.

Technical Assistance

This element of the MTARS asks the question: *What technical assistance will bring ADD Programs into compliance and/or enhance program performance?* The technical assistance element is concerned with process and outcomes/impact.

Technical assistance to ADD grantees is not limited to the needs that arise during an MTARS review. ADD, through its technical assistance contracts and other resources, is ready to help grantees at any time to remedy issues and address areas where help is needed to yield better outcomes.

Because MTARS is comprehensive in scope, involves follow-up activities, and has many opportunities for dialogue with ADD staff, peers, and consumers, it is advantageous for grantees to disclose areas where they would like to improve so that technical assistance resources can be activated early in the MTARS process.

Program Innovation

This element of the MTARS asks the question: *What innovative practices will benefit other ADD programs?* It is concerned with program improvement, expansion, and awareness. The MTARS is one vehicle ADD uses to identify *innovative practices* that can be added to the strategies used by other grantees to do an even better job. ADD is proud of all the good work that grantees do each day to better the lives of individuals with developmental disabilities and seeks innovative practices to recognize, promote, and disseminate throughout the nation.

Self-assessment Checklists

Given the variety of elements related to MTARS, ADD has created a set of self-assessment checklists to streamline the review process. The self-assessment checklists are comprised of four parts:

1) Program Compliance
2) Program Operations and Practices
3) Innovative Practices
4) Fiscal

In addition, there is a checklist for the DD Council Chairperson.

The self-assessment checklists capture each element of the MTARS process (e.g., compliance, accountability, collaboration, fiscal management, technical assistance, and innovative practices).

The checklists for each program appear in the back of this notebook. The DD Council Self-assessment checklists appear in *Tab C*, the P&A Self-assessment checklists appear in *Tab D* and the UCEDD Self-assessment checklists appear in *Tab E*.

ADD works with grantees to complete and fully utilize the checklists. This process is described in more detail in Section 5 of the notebook.

MTARS Activities and Phases

In general, the MTARS spans the Federal fiscal year (October 1 – September 30). The process is divided into four phases:

1) Planning
2) Pre-site visit
3) Site visit
4) Post-site visit

ADD utilizes the *planning* phase to organize and manage the MTARS activities for the year. It includes tasks such as identifying the States to be reviewed, preparing a yearly budget, establishing review teams, making team assignments, and training individuals who serve as reviewers.

The *pre-site visit* phase includes activities such as scheduling the visit, completing checklists, conducting the site visit and, if possible, the public forum via videoconference, reviewing materials, discussing with grantees findings from the review of materials, and preparing an agenda for the site visit.

The *site visit* activities include a public forum, if not conducted during the pre-site visit phase, interviews of grantee staff, interviews of individuals associated with grantee activities, observation of grantee activities, provision of technical assistance, and an exit meeting. Site visits are labor-intensive and generally take four days to complete.

The *post-site visit* phase includes report writing, follow-up on technical assistance delivery and program improvements, and the dissemination of innovative practices.

SECTION 3

MTARS Team

MTARS Team Structure

Generally, the MTARS Team is comprised of the following people:

- ✓ ADD Central Office Program Specialists
- ✓ Council Peer Reviewer
- ✓ P&A Peer Reviewer
- ✓ UCEDD Peer Reviewer
- ✓ Individuals with developmental disabilities/family members
- ✓ Fiscal Reviewer

The MTARS Team is managed by the *Team Coordinator*, who is an ADD Staff person.

The MTARS Team has an on-site coordinator, who is an ADD Staff person.

ADD divides the larger MTARS Team into three Program Teams. The use of program teams makes it possible for reviewers to focus on one program and accomplish more during the site visit. The Program Teams are:

1) DD Council Program Team
2) P&A Program Team
3) UCEDD Program Team

In cases where the are two or more UCEDDs in the State, ADD will have a team for each UCEDD.

Each of the Program Teams consists of a minimum of three people, including a/an:

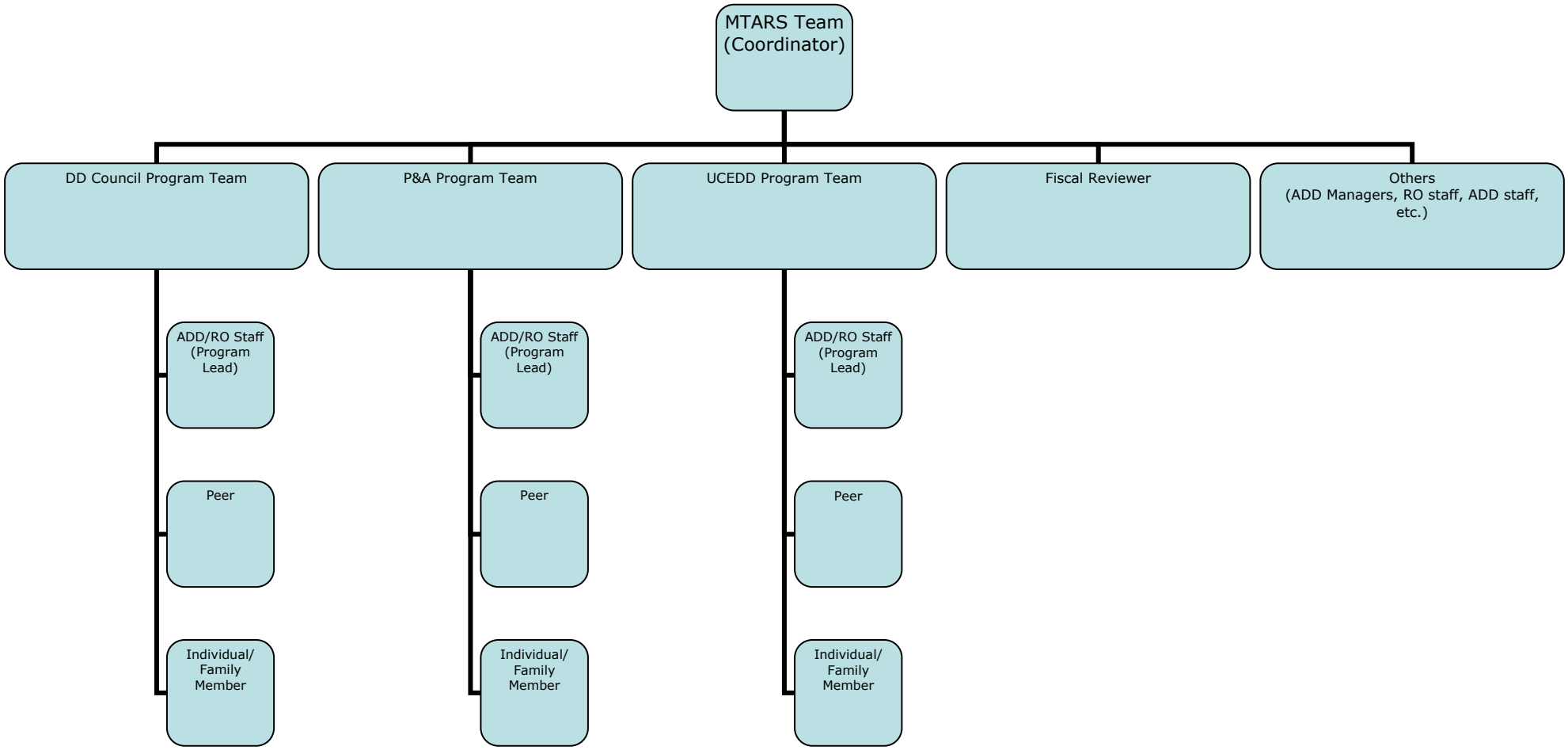
1) ADD staff person
2) Director of a grant program in another State
3) A person with a direct or indirect experience with developmental disabilities

The ADD Staff person serves as the *Program Lead* for the team.

The fiscal reviewer functions independently of the Program Teams. They schedule with the grantees a time during the site visit week to visit the program to conduct the fiscal review. They meet with staff responsible for fiscal-related matters. They typically spend one day at each program.

The Review Team members presented above is the norm. However, there may be instances when additional people accompany the team. For example, an ADD manager may participate in MTARS. There may be additional ADD and/or Regional Office staff who participates in the review as trainees or co-leads. Individuals with developmental disabilities may request to bring a personal support person on the site visit. The personal support person is not an active participant. See the Figure on the next page for an overview of the MTARS team configuration.

MTARS Team Configuration



Selection of Non-federal Team Members

Non-federal team members are selected by ADD. Factors that may be considered when selecting a non-federal team member include:

- ✓ Currently working with State as part of an ADD technical assistance contract
- ✓ From a State with similar demographics
- ✓ From a State of similar size and geography
- ✓ From a grant program of similar size and with a similar area of emphasis
- ✓ Experience and expertise in area where technical assistance has been requested

Some non-federal team members may be selected from a pool of individuals who have participated in a prior review. Other reviewers may be individuals who are newly trained in the MTARS process and participate as a reviewer for the first time.

Team Member Responsibilities

Each member of the MTARS team has specific responsibilities.

There is a *Team Coordinator* is responsible for the following:

- ✓ Overall coordination of the review including joint aspects of the site visit planning, scheduling, and report writing
- ✓ Providing oversight in the planning for the public forum
- ✓ Coordinating logistics, including hotel accommodations
- ✓ Providing (through the ADD Project Officer) peer, consumer and assistant names and itinerary information to the ADD Logistics Contractor
- ✓ Developing and disseminating the overall site visit schedule in coordination with the grantees and Program Leads
- ✓ Coordinating the initial conference call with the grantees
- ✓ Coordinating the videoconference for the State Overview and DD Network collaboration presentations
- ✓ Ensuring that on-site coordinator has necessary logistical information for site visit, including the master schedule and conference call numbers
- ✓ Participating via conference call in team meeting to discuss DD Network collaboration
- ✓ Participating via conference call in Exit Meeting
- ✓ Writing Parts 1 and 2 of the report

- ✓ Coordinating the completion of the final report

The *On-site Coordinator* is responsible for the following:

- ✓ Facilitating the videoconference for the State Overview and DD Network collaboration presentations
- ✓ Leading the public forum
- ✓ Facilitating any full team meetings that occur on-site
- ✓ Leading the Exit Meeting and presenting collaboration report at the Exit Meeting
- ✓ Providing the team coordinator with notes and report from the Exit Meeting on collaboration
- ✓ Assisting the team coordinator as needed in writing Part 2 of the report on collaboration

The *On-site Coordinator* also serves as the *Program Lead* for one of the program teams.

The *Program Lead* is responsible for the following:

- ✓ Determining the MTARS team composition
- ✓ Selecting and recruiting appropriate peer and consumer reviewers
- ✓ Determining the agenda for respective program review
- ✓ Making individual team member assignments
- ✓ Making sure team members have information about the site visit
- ✓ Identifying areas/issues of focus during the site visit
- ✓ Drafting the report section pertaining to their respective program
- ✓ Arranging technical assistance
- ✓ Reporting all issues to the Team Coordinator

The *Regional Office Reviewer* may be involved with the following:

- ✓ Performing a review of grantees' fiscal management
- ✓ Participating in training, teleconferences, and the site visit
- ✓ Providing notes to Program Lead for use in drafting report

The other two members of the team (the director and the person with a direct or indirect experience with developmental disabilities is assigned responsibility for:

- ✓ Functioning as an agent of the Federal government with a monitoring and oversight responsibility
- ✓ Reviewing grantee self-assessment checklists and related materials

- ✓ Participating in discussions with program team members about the grantee self-assessment checklists to identify areas of inquiry for the site visit
- ✓ Providing technical assistance while on site
- ✓ Sharing experience and expertise that grantee may find useful for addressing specific administration, planning, design, or other operational issues
- ✓ Providing insight and suggestions regarding the grantee facility, level of services, and relationship with individual with developmental disabilities and family members
- ✓ Serving as a consultant to the team and grantees on disability issues
- ✓ Participating in training, videoconferences, teleconferences, the site visit, and report writing
- ✓ Sharing responsibilities for conducting interviews
- ✓ Providing notes to Program Lead for use in drafting report

With these responsibilities comes a time commitment associated with the MTARS. Reviewers are expected to participate in up to one day of training if they have not participated in an MTARS, the Entrance Meeting and Public Forum videoconference, at least one team meeting to review grantee materials, at least one conference call with the grantee in preparation for the site visit, and in a four day site visit. In addition, reviewers are expected to read the materials relevant to their specific assignment. After the site visit, reviewers contribute to and comment on the draft report. Non-federal reviewers are compensated for time associated with the training and on-site visit.

Standards of Conduct

MTARS team members have access to a great deal of sensitive information about the ADD programs. All information and materials received and reviewed should be considered confidential. Team members should only discuss information from the review with other MTARS team members and not grantees being reviewed and representatives from the membership associations. See *Tab F* tips for effective team work and standards of conduct for team members.

SECTION 4

Planning Activities

The Planning Phase

The MTARS planning generally begins the first quarter (October 1 – December 31) of each Federal fiscal year. The purpose of the *planning* phase is to organize and manage the MTARS activities for the year. It includes the following tasks:

- ✓ Identifying the States to be reviewed
- ✓ Preparing a yearly budget
- ✓ Establishing review teams
- ✓ Making team assignments
- ✓ Planning for the training of reviewers

Selecting States to Review

Staff from ADD Central Office recommend States for review during the fiscal year. States most likely to be recommended and selected for review are those with:

- ✓ Requests for technical assistance
- ✓ Significant program deficiencies
- ✓ Problems implementing Federal requirements
- ✓ Significant consumer complaints
- ✓ Longest time since last review

The number of States reviewed in a year depends in part on the availability of Federal funds to cover travel expenses for the on-site visit. ADD attempts to conduct an MTARS of a State approximately every seven years. The table below shows the States reviewed over the past several years.

States Reviewed

YEAR	STATES REVIEWED
1998	Oregon and New Jersey
1999	Maine
2000	Florida
2001	Connecticut, West Virginia, North Carolina, Tennessee, Ohio, Oklahoma, Missouri, Montana, and Idaho
2002	Vermont, New York, District of Columbia, Mississippi, Michigan, Louisiana, Iowa, Wyoming, Minnesota, and Washington
2003	Massachusetts, Texas, Kansas, and Nebraska
2004	Virginia, Alabama, Wisconsin, Arkansas, Colorado, and Utah
2005	New Hampshire, Delaware, Illinois, New Mexico, and South Dakota
2006	California and Maryland
2007	Pennsylvania and Georgia
2008	Arizona and Indiana
2009	North Dakota, Rhode Island, and Nevada

Planning Activities

ADD engages in a number of planning activities to prepare for the MTARS. First, ADD must identify how much money can be spent on MTARS. A major factor is the budget that Congress and the President approve for the fiscal year (October 1 to September 30). ADD also identifies the MTARS team members for different program teams and contacts potential reviewers to invite them to participate. Another aspect of the planning activities is notifying programs that they will be reviewed and identifying a date for the review.

Training MTARS Reviewers

ADD conducts training for all new members of a Review Team. The training is scheduled for up to one day. The training agenda covers the major provisions of the DD Act, the activities associated with each phase of MTARS, and each element of MTARS monitoring including collaboration, compliance, accountability, fiscal management, technical assistance, and innovative practices.

The training may be held in the Washington, D.C. metro area or via Webinar. The ADD Logistics Contractor will make travel arrangements and pay for travel expenses for all non-federal reviewers and for any

personal support personnel that travel to the Washington, D.C. metropolitan area for training.

SECTION 5

Pre-Site Visit Activities

Site Visit Notification

A formal notification of the MTARS visit is sent to each grantee from the Commissioner of ADD. The confirmation letter describes the purpose of the MTARS and the site visit. It also identifies the dates for the site visit, the due date for the self-assessment checklists, and the date for the Joint Entrance videoconference. Copies of the notification are distributed to the following:

- Council Executive Director
- P&A Executive Director
- UCEDD Director
- ADD Staff on the Review Team

Following the notification, the MTARS Team Coordinator contacts the following individuals to begin coordinating activities that will take place during the visit:

- Council Executive Director
- P&A Executive Director
- UCEDD Director

The MTARS Team Coordinator will schedule a conference call with all the grantees to provide an overview of the MTARS process and discuss logistical issues. See Tab G for a sample conference call agenda.

ADD Staff Assignments and Preparations

Once States have been identified for the MTARS, ADD makes staff assignments for conducting the MTARS. ADD staff is assigned to the MTARS Team Coordinator, On-site coordinator, and Program Lead roles. Several factors are taken into consideration when making staff assignments, including programmatic concerns, grant assignments, and workload. ADD may assign additional staff to the MTARS team as co-leads or trainees.

The MTARS Team Coordinator and Program Leads engage in a variety of activities to prepare for and conduct the MTARS. The MTARS Team Coordinator ensures that overall logistics are managed and communicates across the team and with the grantees. The MTARS

Team Coordinator also has responsibility for overseeing the writing of the report. See Tab I for the MTARS Team Coordinator's checklist, which outlines all the steps to be carried out in the different phases of the MTARS.

The Program Team Lead works with the grantee and team members to carry out all aspects of the review process, including the analysis of the self-assessment checklists, the site visit activities, and report writing. See Tab J for the Program Lead Checklist, which outlines all the steps to be carried out in the different phases of the MTARS.

Recruitment of MTARS Team Members

Once the State has been notified about the MTARS, ADD begins to recruit MTARS team members. In doing so, Program Team leads contact the grantee to identify technical assistance needs. ADD uses this information to determine the expertise needed on the team. In addition, ADD takes into consideration other factors, including the geographic location of the State, the size of the program, the organizational structure of the program, and allotment.

Using this information, ADD develops a list of potential MTARS reviewers, which is approved by ADD administration. Once approved, the Program Team lead begins contacting the proposed reviewers to determine their availability and interest in participating in the MTARS.

Once the Program Team members are established, the Program Team lead sends the contact information for team members to the MTARS team coordinator. The MTARS team coordinator develops a contact sheet for all the team members and provides copies to the grantees and MTARS team members (see *Tab K* for sample contact sheet).

Site Visit Preparation

In addition to the work that ADD and the MTARS team members do to prepare for the site visit, the grantee have an important role in planning and preparing for the site. Grantees have numerous responsibilities in preparing for the MTARS, including:

- Collaborating with the network partners to plan for several joint activities;
- Working with MTARS team members to help with logistics for the on-site aspects of the review; and
- Completing the self-assessment checklist and other materials for the review.

There is a checklist is in Tab L to help grantees manage all aspects of the site visit preparations.

Grantee Self-Assessment

A central element of the MTARS is completion of the self-assessment checklists by the grantees (see Tab C for the DD Council checklists, Tab D for the P&A checklists, and Tab E for the UCEDD checklists). The self-assessment checklists are divided into four checklists related to the MTARS:

1) Program Compliance
2) Program Operations and Practices
3) Innovative Practice
4) Fiscal

In addition, there is a checklist for the DD Council Chairperson.

By completing the self-assessment checklists, the grantee is able to identify:

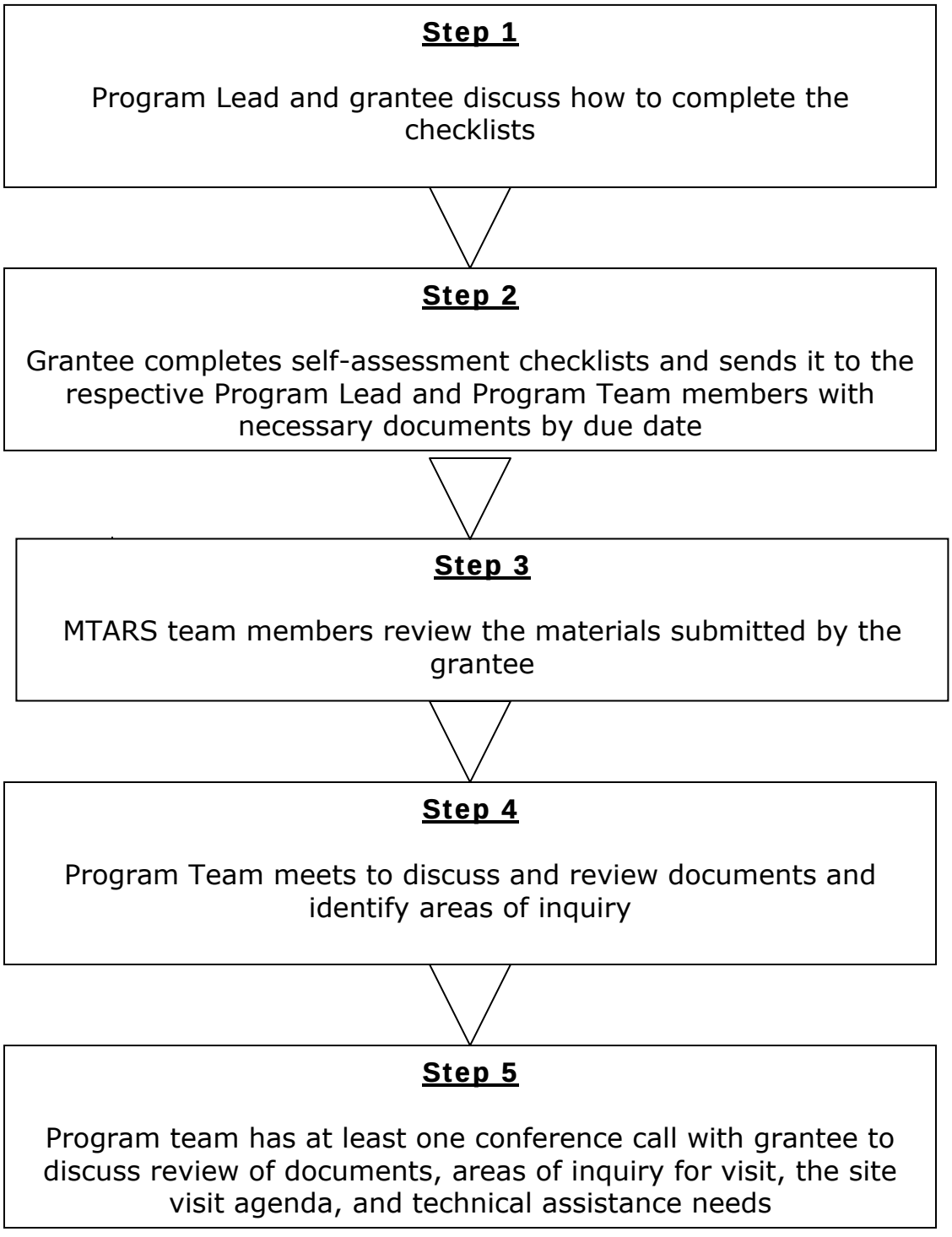
- ✓ Ways in which they are complying with the law
- ✓ Areas of collaboration
- ✓ Technical assistance needs
- ✓ Strengths and innovations of the programs

The use of the checklists streamlines communication between the grantee and Program Team. It is a means for determining what should be highlighted during the site visit. It also identifies early on areas for technical assistance that can be discussed while on-site or afterwards. Similarly, a grantee's early identification of an innovative practice enables the grantee to prepare presentations and assemble documentation that describe the practice and show its results. Determining in advance what should be highlighted enables the grantee to ensure that the appropriate documentation and staff are available to provide the information the grantee wishes to convey.

Process for Completing the Self-Assessment Checklists

The figure below shows an outline of the process for completing the self assessment checklists.

Process for Completing the Self Assessment Checklists



Step 1: Program Lead and Grantee discuss how to complete the checklists

ADD provides grantees with copies of the self-assessment checklists. Time is arranged to discuss the checklists with the grantees and clarify how they are to be completed.

Step 2: Grantee Completes Checklists and Sends to Program Team

It is the responsibility of the grantee to complete the checklists. The grantees will have electronic copies of the checklists so they can make comments to the team members regarding their activities directly on the form. Grantees should provide supplemental information, such as reports, publications, personal testimonies, meeting minutes, organizational charts, contracts, etc. to support information provided in the checklists. When providing supplemental information, grantees should organize the materials in a notebook, on a CD ROM, or another electronic format. ***Grantees are encouraged to provide program team members copies of the checklists and related documents in electronic formats.*** Copies of all materials should be sent to all team members.

Please note that grantees do not need to submit to ADD staff copies of their PPRs/Annual Reports, State Plans, Statements of Goals and Priorities, or 5-Year Applications. ADD has copies of these in the office and does not need additional ones. However, the grantee should send copies of these documents to team members.

Step 3: MTARS team members review the materials submitted by the grantee

Once Program Team members have received the checklists and materials, they are responsible for reviewing them. Each team member will read all documents and make notes regarding their findings. They will pay particular attention to areas of compliance, items for improvement, and innovations. They will also identify items they would like to know more about.

Step 4: Program Team Meets to Discuss Checklists

After the Program Team reviews all materials, they will meet either in person or through teleconference to discuss their findings. The Program Team will use the checklists as the primary guide for their discussion. During the call, the Program Team will identify the areas of inquiry for the grantee. These areas of inquiry may include the following:

1) Collaboration
2) Organizational Administration
3) Council/Board/Consumer Advisory Committee Membership
4) Program Administration
5) Evaluation and Reporting
6) Designated State Agency
7) Compliance Issues
8) Potential Areas for Technical Assistance
9) Innovative Practices

The ADD Program Lead summarizes the areas of inquiry and shares that with the grantee.

Step 5: Grantee and Program Team Teleconference

The Program Team and grantee teleconference to discuss the review of the checklists and the areas of inquiry. The grantee may be able to provide additional information that clarifies the questions of Program Team members. It is also an opportunity for the Program Team and grantee to discuss areas where there may be concerns regarding program compliance and any technical assistance needs. The Program Team and grantee can also discuss the strengths and innovations of the program.

This teleconference is also an opportunity to discuss the site visit agenda. Based on discussions of the areas of inquiry, the Program Team and grantee can develop a draft schedule for the site visit. From there, the grantee can work to finalize the agenda.

Fiscal Review Guidance

In addition to the programmatic reviews, the grantee will also under a fiscal review to ensure that all Federal grantees, including the DD Network grantees, meet specific fiscal reporting requirements (e.g., submittals of financial reports and annual independent audits). Federal Fiscal Specialists from the Regional Office will participate on the MTARS teams to conduct the fiscal reviews of the DD Councils, P&As and the UCEDDs during each MTARS site visit.

The Fiscal Review Checklists are included with the self-assessment checklists that can be found in Tab C for the DD Council, Tab D for the P&A, and Tab E for the UCEDD. The grantees will complete the fiscal checklists and return to the MTARS Team Coordinator prior to the MTARS site visit.

The MTARS team requests that the grantees' fiscal staff be available during the site visit and have the following fiscal source documents available and ready for review onsite:

- Accounting Policies and Procedures manual
- 269's – last three years
- Audits – last three years
- Inventory Records
- Vouchers - one year
- Credit Cards statements – one year
- Cash Disbursements – one year
- Staff flow Chart
- Program Income
- Indirect Cost Agreement and Cost Allocation Plan
- P&A Plan for Cost Allocation among federal funding streams, including records and methodology

The Fiscal Specialist, in consultation with the MTARS Team Coordinator and the grantee Executive Director and Fiscal staff, will schedule the fiscal review of each of the DD programs. The Federal Fiscal Specialist will conduct the fiscal review of the grantees and is expected, if possible, to participate in MTARS team meetings to provide and exchange information.

State of the State and DD Network Collaboration Videoconference

The State of the State and DD Network Collaboration videoconference occurs at least one month before the site visit. The Council, P&A, and UCEDDs officials and the entire Review Team participate in this meeting, to the extent possible, via videoconference. The non-federal MTARS team members will be given the option of traveling to Washington, DC to participate in the videoconference. Those who choose not to travel to Washington, DC for the videoconference may participate from their own site in the videoconference or they may participate using other technologies, such as teleconference and webinar.

ADD staff begins the meeting by giving an overview of the MTARS process, purpose of the visit, and team member roles and responsibilities.

The grantees coordinate the remainder of the videoconference agenda providing information about the State, including the State's:

- ✓ Politics
- ✓ Economics

- ✓ Geography
- ✓ demographics (including cultural and unserved/underserved)
- ✓ service delivery system
- ✓ program emphasis and other information that will help the review team under State-related issues during the site visit
- ✓ State waivers
- ✓ Institutional services, if any
- ✓ Governor's plan, if any, for disability services
- ✓ Olmstead
- ✓ legislative initiatives
- ✓ Other pertinent issues/challenges

The videoconference also includes brief overviews of the Council, P&A, and UCEDDs in order to gain a picture of how the programs operate in the State.

The videoconference should also include a presentation of the collaborative activities of the Network. Such activities can include those that address critical barriers or issues in the State and that promote systems change, capacity building, and advocacy. Each ADD grantee may want to explain its specific contribution to the joint activities. Grantees should express contributions in terms of program activity (e.g., Council-demonstration project, policy, self-advocacy; P&A-legal advocacy; UCEDD-training, research, community service, and information dissemination). Discussions should cover the successes/impact of the collaboration; what has changed as a result of the collaboration; strength and weaknesses; and what is working and what is not.

This meeting will take place via videoconference with an agenda developed by the Council, P&A and UCEDD(s). In States where there is more than one UCEDD, all Centers should participate in the meeting. The videoconference should last approximately 4 – 6 hours depending on the content. Please see Tab L for a sample videoconference agenda. The grantees should develop a draft agenda to share with the Team Coordinator for feedback.

Public Forum Preparation

As part of the pre-site visit activities, grantees schedule a cross-program public forum which occurs on the first day of the site visit.

A public forum is an important part of the monitoring. It allows the team to gather comments from the public about the activities of the Council, P & A, and UCEDD(s). The purpose is to gather information

on their experiences with these programs, how the programs have changed their lives, and how the programs can improve. It is important to convey that the public forum is not the time to voice concerns or complaints about the State service delivery system, such as Medicaid or special education, since ADD does not have oversight of such programs

Participants at the public forum are given 3 minutes to share their comments. Accommodations to the three minute time limit will be provided to persons needing additional time.

It is recommended that grantees have people sign up in advance to speak at the public forum. In doing so, the public forum runs smoothly and people can anticipate when to arrive based on the schedule. This also indicates whether there will be enough time for everyone to speak. It is also recommended that the grantees schedule a block of time, such as the last half hour of the scheduled time, for people who will be calling in to provide their remarks.

The grantees are responsible for arranging audio and visual technology at any public meeting site as well as teleconferencing hook-ups and e-mail for individuals. Grantee must also arrange for a note-taker to be on-site for the main site and each remote sites who can record the comments from the public and a time keeper who will ensure that comments are limited to 3 minutes.

Details about the opportunity for public comment along with an invitation to the general public to participate should be published in a variety of accessible formats including newspapers, newsletters, etc. The notice must include the purpose, date, time, and location, along with phone numbers and addresses of the ADD Regional Office. A sample notice of a public forum appears in *Tab M.* This document must be approved by the Team Coordinator.

Site Visit Agenda

The grantee will be developing the site visit agenda based on input from the Program Team. The agenda should include all activities (e.g., interviews, document reviews, case reviews, peer to peer discussions, team meetings, technical assistance discussions) needed to make a determination about grantee performance and fulfill all the expectations of an MTARS. Timeframes for each activity should be realistic so all that is needed is accomplished. A sample of a detailed, on-site meeting schedule appears in *Tab N*.

Accessibility

The grantees must ensure that all aspects of the MTARS are accessible to individuals with developmental disabilities. This includes the method or facility used for the public forum and all other meetings and events that occur in public and grantee sites. Any instances in which there are barriers preventing the full participation of individuals with developmental disabilities in any MTARS event will be noted in the final report.

Other Site Visit Preparations

Grantees should prepare for the site-visit by making certain adequate facilities are available for the review activities. If the grantee does not have adequate meeting space, they should inform ADD so that alternative arrangements can be made that satisfies all needs. The grantee should inform staff that participate in the review of the purpose of the visit, their role, when they can expect members of the review team to arrive, and the time and place they are scheduled to appear for a meeting or interview.

SECTION 6

MTARS Site Visit

Purpose of the Site Visit

The primary purpose of the site visit is to:

- ✓ gather information that answers the gaps and issues identified during the pre-visit phase
- ✓ document the impact grantee's efforts have on people, innovative practices
- ✓ further explore potential compliance and other issues not identified or fully understood prior to the visit
- ✓ respond to technical assistance needs

Site visits enable ADD to review the Council, P&A, and UCEDD(s) in each State both as separate entities and as a network. The information obtained during the site visits helps ADD:

- ✓ verify grantee compliance
- ✓ gauge overall effectiveness and consumer satisfaction
- ✓ assess grantee fiscal management
- ✓ identify and provide technical assistance
- ✓ promote innovative practices

The visit gives the Review Team many opportunities to gather information directly from Councils, P&A's, and UCEDDs as well as from their partners and the public. Meetings, interviews, document reviews, presentations, and observations are the main components of the information-gathering process. Presentations about grantee activities and accomplishments, along with first-hand observation of grantee projects provide significant insight about the philosophy, values, direction, and goals of the grantee.

Meetings

The site visit includes the following meetings*:*

- ✓ Program Team Meetings
- ✓ MTARS Team Meetings
- ✓ Joint Exit Meeting

Details on each meeting follow.

Program Team Meetings

Program Team meetings are held, as needed, in the late afternoon or evening to discuss the day's interviews, presentations, strengths, weaknesses, technical assistance needs, and recommendations. Each team member participates in this process so that all perspectives are included. Program Teams must meet the last afternoon of the site visit to develop the findings from the MTARS that will be included in the final report and shared at the Exit Meeting.

MTARS Team Meetings

MTARS Review Team meetings are held, as needed. There may be a meeting planned for the evening before the site visit begins so MTARS team members have an opportunity to review the week's agenda and ask questions. There is a meeting of the MTARS team the afternoon before the joint exit meeting to discuss findings with regard to collaboration that are shared at the Joint Exit meeting.

Joint Exit Meeting

At the Joint Exit meeting, the Review Team presents to the ADD grantees its findings, including strengths, areas of compliance, and recommendations for program improvement. In this way, the grantees are alerted to what to expect in the final MTARS report. The following items may be discussed as findings:

1) Collaboration
2) Organizational Administration
3) Council/Board/Consumer Advisory Committee Membership
4) Program Administration
5) Evaluation and Reporting
6) Designated State Agency
7) Compliance Issues
8) Potential Areas for Technical Assistance
9) Innovative Practices
10) Fiscal Review Findings

Tab O has an outline for reporting out the MTARS results at the Exit Meeting.

Public Forum

A cross-program public forum is scheduled for the first day of the site visit. This provides an important opportunity to collect comments from the public about Council, P & A and UCEDD(s). Representatives from the Council, P&A, and UCEDD(s) are invited to attend the public forum. The On-site Coordinator introduces the forum. Review Team members

listen to all participants but do not respond to comments or questions except for purposes of clarification. Members of the Review Team may talk by phone or meet briefly during the site visit with individuals who wish to speak with them privately.

The grantees ensure that there is a notetaker to record participant's remarks. The grantees also make arrangements for a timekeeper at each site who has the responsibility of ensuring that participants keep their remarks to 3 minutes. It is recommended that grantees have people sign up in advance of the public forum and that time be set aside for those who will be calling in the share their remarks. See Tab P for a Public Forum checklist.

It is absolutely essential that grantees ensure the public forum sites are accessible to people with disabilities. The grantees should visit the public forum site and assess it for accessibility. The grantees should also ensure that interpreters are available in case they are needed.

Interviews

Interviews are a vital part of the information-gathering process and are important in verifying the accuracy of the written material provided by a grantee. The Review Team may interview:

- individuals with developmental disabilities
- families
- grantee officials
- board members
- grantee staff
- State and local officials
- service providers
- university officials and students
- sub-grantees
- Consumer Advisory Committee members

It is suggested that the team interview, at a minimum, the following individuals or groups:

- *Council*: Chairperson, Executive Director, Council members, financial officer, and other key staff, contractors, grantees
- *Designated State Agency*: Head or other representative, financial officer and other staff
- *P&A*: Board/Advisory Council President and members, Executive Director, accountant/bookkeeper and other key P&A staff

- *University Center(s)*: Director, faculty, staff, Dean, Provost/University President, trainees, Consumer Advisory Committee members, and community collaborators
- *Consumers*: Individuals and families benefiting from grantee activities
- *Governor Liaisons* (Council and P&A)

Although interviews are scheduled prior to the site visit, Review Team members may meet with others as time permits.

The Interview Process

Before beginning the interviews, the Program Lead discusses the interview process with team members and alerts them to any specific issues that require attention. The MTARS team determines who will lead the interview process. Each interview should be time-limited to accommodate the schedule of site visit activities. Program Team members should keep the interview moving smoothly from topic to topic so that vital questions have been addressed before the interview ends.

MTARS team members should put interviewees at ease by introducing themselves, and providing information about the purpose of MTARS. Interviewees should be advised that site visit findings are based only in part on interviews and that the Federal Government and the Review Team will protect the confidentiality of those who are interviewed.

Interview Questions

Interview questions allow the team to collect information on many topics including:

- mission and purpose
- planning priorities and goals
- program evaluation and monitoring
- outcomes and progress on goals
- project implementation
- outreach
- consumer representation
- program administration
- policies and procedures
- staff hiring and supervision
- training
- recordkeeping and reporting

See *Tab Q* for interview tips and for sample interview questions that may be asked of program representatives doing the on-site review.

P&A Case Record Review

One method used to assess the level and quality of services provided by the State protection and advocacy grantee and to check whether individuals with developmental disabilities are being served is to review actual case records. A Case File Review Protocol for MTARS appears in *Tab D.4* for this purpose.

Regulations at 45 CFR Part 92(e) permit ADD reviewers to have access to P&A client and case eligibility records for purposes of monitoring system compliance pursuant to Section 104(b) of the Act. ADD respects client confidentiality and thus does not require that identifying information such as name, address, and social security number be disclosed. There are several options for making the information available to MTARS reviewers and guaranteeing confidentiality. For example, the file can be given to the reviewer with identifying information covered. Prior to the site visit, the P&A Program Lead contacts the Executive Director to determine how case files be reviewed.

Note-taking

In order to summarize what they learn during the site visit and to record sufficient detail to support their findings and recommendations, Review Team members should take thorough notes. *Tab R* includes note-taking tips that Review Team members will find helpful for recording impressions of their meetings, interviews, and document reviews. To ensure accuracy, notes should be taken when information is fresh in Review Team members' minds.

SECTION 7

Post-Site Visit Activities

Development of the Final Report

After each MTARS site visit, the MTARS team prepares a consolidated written report covering all aspects of the review. The report outlines the purpose of the review, describes the procedures followed, information about the State, and findings regarding Network collaboration. In addition, the report includes sections that summarize findings from the review of each program. The format for this part of the report is based on the self-assessment checklists for each program and includes the following categories:

- ✓ Organizational Administration
- ✓ Council/Board/Consumer Advisory Committee Membership
- ✓ Program Administration
- ✓ Designated State Agency
- ✓ Evaluation and Reports
- ✓ Compliance
- ✓ Recommendations
- ✓ Innovative Approaches

A sample report format appears in *Tab S*.

Program Team leads develop draft reports for their respective program. The MTARS Team Coordinator develops the parts of the report that address Network collaboration and other relevant information such as State demographics.

Process and Timeframes for Developing the Final Report

Developing and finalizing the final report should be accomplished within five months after the review. Certain parts of the report (e.g., those pertaining to specific grant programs) may require more time to finalize pending resolution of issues. The table below outlines the general times for completing the final report, however, it is understood that other work priorities may affect the completion of the report.

Timeline for Completing Report

TIMELINE	MTARS TEAM COORDINATOR	PROGRAM TEAM LEAD	Non-federal Team Members	Grantees
By time of site visit	First draft of Part 1: Purpose and Scope of the Review complete and sent to grantee for review			
Monday after site visit	First draft of Part 2 on DD Network collaboration complete and sent to program team lead for distribution		Each reviewer submits his/her notes to the Program Team Lead	
3 days after site visit		Program Team Lead compiles all input into a single draft report and circulates draft report to the Program Team, including Part 2		
3 weeks after site visit		Send team member comments on Part 2 to MTARS team coordinator	Review reports and return comments on the individual program report and Part 2 to the Program Team Lead	

5 weeks after site visit	Incorporate non-federal team member's comments into Parts 1 and 2 of the report and send revised document to Program team leads for distribution	• After addressing comments of Program Team members, Program Team Lead finalize their section of report • Sends to grantees draft individual program report and Part 2 for their review		
7 weeks after site visit		Sends grantees comments on Part 2 to MTARS team coordinator		• Review program report and Part 2 • Submits comments on the report to program team lead
9 weeks after site visit	Review comments from grantees on Part 2 making changes as necessary	• Review comments from grantee on the individual report and make changes as necessary • Submit final		

11 weeks after site visit	• Compile all reports into one document • Submit full report to editor			
13 weeks after site visit	After receiving the report back from Editor, send to Program Team Lead for final review of the individual program reports			
15 weeks after site visit	Review Editor remarks on Parts 1 and 2 and make changes as necessary,	Review Editor remarks and make changes as necessary, returning report to MTARS Team Coordinator when done		
17 weeks after site visit	• Submits full report to ADD Administration for final review and sign off • Prepares cover letters for the report • **FINAL REPORT ISSUED**			

Report Distribution

The final report is issued by the ADD Commissioner. The MTARS report is distributed to the following:

- Council Executive Director
- Council Chairperson
- P&A Executive Director
- P&A Board Chairperson
- UCEDD Director
- University administration
- Review Team members
- Governor's Liaison(s)

See Tab T for a sample cover letter for the MTARS report.

Response to MTARS Report

The MTARS report will identify strengths and innovative practices, and recommendations to strengthen particular aspects of the program. The report may identify compliance issues if the team has determined that the grantee has not complied with the requirements in the DD Act.

Each grantee should submit a response to the ADD Commissioner addressing the findings in the report. The response should describe a corrective action plan if there were any compliance issues, how recommendations listed in the report will be addressed, and requests for technical assistance if needed. If the report includes recommendations on collaboration, ADD expects the network to develop together a joint action plan.

The response should be submitted within 60 days of the MTARS report sent by the Commissioner. Federal officials may provide assistance in the development of action plans and periodically will review the status of action taken by the program to resolve deficiencies.

Content of the Corrective Action Plan

If a program is found to be out of compliance with the DD Act, they must submit to ADD within 60 days a corrective action plan. The format of the corrective action plan may vary, but the plan must include the following:

- ✓ Each factor associated with compliance where improvement is needed.

- ✓ A plan or strategy to bring each factor into compliance, including action steps, timeframes for action steps and responsible staff.
- ✓ Measurable benchmarks of progress to indicate that compliance has been achieved by the State DD program.
- ✓ Description of how progress on the plan will be evaluated and reported to the Central and Regional Offices.

If the amount of progress to be achieved through the Corrective Action Plan appears to be insufficient, ADD will negotiate with the grantee to identify steps that sufficiently move the grantee towards the expected type or level of progress. When determining the amount of progress to be achieved, consideration should be given to current or prior efforts to improve performance.

Timeframes for Submitting the Corrective Action Plan

A grantee required to prepare a corrective action plan must submit its plan to the Commissioner for approval within 60 calendar days of receiving the final MTARS report that identifies elements of noncompliance and need for improvement. The Central Office will review the action plan and notify the grantee in writing of approval or disapproval within 30 days. If ADD determines that revisions to the corrective action plan are needed, the grantee must develop and submit the revisions to the Commissioner within 30 calendar days of receiving written notice that the action plan was not approved.

Timeframes for Implementing the Corrective Action Plan

It is expected that the time period for completing the corrective action plan will not exceed 1 year. Not all components of the plan will require a full year to implement, and this timeframe is provided as an outside limit for those elements of the corrective action plan requiring more extensive planning and action steps.

Evaluating the Implementation of the Corrective Action Plan

ADD central office evaluates the grantee's compliance with the terms and conditions of its approved corrective action plan, including the achievement of the benchmarks included in the plan.

The grantee must provide quarterly written progress reports to ADD staff. The quarterly progress reports must include sufficient detail to describe the progress made during the reporting period and must indicate whether specific timeframes in the corrective action plan are not being met.

Tab A – Commonly Used Acronyms

ACF	Administration for Children and Families
AC	Advisory Council
ADA	Americans with Disabilities Act
ADD	Administration on Development Disabilities
ATC	Assistive Technology Center
BOD	Board of Directors
CMHS	Center for Mental Health Services
CAP	Client Assistance Program
CCD	Consortium of Citizens with Disabilities
CMS	Centers for Medicine and Medicaid Services
CO	Central Office
DD	Developmental Disabilities
DD Act	Developmental Disabilities Assistance and Bill of Rights Act
DHHS	Department of Health and Human Services
DSA	Designated State Agency
EDS	Electronic Data Submission
FY	Fiscal Year
GPRA	Government Performance and Results Act of 1993
ICF/MR	Intensive Care Facility/Mental Retardation
IDEA	Individuals with Disabilities Education Act
ILCs	Independent Living Centers
LD	Learning Disability
MOU	Memorandum of Understanding
MTARS	Monitoring & Technical Assistance Review System
NIDRR	National Institute on Disability Rehabilitation Research
OMB	Office of Management & Budget
OSERS	Office of Special Education Rehabilitation Services
P&A	Protection & Advocacy System
PAAT	Protection & Advocacy for Obtaining Assistive Technology
PABSS	Protection & Advocacy for Beneficiaries of Social Security
PADD	Protection & Advocacy for Persons with Developmental Disabilities
PAIMI	Protection & Advocacy for Individuals with Mental Illness
PAIR	Protection & Advocacy for Individual Rights
PIP	Program Improvement Plan

PNS	Projects of National Significance
PPR	Program Performance Report
PR	Public Relations
RFP	Request for Proposal
RO	Regional Office
SAMHSA	Substance Abuse and Mental Health Services Administration
SCDD	State Council on Developmental Disabilities
SGP	Statement of Goals and Priorities
RSA	Rehabilitation Services Administration
Rehab Act	Rehabilitation Act
TA	Technical assistance
Tech Act	Technology-Related Assistance for Individuals with Disabilities Act
UCEDD	University Centers for Excellence in Developmental Disabilities Education, Research, and Service

Tab B – Glossary

1. Areas of Emphasis

Activities that affect the quality of life of individuals with developmental disabilities, including:

- quality assurance
- education and early intervention
- child care
- health care
- employment
- housing
- transportation
- recreation
- formal and informal community supports

2. Child Care-Related Activities

Advocacy, capacity-building and efforts at systems change aimed at providing families of children with developmental disabilities access to and use of child care services; includes before, after and out-of-school care and should be located in families' communities.

3. Compliance

Meeting the requirements of the DD Act.

4. Culturally Competent

Services, supports or other assistance that are responsive to the beliefs, interpersonal styles, attitudes, language and behaviors of those receiving the services; services that respect the cultural differences and preferences of individuals with developmental disabilities.

5. DD Network

The State Councils on Developmental Disabilities (Councils), Protection and Advocacy Agencies(P&As) and University Centers on Excellence in Developmental Disabilities Education (University Centers, UCEDDs) that are within each State.

6. Developmental Disability

Developmental disabilities (DD) are severe, life-long disabilities attributable to mental and/or physical impairments, manifested before age 22. Developmental disabilities result in substantial limitations in three or more areas of major life activities:

- self-care
- receptive and expressive language

- learning
- mobility
- self-direction
- capacity for independent living
- economic self-sufficiency

Persons with developmental disabilities require individually planned and coordinated services and supports (e.g., education, civil and human rights protection, health care) for life or for an extended period of time in order to live in the community.

7. Early Intervention Activities

Advocacy, capacity-building and efforts at systems change that result in improving access to the support and modifications that individuals with developmental disabilities need to:

- maximize their educational potential;
- benefit from lifelong education; and
- participate in all aspects of student life.

8. Employment-Related Activities

Advocacy, capacity-building and efforts at systems change that result in improved opportunities for individuals with developmental disabilities to:

- get, keep or advance in paid employment, including supported or self-employment;
- work in integrated, community settings.

8. Grantees

State Councils on Developmental Disabilities, Protection and Advocacy Agencies and University Centers of Excellence in Developmental Disabilities Education. These grantees make up the DD Network in each State.

9. Health-Related Activities

Advocacy, capacity building and efforts at systems change that result in access for individuals with developmental disabilities to coordinated health, mental health, preventive health programs and other human and social services.

10. Housing-Related Activities

Advocacy, capacity building and efforts at systems change that result in access for individuals with developmental disabilities to housing and housing supports and services, such as assistance with renting, owning or modifying an apartment or home.

11. Inclusion

Acceptance by individuals *without* disabilities of the presence and participation of individuals *with* developmental disabilities in social, educational, work and community activities. Inclusion enables individuals with developmental disabilities to:

- have friendships and relationships with people they choose;
- live in homes close to community resources, with regular contact with the larger community;
- have access to and participate in the same community activities and types as employment as everyone else;
- live, learn, work and enjoy life in regular contact with individuals without disabilities.

13. Integration

The equal right of individuals with developmental disabilities to have access to and use the same community resources as other people.

14. Organizational Procedures

The organizational structure, policies and processes that are the foundation of how a grantee operates.

15. Protection And Advocacy Systems

Protection and Advocacy (P&A) systems protect the legal and human rights of individuals with developmental disabilities. P&A strategies include legal, administrative, and other remedies; information and referral; investigation of incidents of abuse and neglect; and education of policy-makers. There is one P&A in each State.

16. Quality Assurance Activities

Advocacy, capacity building and efforts at systems change aimed at establishing systems to assure that individuals with developmental disabilities:

- do not experience physical or sexual abuse, neglect, financial exploitation or violation of their legal or human rights;
- are not subject to inappropriate restraint or seclusion

Quality assurance activities also include (1) training in leadership, self-determination and self-advocacy for individuals with developmental disabilities, their families and their guardians, and (2) activities related to interagency coordination and integration of service systems.

17. Recreation-Related Activities

Advocacy, capacity building and efforts at systems change that lead to improved access to and use of community recreational, leisure and social activities for individuals with developmental disabilities.

18. State Council on Developmental Disabilities

State Councils on Developmental Disabilities (SCDD) pursue systems change in aspects of service/support availability, design or delivery that promotes better lives for individuals with developmental disabilities and their families. Councils:

- work to improve the capacity of projects to deliver services and supports;
- support advocacy activities that promote self-determination and inclusion in the community;
- support demonstrations of new approaches;
- sponsor outreach training;
- do public education;
- provide information to policy-makers.

19. Transportation-Related Activities

Advocacy, capacity building and efforts at systems change that lead to improved access to and use of transportation for individuals with developmental disabilities.

20. University Centers For Excellence In Developmental Disabilities (University Centers, UCEDDs)

University Centers for Excellence in Developmental Disabilities (UCEDD*)* are either components of a university system, or are public or not-for-profit entities associated with a university. UCEDDs:

- conduct interdisciplinary pre-service preparation of students and fellows
- sponsor community service activities
- conduct and sponsor research
- disseminate information and research findings.

Tab C.1 - Council Compliance Checklist

Due Date for Checklist:	
ADD Mailing Address	Administration on Developmental Disabilities Administration for Children and Families U.S. Department of Health and Human Services 370 L'Enfant Promenade, S.W. MAIL STOP: Humphrey Building, 405D Washington, D.C. 20447
Team Member Mailing Address	
Team Member Mailing Address	

I. COLLABORATION		
I.1 DD Network Collaboration	***Document***	***Interview***
The Council maintains collaborative relationships with the P&A and the UCEDD. Sec.104(a)(3)(D)(iii)		• Executive Director • Council members • Community members/Public forum
Comments:		
I.2 Community Collaborations	***Document***	***Interview***
The Council actively participates in community networks and has a range of collaborating partners. Sec. 101(b)(3)		• State agency members of Council • Self-advocacy orgs. • Community orgs.
Comments:		

II. ORGANIZATIONAL ADMINISTRATION		
II.1 Staff	***Document***	***Interview***
Council recruits and hires Director of Council and supervises and annually evaluates Director. Director hires, supervises and annually evaluates staff. Sec. 125(c)(9)		• Council Chair • Executive Director
Comments:		
Staff while working for the Council are solely responsible for assisting the Council in carrying out duties of the Council. Sec.125(c)(10)		• Council staff • Council Chair • Executive Director
Comments:		
Council hires and maintains staff and obtains services of professional, consulting, technical, and clerical staff (qualified by training and experience) to carry out functions of Council. (State shall not apply hiring freezes, RIFs, etc.) Sec.125(c)(8)(B)		• Executive Director • Council Chair
Comments:		

III. MEMBERSHIP		
III.1 Membership policies	***Document***	***Interview***
Membership recommendations solicited by Governor from a broad range of organizational sources including non-State agency members of the Council. Sec125(b)(1)(B)		• Non-state agency members of Council • Council Chair
Comments:		
Members reflect the State's diverse geographic locations, race, and ethnicity. Sec.125(b)(1)(C)		• Council members • Council Chair • Executive Director

Comments:		
The Council has provisions to rotate membership. Sec.125(b)(2)		• Council members • Council Chair • Executive Director
Comments:		
The Council has provisions that allow continuation of membership until a new member is appointed. Sec.125(b)(2)		• Council members • Council Chair • Executive Director
Comments:		
The Council has a process to notify Governor re: membership and vacancies. Sec. 125(b)(2)		• Council members • Council Chair • Executive Director
Comments:		
III.2 Membership requirements	***Document***	***Interview***
60% of membership represent individuals with DD in the following categories: Sec.125(b)(3); Sec.125(b)(5) • 1/3 individuals with DD • 1/3 parents and guardians of children with developmental disabilities or immediate relatives of guardians of adults with developmental disabilities • 1/3 combination ➢ at least one is immediate relative or guardian of an individual with developmental disabilities who resides or previously resided in an institution or an individual with developmental disabilities who currently/previously resided in an institution in the State. Sec.125(b)(6) ➢ The above individuals cannot be employees of a State agency that		• Council members • Council Chair • Executive Director

receives funds or provides services under this subtitle and not a managing employee of any other entity that receives funds or provides services under the subtitle. Sec.125(b)(3)(B)		
Comments:		
Other required members: Sec.125(b)(4) ➢ Rep. of the Rehab Act ➢ IDEA ➢ Older American Act ➢ Title V and XIX of the Social Security Act ➢ Local and nongovernmental agencies, and private nonprofit groups concerned with services for individuals with developmental disabilities in the State in which such agencies and groups are located		• Council members • Council Chair • Executive Director
Comments:		
Representatives of agencies and organizations: ➢ Have the authority to engage in policy planning and implementation of behalf of department, agency or program. Sec.125(b)(3)(B)(i) ➢ Recuse themselves from any discussions that may involve conflict of interest. Sec.125(b)(3)(B)(ii) ➢ No member of the Council will cast a vote on any matter that would provide direct financial benefit to the member or otherwise give the appearance of a conflict of interest. Sec.124(c)(5)(D)		• Non-state agency members of the Council • Council Chair

Comments:

IV. PROGRAM ADMINISTRATION		
IV.1 Five Year State Plan	***Document***	***Interview***
Establishes a Council Sec.124(c)(1)		• Executive Director • Council Chair
Comments:		
Identifies Designated State Agency (DSA)	Identifies Designated State Agency (DSA)	Identifies Designated State Agency (DSA)
Comments:		
Describes the results of a comprehensive review and analysis of the extent to which services, supports, and other assistance are available to individuals with developmental disabilities and their families and the extent of unmet needs for services, supports, and other assistance in the State. Sec.124(c)(2,3)		• Executive Director • Council Chair • Council members
Comments:		
Includes 5-year goals developed through data-driven strategic planning, for advocacy, capacity building, and systemic change in the areas of emphasis related to identified unmet/met needs and an annual goal to: ➢ Establish or strengthen a program for the direct funding of a State self-advocacy organization led by individuals with developmental disabilities ➢ Support opportunities for who are considered leaders to provide leadership training to individuals with developmental disabilities who may become leaders ➢ Support and expand participation of to individuals with developmental		• Executive Director • Council Chair • Council members

disabilities in cross-disability and culturally diverse leadership coalitions Sec.124(c)(4)(A)		
Comments:		
The 5-year goals; ➢ are consistent with indicators of progress ➢ reflect strategies to be used in achieving each goal • reflect methods to determine if each goal has been achieved Sec.124(c)(B)		• Executive Director • Council Chair • Council members
Comments:		
Plan must include assurances related to: ➢ uses of funds ➢ State financial participation ➢ conflict of interest ➢ urban and rural poverty areas ➢ program accessibility standards ➢ individualized services ➢ human rights ➢ minority participation ➢ employee protections ➢ staff assignments ➢ noninterference ➢ state quality assurances ➢ other assurances Sec.124(c)(5)		• Executive Director • Council Chair • Council members
Comments:		
Is based on public input. Sec.124(d)(1)		• Executive Director • Council Chair • Council members • Community partners/organizations
Comments:		

Includes evidence of the plan being submitted to the Secretary and approved by the Secretary. Sec.124(d)(2,3)		• Executive Director • Council Chair • Council partners/organizations • DSA
Comments:		
IV.2 State Plan Implementation	***Document***	***Interview***
The Council shall implement the State Plan by conducting and supporting advocacy, capacity building, and systemic change activities such as: ➢ Outreach ➢ Training ➢ Technical Assistance ➢ Supporting and Educating Communities ➢ Interagency collaboration and coordination ➢ Coordination with related councils, committees, and programs ➢ Barrier elimination, systems design, and redesign ➢ Coalition development and citizen participation ➢ Informing policymakers ➢ Demonstration of new approaches to services and supports ➢ Other activities Sec.125(c)(5)		• Executive Director • Council Chair • Council members • Community partners/organizations
Comments:		

V. EVALUATION AND REPORTS		
Program Performance Report	***Document***	***Interview***
The Council annually prepares and transmits to the Secretary a report containing information about the progress made in achieving the goals. The report includes:		
Comments:		
➢ Extent to which each goal of Council was achieved. Sec.125(c)(7)(A)		• Executive Director/staff • Council Chair
Comments:		
➢ Description of strategies that contributed to achieving goals. Sec.125(c)(7)(B)		• Executive Director/staff • Council Chair
Comments:		
➢ Extent to which each goal was not achieved, describes factors that impeded goal achievement. Sec.125(c)(7)(C)		• Executive Director/staff • Council Chair
Comments:		
➢ Separate information on self-advocacy goal. Sec.125(c)(7)(D)		• Executive Director/staff • Council Chair • Consumer members of Council
Comments:		
➢ As appropriate an update on results of comprehensive review and analysis, and ➢ Information on consumer satisfaction with Council supported or conducted activities. Sec.125(c)(7)(E)		• Executive Director/staff • Council Chair • Consumer members of Council
Comments:		
➢ Description of adequacy of health care and other services, supports and		• Executive Director/staff • Council Chair

assistance that individuals with developmental disabilities: o in Intensive Care Facilities/Mental Retardation (ICF/MR) receive; o served through Home Community Based Waivers receive. Sec.125(c)(7)(F)		
Comments:		
➢ An accounting of the manner in which funds paid to the State for a fiscal year were expended. Sec.125(c)(7)(G)		• Executive Director/staff • Council Chair
Comments:		
Includes description of: ➢ resources made available to carry out activities to assist individuals with developmental disabilities that are directly attributable to Council activities ➢ resources made available for such activities that are undertaken by the Council in collaboration with other entities. Sec.125(c)(7)(H)		• Executive Director/staff • Council Chair
Comments:		
Includes description of how Council will widely disseminate the annual report to affected constituencies and general public and assure report is available in accessible formats. Sec.125(c)(7)(I)		• Executive Director/staff • Council Chair
Comments:		
Determine needs that require amendment of 5-year strategic State Plan required under section 124. Sec.125(c)(3)(C)		• Council Chair and members
Comments:		

VI. FISCAL		
VI.1 Fiscal Requirements	***Document***	***Interviews***
➢ Council has authority to prepare, approve, and implement a budget to fund programs, projects, and activities. Sec125(c)(8) ➢ Not less than 70% of funds expended for activities related to goals. Sec.124(c)(B)(i) ➢ Funds contribute to achievement of purpose of subtitle in various political subdivisions. Sec.124(c)(5)(B)(ii) ➢ Funds used to supplement, and not supplant, the non-Federal funds that would otherwise be made available for the purposes for which funds under Sec122 are provided. Sec124(c)(B)(iii) ➢ Funds used to complement or augment rather than duplicate or replace services for individuals with developmental disabilities and their families who are eligible for Federal assistance. Sec.124(c)(5)(B)(iv) ➢ Funds are made available to public or private entities. Sec.124(c)(5)(B)(v) ➢ There is reasonable State financial participation in the cost of carrying out the plan. Sec.124(c)(5)(C) ➢ Federal allotments can be expended or obligated for two years (year of award plus one more year). 45 CFR 1386.1 ➢ Obligations of Federal allotments are liquidated by the third year (i.e. within two years of end of year of award). 45 CFR 1386.2		• Council Chair and members • Executive Director

➢ Expenditures and obligations are reported semiannually by SF269/ADD-02 45 CFR 1386.32		
Comments:		
VI.2 Fiscal Policies	***Documents***	***Interview***
Council has policies to reimburse members of the Council for reasonable and necessary expenses (including expenses for child care and personal assistance services) for attending Council meetings and performing Council duties. Sec.125(c)(8)(A)(I)		• Executive Director • Council fiscal staff
Comments:		
Council has policies to pay a stipend to a member of the Council if such member is not employed or must forfeit wages for other employment to attend Council meetings and perform other Council duties. Sec.125(c)(8(A))(II)		• Executive Director • Council fiscal staff
Comments:		
Council has policies to support Council member and staff travel to authorized training and technical assistance activities including in-service training and leadership development activities. Sec.125(c)(8)(A)(III)		• Executive Director • Council fiscal staff
Comments:		
Council has policies to carry out appropriate subcontracting activities. Sec.125(c)(8)(A)		• Executive Director • Council fiscal staff
Comments:		
Council directs expenditures of funds for grants, contracts, interagency agreements that are binding contracts and other activities authorized by State plan approval.		• Executive Director • Council fiscal staff

Sec.125(c)(8)(C)		
Comments:		
Federal and non-Federal Share ➢ In general, Federal share of cost of all projects in State not more than 75% of the aggregate necessary. Sec.126(a)(1) ➢ Federal share of cost for projects in rural and poverty areas may not be more than 90% of aggregate necessary. Sec.126(a)(2) ➢ Projects undertaken by Council or Council staff, Federal share of cost not more than 100% of costs necessary. Sec.126(a)(3)		• Executive Director • Council fiscal staff
Comments:		
Grantee shall keep records that disclose: ➢ Amount and disposition of assistance by recipient ➢ Total cost of project or undertaking in connection with assistance given ➢ Amount of project costs supplied by other sources ➢ Such other records that will facilitate an effective audit Sec.103		• Executive Director • Council fiscal staff • Grantees
Comments:		

VII. DESIGNATED STATE AGENCY

VII.1 DD Act requirements for DSA	*Document*	*Interview*
Council shall periodically review DSA and activities carried out under this subtitle by DSA and make any recommendations for change to Governor. Sec.125(c)(6)		• Council Chair • Executive Director • DSA

Comments:		
The Council may request a review of and change in the DSA by the Governor. Sec.125(d)(2)(C)		• Council Chair • Executive Director • DSA
Comments:		
Type of agency designated as DSA: ➢ Council, if such Council may be DSA under laws of State ➢ State agency that does not provide or pay for services for individuals with developmental disabilities ➢ A State office, including the immediate office of the Governor of the State or a State planning office Sec.125(d)(A)		• Council Chair • Executive Director • DSA
Comments:		
Designation before Enactment: DSA determined prior to June 30, 1994 may be a State agency that provides or pays for services for individuals with developmental disabilities. Sec.125(d)(2)(B)(i)	Designation before Enactment: DSA determined prior to June 30, 1994 may be a State agency that provides or pays for services for individuals with developmental disabilities. Sec.125(d)(2)(B)(i)	Designation before Enactment: DSA determined prior to June 30, 1994 may be a State agency that provides or pays for services for individuals with developmental disabilities. Sec.125(d)(2)(B)(i)
Comments:		
Not more than 20% of federal allotment is awarded to the DSA by Council for service of demonstrations that contribute to the achievement of the DD Act and are explicitly authorized by the Council. Sec.124(c)(5)(B)(vii)	Not more than 20% of federal allotment is awarded to the DSA by Council for service of demonstrations that contribute to the achievement of the DD Act and are explicitly authorized by the Council. Sec.124(c)(5)(B)(vii)	Not more than 20% of federal allotment is awarded to the DSA by Council for service of demonstrations that contribute to the achievement of the DD Act and are explicitly authorized by the Council. Sec.124(c)(5)(B)(vii)
Comments:		
VII.2 Responsibilities of DSA	***Document***	***Interviews***
➢ Receives, accounts for, and disburses		• Council Chair

funds under subtitle based on State Plan. Sec125(d)(3)(C)(i) ➢ Provides the appropriate fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of, and accounting for, funds paid to the State. Sec125(d)(3)(C)(ii) ➢ Keeps and provides access to records as Secretary and Council may determine necessary and timely financial reports regarding status of expenditures, obligations, and liquidation by agency or Council, and use of Federal and non-Federal shares. Sec125(d)(3)(D) ➢ Provides required non-Federal share. Sec125(d)(3)(E) ➢ Assists in obtaining appropriate State Plan assurances and consistency with State law. Sec125(d)(3)(F) ➢ Enters into MOU at request of Council. Sec125(d)(3)(G)		• Executive Director • DSA • Council fiscal staff
Comments:		

Tab C.2 – Council Program Operation and Practices Checklist

I. COLLABORATION	
Collaboration	***Comments***
Collaboration is an integral part of the Council scope of work. The DD Act includes requirements for collaboration across the DD network and with community partners. In addition, Council's have unique opportunities to collaborate with local, state, and national organizations and agencies. Effective collaboration strengthens the Council's ability to outreach and engage multiple audiences in projects and activities.	

The Council uses its multi-state agency membership to forge interagency collaboration, coordination, and communication that enhances services and supports to people with developmental disabilities and family members in furthering the mission of the Council. ➢ Systems change, advocacy and capacity building activities are directed to a variety of State agencies and other organizations that affect the lives of people with developmental disabilities. Sec.124(c)(4)(A); 125(c)(5)(G) ➢ The Council, the P&A, and the UCEDD collaborate to further the values of the DD Act. Sec.124(c)(3)(D)	
The Council participates in interagency activities and coalitions and other statewide committees and bodies in the state that are relevant to its mission and priorities. Sec.125(c)(5)(I)	
The Council supports and conducts activities to promote interagency collaboration and coordination to better serve, support, assist or advocate for individuals with developmental disabilities and their families. Sec.125(c)(5)(F)	
The Council supports and conducts activities to enhance coordination of services with other councils, entities, or committees authorized by Federal or State law, concerning individuals with developmental disabilities; parent and information training centers. Sec.125(c)(5)(G)	

II. ORGANIZATIONAL ADMINISTRATION

Mission	***Comments***
The Council has a clear mission statement governed by the federal mission in the DD Act and by the Federal definition of State Councils Sec.101(B)	
Governance	***Comments***
The Council has an organizational structure that supports the development, implementation, and evaluation of the State plan, policy and system change initiatives, and enhancement of community capacity and competence.	
➢ The Council has written policies in place that govern participation, attendance, membership terms and rotation, election of officers, and membership term limits. Sec.125(b)	

➢ The Council has written descriptions of the roles and responsibilities of Council members, officers, chairs, staff, committees and subgroups. Sec.101(b); 125(c) ➢ The Council makes recommendations to the Governor for membership on the Council. Sec.125(b)(B) ➢ Council members are appointed by the Governor in a timely fashion. Sec.125(b)	
Policies and Procedures	***Comments***
The Council operates under written policies and procedures to ensure that activities are carried out in an efficient, effective and fiscally responsible fashion, are accountable to the public, and are consistent with the values and mission of the Council.	
➢ The Council has written administrative policy and procedures that includes such things as a conflict of interest policy, bylaws, a description of the role of the DSA, fiscal and personnel policies, and any other policies relevant to the operation of the Council. Sec.125(c)(8); 125(d) ➢ Staff and Council members have the opportunity to travel as needed to conduct Council business. Sec.125(c)(8) ➢ Provisions are in place to ensure that Council decisions are free from conflict of interest and favoritism. Sec.125(b)(3)(B)(ii); 124(C)(4)(D)	
Staff	***Comments***
The Council is staffed by a sufficient number of qualified individuals with the skills necessary to manage Council activities, carry out the Council mission, support Council members, administer and oversee Council funded activities, and who are committed to individuals with developmental disabilities and families.	
The Council: ➢ program and administrative priorities are reflected in the size of the staff complement and in the allocation of individual staff members. Sec.125(c)(8) ➢ determines the staffing pattern for the Council, ensures that it is designed to carry out state plan activities, coordination, planning and advocacy, and carries out staff assignments on the organization design. Sec.125(c)(8)(9) ➢ staff have the qualifications and experience necessary to perform the duties. Sec.125(c)(8) ➢ hires, supervises and evaluates the director who in turn hires, supervises and evaluates Council staff.	

Sec.125(c)(9) ➢ establishes an Executive Director evaluation process, evaluation criteria and performance criteria. Sec.125(c)(9) ➢ is an equal opportunity employer and follows all federal and state guidelines and laws as appropriate in employment practices. Sec.125(c)(9) ➢ staff is responsible solely for assisting the Council in carrying out its duties and are not assigned duties by the DSA or any other agency or office of the State. Sec.125(c)(10)	

III. MEMBERSHIP

Comments	
Council members make a commitment to serve the public interest and share a commitment to all people with developmental disabilities by supporting their independence, productivity, integration and inclusion. The Council provides opportunities, training, and encouragement for members and other advocates to gain and use leadership skills to promote independence, productivity, integration and inclusion and attain leadership in the developmental disabilities movement.	
Council practices encourage the participation of individuals with developmental disabilities and family members in leadership positions on the Council. Sec.124(c)(4)(iii)	
New members are provided with an orientation to the values, mission, and federal mandates of the Council and their roles and responsibilities as Council members. Sec.125(c)(1-2)	
Council members are provided with information about the service system for individuals with developmental disabilities and family members in the state. Sec.124(c)(3); 125(c)(4-5) Council members play active roles in developing the five-year State plan and in evaluating progress.	
Members attend and participate in Council and committee meetings on a regular basis. Sec.124(c)(3); 125(c)(4-5)	
The Council facilitates the attendance and participation of individuals with developmental disabilities and their families on the Council through a variety of supports including scheduling of Council meetings, provision of stipends for respite, reimbursing travel expenses, communication and personal assistance and other means necessary to ensure meaningful involvement. Sec.125(c)(8)	

Council members participate in other organizations and forums that affect people with disabilities. Sec.124(c)(4)(III)	

IV. PROGRAM ADMINISTRATION

Planning	*Comments*
State plan priorities, Council activities and advocacy efforts reflect the Council's mission, the expressed needs of individuals with developmental disabilities and families in the State, and the specific legal, political, and financial context within which the Council functions.	
The Council: ➢ carries out systematic planning activities that link current state priorities to objectives, funding, policy initiatives and implementation timelines. Sec.124(c)(1-5) ➢ has policies governing the planning process including roles & responsibilities of members and staff. Sec.125(c) ➢ has policies governing State Plan implementation and the RFP process and roles and responsibilities of Council members and staff. Sec.125(c)(4) ➢ State plan and objectives are consistent with the Council's mission statement and federal requirements. Sec.124(c)(3)(E) ➢ goals and objectives are measurable ➢ state plan is evaluated annually to determine progress toward meeting goals and objectives, appropriateness of activities, barriers having an impact on attainment of goals ➢ state plan is adjusted as needed to address barriers to attaining goals, or goals that have become inappropriate ➢ actively seeks input from individuals with developmental disabilities, their families and the public regarding the state plan and priorities. Sec.124(d) ➢ planning process reflects the state's cultural diversity and addresses the state's unserved and underserved minorities. Sec.124(c)(5); 125(c)(3) ➢ projects and activities are derived from the approved State Plan. Sec.125(c)(5) ➢ takes into account the political, legal, and financial context in the state in preparation for developing priorities.	

Sec.124(c)(3) ➢ State plan is widely disseminated throughout the state. Sec.125(c)(7)	
Community Competence	***Comments***
The Council supports grassroots and community development that promotes independence, inclusion, self-determination, integration, participation and contribution.	
The Council: ➢ sponsors training, demonstration projects and other activities that support model practices and their replication. Sec.125(c) ➢ funded projects and activities are based upon the expressed needs and preferences of individuals with developmental disabilities and families. Sec.125(a) ➢ funded projects and activities are designed with the collaboration of individuals with developmental disabilities and families. Sec.125(a) ➢ projects and activities include individuals with developmental disabilities who are unserved and underserved minorities and are representative of the cultural and geographic diversity of the state. Sec.124(c)(5)(E) ➢ projects and activities are fully accessible, programmatically and physically, as designed by the ADA and related legislation. Sec.124(c)(5)(F)	
Systems Advocacy	***Comments***
The Council engages in systems change, advocacy and capacity building that improves services and supports for individuals with developmental disabilities.	
The Council: ➢ develops priorities for systems change that are consistent with its goals and objectives. Sec.125(a) ➢ assists in building coalitions of individuals and organizations concerned about developmental disabilities issues and utilizes participation in such coalition to further systems change, advocacy and capacity building. Sec.125(c)(5)(I) ➢ assists individuals with developmental disabilities and their families to advocate for systems change. Sec.125(c)(5)(C) ➢ presents information, strategies, findings, and	

recommendations to federal, state, or local policymakers. Sec.125(c)(5)(J) ➢ pursues a range of strategies to meet its systems change, advocacy and capacity building. Sec.125(c)(5)	
Public Awareness	***Comments***
The Council engages in activities that illustrate and promote valued social roles for people with developmental disabilities and the values of independence, self-determination, integration and inclusion.	
The Council: ➢ actively promotes positive images of individuals with developmental disabilities through public education and other outreach strategies. Sec.125(c)(5)(E) ➢ enhances opportunities for individuals with developmental disabilities to assume valued roles in their communities. Sec.125(c)(5)(C) ➢ materials are easily understood and available in a variety of formats. Sec.124(c)(5)F) ➢ materials are translated as necessary to accommodate the needs of significant cultural and ethnic minority groups in the state. Sec.124(c)(5)(I)))	

V. EVALUATION AND REPORTS

The Council regularly evaluates its effectiveness and whether its performance is consistent with its mission and priorities and the values and provisions of the DD Act.	
➢ The Council regularly provides opportunities for public comment on its performance by interested persons and groups. Sec.124(d) ➢ There are quality assurance practices to assess the consistency of activities with the Council's mission and priorities and legal mandates. Sec.124(c)(4); 125(c)(2) ➢ There is a system for measuring the progress of Council-funded activities and the extent to which they succeed in meeting the Councils mission, goals and objectives. Sec.125(c)(3) ➢ The Council evaluates its grant activities based on outcomes of increased independence, productivity, integration and inclusion of people supported by the	

activities. Sec.125(c)(3) ➢ Individuals with developmental disabilities participate in outcome evaluations of grant-funded activities. Sec.125(c)(1)	
Data management	***Comments***
The Council has data management systems (written policies and procedures that are followed by competent staff) in place that support ADD requirements.	
Data management occurs on some schedule (e.g. staff and contractors are expected to provide data at certain times; quality checks are performed at certain times)	
• Quality checks are in place to verify accuracy of reporting. • Quality control of data is done with primary sources • Data definitions and data entry instructions exist and are used • Reported outcomes are consistent with the 5-year state plan and amounts of funds made available for particular effort	

VI. FISCAL

Activities funded by the Council reflect the values of the DD Act and the State plan. Councils ensure that a wide range of people and organizations committed to these values throughout the state or territory have access to Council funds and support, including organizations and entities consisting of individuals with developmental disabilities and families.

The Council: ➢ prepares, approves and executes its budget consistent with the DD Act. Sec.125(c)(5)(B) ➢ funded activities are consistent with the Council's priorities and its mission and values. Sec.101(b) ➢ funded activities do not replace or supplant activities of other state agencies and non-federal funds. Sec.124C(c)(5) ➢ has a method to determine the non-federal share to be required for each project/activity and uses its ability to vary match depending on the nature of the activity. (the Council has a method to determine the non-federal share to be required for each project/activity with a match in the	

aggregate of 25% of project expenditures, 10% for projects addressing poverty areas.) Sec. 126 ➢ funds direct services only as a part of a short term strategy for systems change leading to funding from other sources. Sec.125(c)(5)(K)(i) ➢ has procedures for financial oversight of Council funded activities. Sec.125(c)(5)(B) ➢ provides special funding and technical assistance to entities that address the needs of urban and rural poverty areas. Sec.124(c)(5)(E)	

VII. DESIGNATED STATE AGENCY

➢ The DSA is expressly limited to receiving, disbursing, and accounting for funds in a manner consistent with law, providing assurances, and providing administrative support as requested by the Council.Sec.125(d)(3) ➢ If the DSA provides or pays for services to people with developmental disabilities, the Council routinely evaluates whether its placement continues to allow the Council's independence, and if necessary, makes a recommendation to the Governor regarding a more appropriate placement. Sec.125(c)(6) ➢ The DSA does not interfere with the planning, implementation and personnel of the Council.	

Tab C.3 - Council Best or Innovative Practices Checklist

Instructions: The elements below are criteria to use to identify a best or innovative practice. Although a practice does not need to excel in every one of the elements, it must be noticeably superior to what is regarded as common practice among grantees to qualify as a best or innovative practice. Reviewers should rely on information provided by the grantee and will need to use their personal judgment when determining if a practice does qualify as a best practice. A best practice may be a research or evaluation project, policy analysis, data assessment, outreach initiative or awareness effort. It may provide direct service or supported opportunity to people with developmental disability, indirect support to family and
community care givers or interdisciplinary training for students, fellows, professionals and policymakers. It may involve leadership development, community work or clinical practice. While best practices are diverse in their workings, they share these common characteristics:

ELEMENT #1: *It reaches the population of focus*
Grantee should explain how the practice reaches the population of focus and improves the lives of people with developmental disability, who are people with severe and multiple disabilities, without regard to disability label.

ELEMENT #2: *It is an effort characterized by quality*
Grantee demonstrates how this practice rises above the routine and can be fairly characterized as an outstanding or significant achievement due to model or innovative methods which are reasonable in cost; supported by individuals, families, policymakers and professionals; easily taught; replicable and adaptable by others.

ELEMENT #3: *Its impact is measurable*
Grantee can quantify the impact on people with developmental disabilities, families, community care givers, students, fellow, professionals, direct services and policy makers. Grantee can quantify
the result of the practice with respect to leadership development, community work, litigation, mediation or clinical practice. Grantee describes the impact in terms of increased services, new individual supports, additional access to enriching community opportunities, improved awareness, better compliance monitoring, new legal precedent or a trained workforce. Grantee demonstrates that impacts are sustainable.

ELEMENT #4: *It addresses the aspirations of individuals*
Grantee demonstrates how the practice supports individuals with developmental disabilities in exercising choice, self determination and control of resources and how the practice contributes to the ability of

individuals with developmental disabilities to live in the community in full and unqualified integration and inclusion with non-disabled peers and associates. The practice may, for example, provide access to safe and appropriate child care, after school services, public transportation, recreation, leisure and social activities; but it will certainly do so in the most integrated setting. It is often a practice which provides an opportunity to contribute and participate in the community, develop new friendships and lead a meaningful and productive life.

ELEMENT # 5: ***It is respectful in its methods***

Grantee demonstrates how the practice reflects a social service philosophy that uses the strengths, resources and capabilities of the individual, respects the individual's dignity and priorities. It and views the individual as the primary decision maker in the service delivery process. The design, focus and direction of such a practice are derived from the involvement of people with developmental disabilities and their families. They support access to generic services rather than isolation within services specific to disability. They are cultural competent and reflect the meaningful preferences of many different communities.

ELEMENT #6: ***It safeguards those it intends to benefit***

A best practice is one which is free of risk, abuse, exploitation, neglect or violation of civil rights.

Use the checklists below to describe best or innovative practices by identifying 2 or 3 of the most significant accomplishments during the past five years (or since the last MTARS visit). In your description, discuss the steps that the Council took to achieve the significant accomplishment.

BEST OR INNOVATIVE PRACTICES	
Accomplishment	***Description and Relevant Comments***
Describe accomplishment 1 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	
Describe accomplishment 2 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	
Describe accomplishment 3 – • Was it related to a goal in the 5-year application?	

• Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	

Tab C.4 - State Councils on Developmental Disabilities Fiscal Review Checklist

COUNCIL QUESTIONS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Section 122(b) Are the amounts paid to a State for a fiscal obligated by the end of the 2nd fiscal year?				
Section 124(c)(5)(B)(i) Was at least 70 percent of Federal funds expended for Area of Emphasis activities?				
Section 126(a)(1) Was the Federal share of the cost of all projects in the State 75% or less of the total aggregate necessary cost? *[Exceptions §126(a)(2) and §126(a)(3)]*				
Section 126(a)(2) Is the Federal share of all costs of projects whose activities or products target individuals with developmental disabilities who live in urban and rural poverty areas 90% or less of the aggregate necessary costs?				
Section 126(a)(3) Is the Federal share of all costs of projects undertaken by the Council not more than 100 percent of the aggregate necessary costs?				

Section 126(c)(1) The non-Federal share of the cost of any project supported by an allotment under this subtitle may be provided in cash or in kind, fairly evaluated, including plant, equipment and services. Describe the type of non-Federal funds received by the Council. (*The non-Federal share required by each recipient of a grant from a Council may vary*)				
Section 124(c)(5)(B)(iii); (iv) Has the System provided assurances to the HHS Secretary that the DD funds will be used to supplement, and not supplant, non-Federal funds?				

DESIGNATED STATE AGENCY (DSA)				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Section 125(d)(4)(B) With the agreement of the DSA, the Council may use or contract with agencies other than the DSA to perform the functions of the DSA. Is there a contract?				
Section 125(d)(3)(C)(i) Does the Designated State Agency receive, account for, and disburse funds? Describe.				
Section 125(d)(3)(C)(ii) Does the Designated State Agency provide for such fiscal control and fund accounting procedures as may be necessary to assure the proper disbursement of, and accounting for, funds? Describe.				
Section 125(d)(3)(D) The Designated State Agency shall keep and provide access to such records as the Secretary and Council may determine to be necessary. Does the DSA provide timely financial reports at the request of the Council regarding the				

status of expenditures, obligations, and liquidation by the agency or the Council, and the use of Federal and non-Federal shares.				
Section 125(d)(3)(G) On the request of the Council, the DSA shall enter into a memorandum of understanding with the Council delineating the roles and responsibilities of the DSA. Is there a MOU?				
Section 124(c)(5)(B)(vi) At the request of the State a portion of such funds provided to such State shall be available to pay up to ½ (or the entire amount if the Council is the designated State agency) of the expenditures found to be necessary by the Secretary for the proper and efficient - provided not more than 5 percent of such funds provided to such State for any fiscal year, or $50,000, whichever is less . Does the Council pay the State for DSA functions? How much?				
Section 124(c)(5)(B)(vii) Not more than 20 percent of such funds will be allocated to the DSA for service demonstrations by such agency. If the Council funds demonstration projects with the DSA, is the percentage 20% or less of their allocation?				

FEDERAL FINANCIAL STATUS REPORTS & A-133 AUDITS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 74.21; 74.52; 92.20 Financial data and records were used in preparing the SF-269s for the budget period. a. Does the grantee's SF-269 reports correspond with the accounting records?				

b. Can the grantee readily identify how financial data from its accounting records were transferred to the Federal financial reports? c. Does the grantee maintain documentation that supports the line items reported?				
Does the System have adequate and audited fiscal controls/policies and record-keeping procedures?				
45 CFR 72.26; 92.26 Does the organization prepare audited financial statements and have an A-133 audit annually?				
Do subcontractors of the System also meet audit requirements and record-keeping procedures?				

PROCUREMENT				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 74.43; 92.36 Are procurement transactions, whether negotiated or advertised, and regardless of dollar value, conducted in a manner providing maximum open and free competition?				

PROPERTY				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 74.34; 92.32 Does System's property management standards for nonexpendable personal property include the following procedural requirements: a. Description of property b. Serial Number c. Source of equipment				

d. Name on title e. Acquisition date f. Cost of equipment g. % of Federal dollar (program dollars) used h. Current location, use, and condition of equipment i. Disposition data, including sale price, if applicable				
45 CFR 74.34; 92.32 Is there evidence of the Council conducting a physical inventory of property at least once every two years and verifying this with property records?				
45 CFR 74.34; 92.32 Is a control system in effect to ensure adequate safeguards to prevent loss, damage, or theft to the property? Is any loss, damage, or theft of nonexpendable personal property investigated and fully documented?				

PAYROLL, ACCOUNTING & INTERNAL CONTROLS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 1386.20(a) Has the System implemented the necessary procedures to assure the proper disbursement of and accounting for Federal funds? Describe.				
Does the organization have formal travel policies or consistently followed procedures?				
Do policies require prior approval of expenditures, documentation of amounts charged, and limit the amount and types of expenses that can be incurred?				
45 CFR 74.21(b)(5); 92.20(b)(7) Are cash requirements and/or cash draw downs on letter of credit limited to immediate needs?				

(check last bank statement for unreasonably large cash balances).				

Tab C.5 - Council Chair Checklist

- Were you informed of the MTARS Review and involved in gathering the materials to be submitted to ADD?
- Did you have the opportunity to review the submitted materials?
- Are you involved/aware of the Public Forum opportunity?
- What do you think or believe the purpose of the MTARS visit is to be?
- As Council Chair, what do you perceive your roles to be other than chairing council meetings?
- What kinds of staff support do you receive in carrying out your duties as Chair?
- Tell us about your relationship with the Executive Director.
- How do you evaluate the Executive Director (forms/timeline)?
- What happens after the Executive Director's evaluation – raise, etc.?
- Do you have interactions with the rest of the staff? If so, please describe?
- Is an Orientation Session held for new members? If so, tell us about the information covered in that session.

- Do you feel well versed in the issues facing the Council in the following areas: 1) personnel; 2) membership; 3) financial; 4) state and national issues? If not, what prevents you from being more knowledgeable?

- How does your Council prepare its State Plan and annual amendments?

- In your opinion, what are the three most significant projects the Council is working on at the current time?

Tab D.1 – P&A Compliance Checklist

Due Date for Checklist:	
ADD Mailing Address	Administration on Developmental Disabilities Administration for Children and Families U.S. Department of Health and Human Services 370 L'Enfant Promenade, S.W. MAIL STOP: Humphrey Building, 405D Washington, D.C. 20447
Team Member Mailing Address	
Team Member Mailing Address	

I. COLLABORATION		
I.1 DD Network Collaboration	***Document***	***Interview***
The P&A maintains collaborative relationships with the Council and the UCEDD. Sec.104(a)(3)(D)(iii)		
Comments:		

II. ORGANIZATIONAL ADMINISTRATION		
II.1 Staff	***Document***	***Interview***
The P&A hires and maintains sufficient numbers and types of qualified staff to carry out its functions and is not subject to State policies such as hiring freezes, reductions in force, and prohibitions on travel that would impact the staff or functions of the system funded with Federal funds. Sec.143(a)(2)(K)		

Comments:		
P&A staff are trained and experienced in the investigation of abuse and neglect. 45 CFR 1386.21(e)		
Comments:		
P&A staff are trained and experienced in the representation of individuals with developmental disabilities regarding rights violations. 45 CFR 1386.21(e)		
Comments:		
II.2 Authority and Independence	***Document***	***Interview***
The P&A has the authority to pursue legal, administrative and other appropriate remedies to ensure the protection of the rights of individuals with developmental disabilities individuals with developmental disabilities who are, or may be, eligible for treatment, services or habilitation or who are being considered for a change in living arrangements, with particular attention to members of ethnic and racial minority groups. Sec.143(a)(2)(A)(i)		
Comments:		
The P&A has the authority to provide information and referral to programs and services. Sec.143(a)(2)(A)(ii)		
Comments:		
The P&A has the authority to investigate incidents of abuse and neglect of individuals with developmental disabilities if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred. Sec.143(a)(2)(B)		

Comments:		
The P&A has policies or practices that preserve the authority of the P&A and do not restrict the remedies which may be sought on the behalf of individuals with developmental disabilities. 45 CFR 1386.21(c)		
Comments:		
The P&A has policies or practices that do not compromise the authority of the P&A to pursue remedies through litigation, legal action or other forms of advocacy. 45 CFR 1386.21(c)		
Comments:		
The P&A is not administered by the State Council on Developmental Disabilities. Sec143(a)(2)(F)		
Comments:		
The P&A is independent of any agency that provides treatment, services, or habilitation to individuals with developmental disabilities. Sec.143(a)(2)(G)		
Comments:		
No State law diminishes the required authority of the P&A. 45CFR 1386.21(f)		
Comments:		
The P&A is free from any State policies which impact the ability of the staff or the functions of the P&A which would prevent the P&A from carrying out its mandates under the Act. 45 CFR 1386.21(d)		
Comments:		
If the P&A is in state government, there are specific		

provisions which protect its operations from hiring freezes, training limitations, restrictions on obtaining and maintaining equipment, materials and supplies and services. Sec.143(1)(2)(K)		
Comments:		

III. MEMBERSHIP		
III.1 Board Composition & Selection	***Document***	***Interview***
If the P&A is organized as a private nonprofit entity with a multimember governing board, or a public system with a multimember governing board, such governing board shall be selected according to the policies and procedures of the system. Sec.144(a)		
Comments:		
The governing board shall be composed of members who broadly represent or are knowledgeable about the needs of the individuals served by the system. Sec.144(1)(A)		
Comments:		
A majority of the board members shall be individuals with disabilities, including individuals with developmental disabilities who are eligible for, have received or are receiving services through the system; or parents, family members, guardians, advocates, or authorized representatives of such individuals. Sec.144(1)(B)		
Comments:		
The board may include a representative of the State Council on Developmental		

Disabilities, the University Center for Excellence in Developmental Disabilities Education, Research and Service (UCEDD) in the State, and self-advocacy organizations. Sec.144(1)(C)		
Comments:		
Not more than 1 /3 of the members of the governing board may be appointed by the chief executive officer of the State involved, in the case of any State in which such officer has the authority to appoint members of the board. Sec.144(a)(2)		
Comments:		
The membership of the governing board shall be subject to term limits set by the system to ensure rotating membership. Sec.144(a)(3)		
Comments:		
Vacancies are filled in a timely manner. Sec.144(a)(4)		
Comments:		
Board members are not selected or appointed to represent any agency providing treatment, services or habilitation. Sec143(a)(2)(G)		
Comments:		
III.2 Governing Board Duties	***Document***	***Interview***
The P&A has policies and practices that provide a voice for individuals with developmental disabilities on its governing board or advisory board. 45 CFR 1386.21(g)		

Comments:		
III.3 Advisory Council	***Document***	***Interview***
If the P&A is organized as a public system without a multimember governing or advisory board, the system shall establish an advisory council. Sec.144(a)(5); 45 CFR 1386.21(g)		
Comments:		
The advisory Council shall advise the system on policies and procedures to be carried out by the P&A. Sec144(a)(5)(A); 45 CFR 1386.21(g)		
Comments:		

IV. PROGRAM ADMINISTRATION		
IV.1 Planning	***Document***	***Interview***
By January 1 of each year, the P&A shall submit an Annual Statement of Goals and Priorities (SGP) that describes ➢ the priorities and selection criteria for P&A's individual advocacy casework; ➢ the systemic advocacy work and training activities, ➢ the outcomes the P&A strives to accomplish; ➢ how the P&A operates; and, ➢ how it coordinates with other P&A programs in the State. 45 CFR 1386.23(c).		
Comments:		
Annually, members of the public, including individuals with developmental disabilities, and other advocates shall be given an		

opportunity to comment on the goals, priorities and activities of the P&A. Sec.143(a)(2)(D) Each fiscal year, the P&A shall: ➢ obtain formal public input on its Statement of Goals and Priorities (SGP); ➢ provide for broad distribution of the proposed SGP for the next fiscal year in a manner accessible to individuals with development disabilities and the representatives and allow at least 45 days from the date of distribution for comment; ➢ provide the State Council on Developmental Disabilities and the University Center a copy of the proposed SGP for comments concurrently with the public notice; ➢ incorporate or address comments received in the final SGP submitted to the Department; and, ➢ address how the P&A, State Council on Developmental Disabilities, and the University Center will collaborate with each other and with other public and private entities. 45 CFR 1386.23(d).		
Comments:		
On an annual basis, the P&A develops, submits to the Secretary, and takes action with regard to goals (each of which is related to 1 or more areas of emphasis) and priorities, developed through data driven strategic planning, for the system's activities. Sec.143(a)(2)(C)		
Comments:		

IV.2 Confidentiality	***Document***	***Interview***
The P&A has policies and practices to keep confidential all information contained in a client's record. 45 CFR 1386.22(e)(1)		
Comments:		
The P&A system has written policies governing access to, storage of, duplication of, and release of client information. 45 CFR 1386.22(e)(2)		
Comments:		
The P&A has policies and practices that assure the P&A has written consent from the client or his or her guardian before releasing information to individuals not otherwise authorized to receive it. 45 CFR 1386.21(i).		
Comments:		
The P&A has authority to keep confidential the names and identity of individuals who report incidents of abuse and neglect. 45 CFR 1386.22(e)(3).		
Comments:		
IV.3 Client Eligibility & Case Selection	***Document***	***Interview***
The P&A has developed case or client acceptance criteria as part of its annual priority setting process. 45 CFR 1386.21(c)		
Comments:		
Clients are informed at the time they apply for services of the case or acceptance criteria. 44 CFR 1386.21(c)		
Comments:		

IV.4 Legal Representation	***Document***	***Interview***
The P&A represents individuals with developmental disabilities in lawsuits against the State or any agency or instrumentality of the state without limitation. Sec.144(b)(1).		
Comments:		
The P&A provides assistance in a manner that is consistent with section 5 of the Assisted Suicide Funding Restriction Act of 1997. Sec.144(b)(3).		
Comments:		
IV.5 Investigations of Abuse and Neglect	***Document***	***Interview***
The P&A investigates incidents of abuse and neglect of individuals with developmental disabilities if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred. Sec.143(a)(2)(B).		
Comments:		
The P&A has access to individuals with developmental disabilities and records as provided in the Act and regulations. Sec.143(a)(2)(H), (I) and (J)		
Comments:		
IV.6 Access to Individuals with Developmental Disabilities	***Document***	***Interview***
The P&A has access at reasonable times to any individual with a developmental disability in a location in which services, supports and other assistance are provided. Sec.143(a)(2)(H); 45 CFR		

1386.22(f)		
Comments:		
The P&A has the opportunity to interview any facility service recipient, employee, or other persons, including the person thought to be the victim of an incident of abuse or neglect, who might be reasonably believed by the P&A to have knowledge of the incident under investigation. 45 CFR 1386.22(f)		
Comments:		
The P&A has opportunity to inspect, view and photograph all areas of a facility's premises that might be reasonably believed by the P&A to have been connected with an incident of abuse or neglect. 45 CFR 1386.22(f)		
Comments:		
The P&A and all of its authorized agents have unaccompanied access to all residents of a facility at reasonable times to monitor compliance with respect to the rights and safety of service recipients. 45 CFR 1386.22(g)		
Comments:		
The P&A and all of its authorized agents have unaccompanied access to all residents of a facility at reasonable times to provide: ➢ information and training on, and referral to, programs addressing the needs of individuals with developmental disabilities and the P&A services		

including the name, address, and telephone number of the P&A; ➢ other information and training about individual rights. 45 CFR 1386.22(g)		
Comments:		
The P&A has unaccompanied access to all residents of a facility including the opportunity to meet and communicate privately with individuals, both formally and informally, by telephone, mail and in person. 45 CFR 1386.22(h)		
Comments:		
IV.7 Access to Records	***Document***	***Interview***
The P&A shall have access to records of clients if such person, legal guardian, conservator or other legal representative has authorized such access or where a complaint has been received about the individual or there is probable cause that the individual has been subject to abuse or neglect. Sec.143(a)(2)(I).		
Comments:		
The P&A shall have access to the records that are relevant to conducting an investigation not later than 3 business days after the system makes a written request for the records and have immediate access not later than 24 hours after the system makes such a request to the records without consent from another party. Sec.143(a)(2)(J).		
Comments:		
The State provides the P&A with a copy of		

each independent review of an ICF/MR within the state not later then 30 days after the availability of such review about the adequacy of health care and other services, supports and assistance received by individuals with developmental disabilities through home and community-based waivers. Sec.143(a)(3).		
Comments:		
IV.8 Grievances	***Document***	***Interview***
The P&A shall establish a grievance procedure for clients or prospective clients to ensure that individuals with developmental disabilities have full access to services of the system. Sec.143(a)(2)(E)		
Comments:		

V. EVALUATION AND REPORTS

Program Performance Report	***Document***	***Interview***
By January 1 of each year the P&A shall submit an Annual Program Performance Report in a format designated by the Secretary. Sec. 144 (e); 45 CFR 1386.23(a); 45 CFR 1386.23		
Comments:		

VI. FISCAL

	Document	***Interviews***
Grantee shall keep records that disclose: ➢ Amount and disposition of assistance by recipient ➢ Total cost of project or undertaking in connection with assistance given		

➢ Amount of project costs supplied by other sources ➢ Such other records that will facilitate an effective audit Sec.103		
Comments:		
In a State in which the system is housed in a State agency, the State may use not more than 5 percent of any allotment under this subsection for the costs of monitoring the administration of the system. Sec.142(a)(5)		
Comments:		
Attorney fees are considered program income and must be added to the funds committed to the program and used to further the objectives of the program. This requirement shall apply to all attorney fees, including those earned by contractors and those received after the project period in which they were earned. 45 CFR 1386.24(b)		
Comments:		
Expenditures and obligations are reported semiannually by SF 269. 45 CFR 1386.23(b)		
Comments:		
The P&A may use its allotments to bring lawsuits in its own right to redress incidents of abuse or neglect, discrimination and other rights violations impacting on individuals with developmental disabilities to obtain access to records and when it		

appears on behalf of named plaintiffs or a class of plaintiff for such purposes. 45 CFR 1386.25		
Comments:		
Funds have been obligated within one year of the close of the Federal fiscal year in which they were awarded. Sec.142(c)		
Comments:		
Obligated funds have been liquidated within two years of the close of the Federal fiscal year in which they were awarded. 45 CFR 1386.3(a)		
Comments:		
The P&A provides assurances to the Secretary that funds will be used to supplement, and not supplant, non-Federal funds. Sec.143(a)(2)(M)		
Comments:		
Amounts received through court judgments are used only for furthering the purposes of protecting and advocating for the legal and human rights of individuals with developmental disabilities and shall not be used to augment payments to legal contractors or to award personal bonuses. Sec.144(b)(2)		
Comments:		
The P&A system has implemented the necessary procedures to assure the proper disbursement of and accounting for Federal funds. 45 CFR 1386.20(a)		
Comments:		

VII. DESIGNATED STATE AGENCY		
VII.1 DD Act requirements for DSA	***Document***	***Interview***
Where a private non-profit agency serves as the P&A system, a state representative is designated to receive notices of disallowances and/or non-compliance. 45 CFR 1386.20(c)		
Comments:		

Tab D.2 – P&A Program Operation and Practices Checklist

I. COLLABORATION	
Collaboration	***Comments***
Collaboration is an integral part of the P&A scope of work. The DD Act includes requirements for collaboration across the DD network and with community partners. In addition, P&As have unique opportunities to collaborate with local, state, and national organizations and agencies. Effective collaboration strengthens the P&A's ability to outreach and engage multiple audiences in projects and activities.	
The P&A coordinates its advocacy efforts and collaborates with other advocacy programs, parent training and information centers, long-term care ombudsman programs, and other federally funded P&A programs in the State. Sec.143(a)(2)(D)(ii)	

II. ORGANIZATIONAL ADMINISTRATION	
Mission	***Comments***
The P&A has a clear mission statement consistent with the purpose and mandates of the Act. Sec.101(b), 101(c), 141, 143.	
Organizational Policies	***Comments***
The P&A has written conflict of interest policy, fiscal and personnel policies, and any other policies relevant to the operation of the P&A. Sec.144; 45 CFR 1386.21, 1386.24, 1386.	
The P&A has no administrative links to any service providing agency.	
Authority	***Comments***
By-laws and Policies assure the independence of the P&A. Sec143(a)(2)(F)	
Articles of incorporation, by-laws, assurances of the governor, implementing statutes and executive orders do not limit the authority mandated to the P&A in the Act. Sec.143(a)(2)(A)(i)	
The P&A has the authority to educate policymakers. Sec.143(a)(2)(L)	
Staff	***Comments***
Staff has opportunities for training and skill development consistent with the established activities and priorities. 45 CFR 1386.21(e)	
The P&A takes affirmative action to employ and advance qualified individuals with disabilities. Sec.107	

III. MEMBERSHIP	
Support to Board and Council Members	***Comments***
P&A practices encourage the participation of individuals with developmental disabilities and family members in leadership positions on the governing board or advisory council. Sec.144(a)(1)(A)	
New members are provided with an orientation to the values, mission, and federal mandates of the P&A and their roles and responsibilities as governing board or advisory council members. Sec.144.(a)(1)(A)	
P&A governing board or advisory council members are provided with information about the service system for and the needs of individuals with developmental disabilities. Sec.144(a)(1)(A)	
P&A provides for on-going opportunities for members of its governing board or advisory council to attend conferences, workshops and other training events. Sec.144(a)(1)(A)	
Policies for Boards and Councils	
If the P&A is required to have an advisory council, there are written operating procedures for the advisory council that set out the advisory council's duties and responsibilities; process for selection of membership; membership criteria and assure that a majority of the membership are consumers or family members. Sec.144(a)(5); 45 CFR 1386.21(g)	
The P&A has written policies in place that govern participation, attendance, membership terms and rotation, election of officers, and membership term limits. Sec.144.	
By-laws and written policies provide for a process for the selection of governing board members or advisory council members who broadly represent the needs of individuals with developmental disabilities and who reflect the racial and ethnic diversity of the State. Sec.101(c); 144(a)	
The P&A has a recruitment process to identify individuals with developmental disabilities or family members, guardians, advocates for membership on the governing board or advisory council. Sec.144(a)(1)(B)	

IV. PROGRAM ADMINISTRATION	
Planning	***Comments***
The P&A implements an annual planning process to establish goals and priorities. It engages in a strategic planning process that is data driven and produces goals that reflect the P&A mission and are related to areas of emphasis within the Act. Sec.143(a)(2)(C)	
P&A has a data information system in place to describe its goals and the extent to which the goals were achieved, barriers to their achievement, the process used to obtain public input, the nature of the input and how such input was use. Sec.144 (e); 45 CFR 1386.23(a)	
Activities of the P&A are consistent with its annual Statement of Priorities, and its mission and values.	
The P&A investigates alleged incidents of abuse and neglect consistent with its annual priorities and available resources, if the incidents are reported to the P&A or if there is probable cause to believe that the incidents occurred as determined by the P&A. Sec143(a)(2)(B)	
Program Policies and Practices	***Comments***
The P&A policies or practices provide for a broad range of remedies or approaches through litigation, legal action or other forms of advocacy to protect and advocate the rights of individuals with developmental disabilities. Sec143; 45 CFR 1386.21(c)	
The P&A has written by-laws, policies and procedures for program operations including the intake process, confidentiality, legal advocacy program, information and referral process, systemic advocacy work and training activities. Sec.144; 45 CFR 1386.21, 1386.24, 1386.	
P&A policies and practice on confidentiality provide for the protection of the identity of, or any other personally identifiable information related to any individual requesting assistance. 45CFR 1386.22(e)(2)	
The P&A has written policies on case selection and eligibility consistent with its annual goals and priorities. 45 CFR 1386.21I; 1386.24(a)(1)	

Information and Referral	*Comments*
P&A has a program that provides information and referral services including written materials that are easy to understand and accessible in formats and languages other than English. Sec.143(a)(2)(A)(ii)	

V. EVALUATION AND REPORTS	
P&A annually evaluates its effectiveness and whether its performance is consistent with its mission and priorities and the values and provisions of the DD Act. Sec.143(a)(2)(C)	
The governing board or advisory council regularly receives reports on grievance outcomes. Sec.143(a)(2)(E).	
The P&A provides opportunities for the public to comment on its performance by interested persons and groups. Sec143(a)(2)(D)	

VI. FISCAL	
P&A has adequate and audited fiscal controls, policies and written recordkeeping procedures. 45 CFR 1386.20(a)	
Allowable costs include the Protection and Advocacy System providing disability related technical assistance information and referral to appropriate programs and services. 45 CFR 1386.24.	
Allotments are paid directly to the P&A system. Sec142(b)	

Tab D.3 - Protection & Advocacy Best or Innovative Practices Checklist

Instructions: The elements below are criteria to use to identify a best or innovative practice. Although a practice does not need to excel in every one of the elements, it must be noticeably superior to what is regarded as common practice among grantees to qualify as a best or innovative practice. Reviewers should rely on information provided by the grantee and will need to use their personal judgment when determining if a practice does qualify as a best practice. A best practice may be a research or evaluation project, policy analysis, data assessment, outreach initiative or awareness effort. It may provide direct service or supported opportunity to people with developmental disability, indirect support to family and
community care givers or interdisciplinary training for students, fellows, professionals and policymakers. It may involve leadership development, community work or clinical practice. While best practices are diverse in their workings, they share these common characteristics:

ELEMENT #1: *It reaches the population of focus*
Grantee should explain how the practice reaches the population of focus and improves the lives of people with developmental disability, who are people with severe and multiple disabilities, without regard to disability label.

ELEMENT #2: *It is an effort characterized by quality*
Grantee demonstrates how this practice rises above the routine and can be fairly characterized as an outstanding or significant achievement due to model or innovative methods which are reasonable in cost; supported by individuals, families, policymakers and professionals; easily taught; replicable and adaptable by others.

ELEMENT #3: *Its impact is measurable*
Grantee can quantify the impact on people with developmental disabilities, families, community care givers, students, fellow, professionals, direct services and policy makers. Grantee can quantify
the result of the practice with respect to leadership development, community work, litigation, mediation or clinical practice. Grantee describes the impact in terms of increased services, new individual supports, additional access to enriching community opportunities, improved awareness, better compliance monitoring, new legal precedent or a trained workforce. Grantee demonstrates that impacts are sustainable.

ELEMENT #4: *It addresses the aspirations of individuals*
Grantee demonstrates how the practice supports individuals with developmental disabilities in exercising choice, self determination and control of resources and how the practice contributes to the ability of

individuals with developmental disabilities to live in the community in full and unqualified integration and inclusion with non-disabled peers and associates. The practice may, for example, provide access to safe and appropriate child care, after school services, public transportation, recreation, leisure and social activities; but it will certainly do so in the most integrated setting. It is often a practice which provides an opportunity to contribute and participate in the community, develop new friendships and lead a meaningful and productive life.

ELEMENT # 5: ***It is respectful in its methods***

Grantee demonstrates how the practice reflects a social service philosophy that uses the strengths, resources and capabilities of the individual, respects the individual's dignity and priorities. It and views the individual as the primary decision maker in the service delivery process. The design, focus and direction of such a practice are derived from the involvement of people with developmental disabilities and their families. They support access to generic services rather than isolation within services specific to disability. They are cultural competent and reflect the meaningful preferences of many different communities.

ELEMENT #6: ***It safeguards those it intends to benefit***

A best practice is one which is free of risk, abuse, exploitation, neglect or violation of civil rights.

Use the checklists below to describe best or innovative practices by identifying 2 or 3 of the most significant accomplishments during the past five years (or since the last MTARS visit). In your description, discuss the steps that the P&A took to achieve the significant accomplishment.

BEST OR INNOVATIVE PRACTICES	
Accomplishment	***Description and Relevant Comments***
Describe accomplishment 1 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	
Describe accomplishment 2 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	
Describe accomplishment 3 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved?	

• What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	

Tab D.4 - Protection & Advocacy System Case File Review

P&A Case File Review Protocol for MTARS

ADD conducts monitoring and technical assistance reviews of the DD network programs periodically depending on available resources. Review of a sampling of client case eligibility records is a required element of the P&A monitoring visit. The DD Act authorizes ADD to have access to these records[1], but precludes access to any personal identifying information[2]. Further, the regulation explicitly states that P&As may obtain consent from all clients to have information related to client and case eligibility disclosed to ADD[3].

Given this authority, and pursuant to the results of ADD's test of a streamlined protocol for accomplishing the onsite review of client and eligibility case files for the five 2005 monitoring reviews, ADD will continue to use the streamlined protocol.

The purpose of the case file review is to ascertain and certify that the clients meet the eligibility criteria for developmental disability and that the case handling procedures are timely, reasonable and complete from intake to formal closure.

ADD will use the attached questionnaire (developed by Lois Simpson, Executive Director, Louisiana P&A, 2004) to guide the "non-hands-on" case file review conducted jointly by the MTARS team and the Legal Director/managing attorney and/or other P&A staff who will handle the selected case files.

Case File Review Protocol

- In advance of the monitoring visit, the P&A will provide to the P&A MTARS Team Leader a list of up to 100 cases by case number and status (including open, closed, and designated information and referral, full representation, etc.), in which ADD funds are/were used during the period of the review.
- MTARS Team Leader will select at least 10 cases at random for review and notify the P&A Executive Director.
- The P&A Executive Director and the MTARS Team Leader will agree upon the date and time for the case file review, during which the Legal Director/managing attorney and/or other P&A staff who are knowledgeable about

[1] See Sect. 103(b) of the DD Act, 42 U.S.C. §15003(b)
[2] See 42 U.S.C. §15044(c) and 45 C.F.R. §1385.9(e)(1) and §1385.9(e)(2).
[3] See Id. 1385.9(e)(2)

the selected cases will be available to participate in the review to answer questions and handle the case files. At no time will the MTARS team seek or have access to personal identifying information.

- For the cases selected for review, the P&A will have the paper files on site at the location designated for the case file review and, for those parts of the file that are electronically maintained, P&A staff will be able to access the electronic records during the course of the MTARS review.
- P&As may also provide certain information to the MTARS review team by sharing copies of the "face page" or other documents from electronic or paper files with personal identifying information of clients redacted.
- During each case file review, the MTARS team will note whether the case file is in order (eligible, timely, reasonable and complete) and if not, will recommend corrective action.
- The P&A must certify that all client case files are stored under lock and key to be in compliance with the regulations implementing the DD Act[4].

[4] See 45 C.F.R. §1386.22 (e)

KEY ELEMENTS OF A CASE FILE REVIEW

- Is there evidence that the client meets the eligibility criteria for developmental disability?
- Does the issue in the case conform to one of the priorities set by the P&A?
- Is there a retainer agreement that clearly states what the P&A will do for the client?
- Is there evidence that action on the case began promptly and proceeded at a reasonable pace?
- Is there evidence that the client was kept informed about progress on the case?
- Is there evidence that sufficient research and document review was carried out in order to achieve the client's objective?
- Was the expected outcome of the case achieved for the client?
- If not, why not?
- Is there evidence that the client was notified when the case was formally closed?

Tab D.5 - Protection & Advocacy System Fiscal Review Checklist

SYSTEM QUESTIONS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Section 142(a)(5) In a State in which the System is housed in a State agency, does the System use less than 5% of their allotment for the cost of monitoring the administration of the system? What is the percentage?				
45 CFR 1386.20(c) Where a private non-profit agency serves as the System, is there a state representative designated to receive notices of disallowances and/or non-compliance? Who is the representative?				
Section 142(c) Have the Federal funds been obligated within one year of the close of the Federal fiscal year in which they were awarded? [*For the past closed year]*				
45 CFR 1386.3(a) Have the obligated Federal funds been liquidated within two years of the close of the Federal fiscal year in which they were awarded? [*For the past closed year]*				
Section 143(a)(2)(M) Has the System provided assurances to the HHS Secretary that the DD funds will be used to supplement, and not supplant, non-Federal funds?				
Section 144(b)(2) Have amounts received through court judgments been used only for furthering the purposes of the DD program and not to augment payments to legal contractors or to award personal bonuses? What procedures are in place?				

45 CFR 1386.24; 45 CFR 72.24 Non-allowable costs include those costs incurred for activities on behalf of individuals with developmental disabilities to solve problems not directly related to their disabilities and which are faced by the general populace. Does the System engage in such activities (e.g., preparation of wills, divorce decrees and real estate proceedings)?				
Are attorneys fees considered program income and added to the funds committed to the program and used to further the objectives of the program? *The requirement applies to all attorneys' fees, including those earned by contractors and those received after the project period in which they were earned.*				
FEDERAL FINANCIAL STATUS REPORTS & A-133 AUDITS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 74.21; 74.52; 92.20 Financial data and records were used in preparing the SF-269s for the budget period. a. Does the grantee's SF-269 reports correspond with the accounting records? b. Can the grantee readily identify how financial data from its accounting records were transferred to the Federal financial reports? c. Does the grantee maintain documentation that supports the line items reported?				
Does the System have adequate and audited fiscal controls/policies and record-keeping procedures?				
45 CFR 72.26; 92.26 Does the organization prepare audited financial statements and have an A-133 audit annually?				
Do subcontractors of the System also meet audit requirements and record-keeping procedures?				
45 CFR 74.21; 92.20 Are written procedures in place to determine the allowability, allocability and reasonableness of costs?				

45 CFR 74.22(K) & (L); 92.21 Does the System earn interest on Federal funds? If yes, does the System have procedures in place to return interest earning to the Federal government?				
45 CFR 74.27; 31, & 48; Part 92.22 Has the System secured and keep in force, during operation period, adequate insurance coverage to protect against losses?				
PROCUREMENT				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 74.43; 92.36 Are grantee procurement transactions, whether negotiated or advertised, and regardless of dollar value, conducted in a manner providing maximum open and free competition?				
PROPERTY				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 74.34; 92.32 Does System's property management standards for nonexpendable personal property include the following procedural requirements: a. Description of property b. Serial Number c. Source of equipment d. Name on title e. Acquisition date f. Cost of equipment g. % of Federal dollar (program dollars) used h. Current location, use, and condition of equipment i. Disposition data, including sale price, if applicable				
45 CFR 74.34; 92.32 Is there evidence of the System conducting a physical inventory of property at least once every two years and verifying this with property records?				
45 CFR 74.34; 92.32 Is a control system in effect to ensure adequate safeguards to prevent loss, damage,				

or theft to the property? Is any loss, damage, or theft of nonexpendable personal property investigated and fully documented?				
PAYROLL, ACCOUNTING & INTERNAL CONTROLS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
45 CFR 1386.20(a) Has the System implemented the necessary procedures to assure the proper disbursement of and accounting for Federal funds? Describe.				
Does the payroll distribution system account for the total effect (100%) for which the employees is compensated by the organization and are the charges appropriately allocated to funding sources?				
Does preparation of the payroll require more than one employee?				
Is the payroll verified at regular intervals against the personnel records?				
Is the payroll bank account reconciled by someone other than payroll staff or personnel who sign or distribute the pay checks?				
Does the organization have formal travel policies or consistently followed procedures?				
Does the organization have internal procedures to control the use of organizational credit cards, access to credit cards, and prohibit any personal expenditures?				
Do policies require prior approval of expenditures, documentation of amounts charged, and limit the amount and types of expenses that can be incurred?				
Is there a separation of responsibility in the receipt, payment, and recording of cash? a. Is the signing of checks limited to those designated officials whose duties exclude posting and/or recording cash received, approving vouchers for payment, and payroll preparation?				
Are accounting entries supported by appropriate				

documentation (e.g., purchase orders, vouchers, and vendor payments)?				
Are all checks pre-numbered and accounted for when general purpose bank account is reconciled?				
If a mechanical or facsimile signature is used for cash disbursements, is the signature plate, die, key, electronic card, etc. under strict control?				
Are bank accounts reconciled by persons not handling cash in the organization?				
Are all employees who handle funds required to be bonded against loss by reason of fraud or dishonesty?				
Does the organization have a written allocation plan for administrative costs and/or a negotiated cost rate?				
Are persons in the organization who approve budget amendments authorized to do so by the Board of Directors or top management?				
45 CFR 74.21(b)(5); 92.20(b)(7) Are cash requirements and/or cash draw downs on letter of credit limited to immediate needs? (check last bank statement for unreasonably large cash balances).				

Tab E.1 - UCEDD Compliance Checklist

Due Date for Checklist:	
ADD Mailing Address	Administration on Developmental Disabilities Administration for Children and Families U.S. Department of Health and Human Services 370 L'Enfant Promenade, S.W. MAIL STOP: Humphrey Building, 405D Washington, D.C. 20447
Team Member Mailing Address	
Team Member Mailing Address	

I. COLLABORATION		
I.1.DD Network Collaboration	***Document***	***Interview***
The UCEDD maintains collaborative relationships with the State Council on Developmental Disabilities and the State Protection and Advocacy Agency. Sec. 104 (a)(3)(D)(iii)	• 5-year application (specify pages) • Working documents developed by DD Council, P&A, and UCEDD • Other:	• Executive Directors • Faculty/Staff • Community members/Public Forum • Other:
Comments:		
I.2.Community Collaborations	***Document***	***Interview***
The UCEDD actively participates in community networks and has a range of collaborating partners. Sec. 101(b)(3)	• 5-year application (specify pages) • Annual Report (specify pages) • Working documents • Other:	• Community partners/organizations • UCEDD Director/Faculty/ Staff • Other:
Comments:		
UCEDD direct services interact with and involve community members, agencies, and organizations.	• 5-year application (specify pages) • Annual Report (specify pages)	• Community partners/organizations • UCEDD Director/Faculty/ Staff

Sec. 101 (b)(3)(B) & Sec. 153 (a)(2)(B)	• Working documents • Other:	• Other:
Comments:		
The UCEDD maintains cooperative relationships with other community service providers, including specialized state and local providers agencies. Sec. 101 (b)(3)(B) & Sec. 153 (a)(2)(B)	• 5-year application (specify pages) • Annual Report (specify pages) • Working documents • Other:	• Community partners/organizations • State/local partners • UCEDD Director/Faculty/ Staff • Other:
Comments:		

II. ORGANIZATIONAL ADMINISTRATION

II.1.Organization	***Document***	***Interview***
The UCEDD has an agreement to operate as an independent Center within the Institute of Higher Education to carry out the core functions of interdisciplinary pre-service preparation and continuing education, community services and technical assistance, research, and information dissemination. Sec. 153.	• Memorandum of Understanding or similar document • Other:	• University Provost/President • Relevant leadership personnel • Other:
Comments:		
Services, supports, and other assistance are provided in a manner that demonstrates respect for individual dignity, personal preferences, and cultural differences. Sec. 101(c)(4).	• 5-year application (specify pages) • Annual Report (specify pages) • Other:	• UCEDD Director, faculty, staff, • Individuals with developmental disabilities • Family members • Other:
Comments:		

II.2 Staffing	***Document***	***Interview***
The UCEDD has a director with: ➢ Appropriate academic credentials; ➢ Demonstrated leadership; ➢ Expertise regarding developmental disabilities; ➢ Significant experience in managing grants and contracts; and ➢ The ability to leverage public and private funds. Sec. 154 (a)(3)(G).	• CV/Resume • 5-year application (specify pages) • Other:	• University Provost/President • Department Chair • UCEDD Director • UCEDD faculty/staff • Consumer Advisory Committee • Individuals with developmental disabilities • Family members • Other:
Comments:		
The UCEDD maintains the faculty and staff necessary to support	• CV/Resume	• UCEDD Director

the functions and purposes of the UCEDD and allocates adequate staff time to carry out activities related to each of the core functions. Sec. 154(a)(3)(G)(ii).	• 5-year application (specify pages) • Annual Report (specify pages) • Organizational charts • Other:	• UCEDD faculty/staff • Consumer Advisory Committee • Trainees • Other:
Comments:		
The UCEDD takes affirmative action to employ and advance in employment qualified individuals with developmental disabilities. Sec. 101(b)	• 5-year application (specify pages) • Annual Report (specify pages) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Individuals with developmental disabilities/Family members • Other:
Comments:		
III. CONSUMER ADVISORY COMMITTEE		
Consumer Advisory Committee	***Document***	***Interview***
The UCEDD has established a consumer advisory committee. Sec.154 (a)(3)(E)	• 5-year application (specify pages) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
A majority of the members of the UCEDD consumer advisory committee are individuals with developmental disabilities and family members. Sec.154 (a)(3)(E)	• 5-year application (specify pages) • Consumer Advisory Committee Matrix (see resources at end of checklist) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The UCEDD consumer advisory committee is comprised of- ➢ individuals with developmental disabilities and related disabilities; ➢ family members of individuals with developmental disabilities; ➢ a representative of the State P&A system; ➢ a representative of the State DD Council; ➢ a representative of a self-advocacy organization; and ➢ representatives of organizations that may include parent training and information centers assisted under the Individuals with Disabilities Education Improvement Act, entities carrying out activities authorized under the Assistive Technology Act, relevant State agencies, and other	• 5-year application (specify pages) • Consumer Advisory Committee Matrix (see resources at end of checklist) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:

community groups concerned with the welfare of individuals with developmental disabilities and their families. Sec.154 (a)(3)(E)		
Comments:		
The UCEDD consumer advisory committee reflects the racial and ethnic diversity of the State. Sec.154 (a)(3)(E)	• 5-year application (specify pages) • Consumer Advisory Committee Matrix (see resources at end of checklist) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The UCEDD consumer advisory committee - ➢ Consults with the Director of the Center regarding the development of the 5-year plan; ➢ Participates in an annual review of, and comments on, the progress of the Center in meeting the projected goals contained in the plan; and ➢ Makes recommendations to the Director of the Center regarding any proposed revisions of the plan that might be necessary. Sec. 154 (a)(3)(E)	• 5-year application (specify pages) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The UCEDD consumer advisory committee meets as often as necessary to carry out the role of the committee, but at a minimum twice during each grant year. Sec. 154 (a)(3)(E)	• 5-year application (specify pages) • Annual Report (Specify Pages) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
IV. PROGRAM ADMINISTRATION		
IV.1 Applications for Core Center Grants	***Document***	***Interview***
The UCEDD has an application that describes a 5-year plan, including a projected goal related to 1 or more areas of emphasis for each of the core functions. Sec. 154(a)(2).	• 5-year application • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The application contains or is supported by reasonable	• 5-year application (specify pages)	UCEDD Director/faculty/staff

assurances that the UCEDD will meet the requirements of the DD Act. Sec. 154(a)(3)(A).	• Other:	• Consumer Advisory Committee Other:
Comments:		
The application includes assurances that the UCEDD will addresses the projected goals, and carry out goal-related activities, based on data driven strategic planning, that ➢ are developed in collaboration with the consumer advisory committee; ➢ are consistent with, and to the extent feasible complement and further, the Council goals contained in the State plan Protection and Advocacy system goals; and ➢ will be reviewed and revised annually as necessary to address emerging trends and needs. Sec. 154(a)(3)(B)	• 5-year application (specify pages) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • DD Council • P&A • Other:
Comments:		
The UCEDD 5 year plan and related activities protect the legal and human rights of all individuals with developmental disabilities (especially those individuals under State guardianship). Sec. 154 (a)(3)(D)	• 5-year application (specify pages) • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
IV.2 Core Function: Interdisciplinary Training	***Document***	***Interview***
The UCEDD provides interdisciplinary pre-service preparation and continuing education of students and fellows, which may include the preparation and continuing education of leadership, direct service, clinical, or other personnel to strengthen and increase the capacity of States and communities. Sec. 101 (b)(3)(A)	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Other:	• UCEDD Director/faculty/staff • Trainees • Other:
Comments:		
The UCEDD core curriculum incorporates cultural diversity and demonstrates cultural competence to prepare trainees to address the needs of individuals with developmental disabilities and their families in a culturally competent manner. Sec.101(c)(5)	• 5-year application (specify pages) • Annual Report (Specify Pages) • Other:	• UCEDD Director/faculty/staff • Trainees • Other:
Comments:		
Recruitment efforts in disciplines related to developmental disabilities relating to pre-service training, community training,	• 5-year application (specify pages) • Annual Report (Specify Pages)	• UCEDD Director/faculty/staff • Trainees

practice, administration, and policymaking must focus on bringing larger numbers of racial and ethnic minorities. Sec.101(c)(6)	• NIRS reports • Other:	• Other:
Comments:		
IV.3 Core Function: Community Services - Training, Technical Assistance, and Services	***Document***	***Interview***
The UCEDD provides community services that: ➢ Provide training and technical assistance for individuals with developmental disabilities, their families, professionals, paraprofessionals, policy-makers, students, and other members of the community; and ➢ May provide services, supports, and assistance through demonstration and model activities. Sec. 101 (b)(3)(B) & Sec.153(a)(2)(B)	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Other:	• UCEDD Director/faculty/staff • Community collaborators • Individuals with developmental disabilities • Family members • Other:
Comments:		
Specific efforts are made to ensure that individuals with developmental disabilities from racial and ethnic minority backgrounds and their families enjoy increased and meaningful opportunities to access and use community services, individualized supports, and other forms of assistance available to other individuals with developmental disabilities and their families. Sec. 101(c)(5)	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Other:	• UCEDD Director/faculty/staff • Community collaborators • Individuals with developmental disabilities • Family members • Other:
Comments:		
The UCEDD provides education and support so communities can be accessible to and responsive to the needs of individuals with developmental disabilities and their families and are enriched by full and active participation in community activities, and contributions, by individuals with developmental disabilities and their families. Sec. 101(c)(7).	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Other:	• UCEDD Director/faculty/staff • Community collaborators • Individuals with developmental disabilities • Family members • Other:
Comments:		
The UCEDD community services and technical assistance activities are carried out in manner that ensures individuals with developmental disabilities have access to opportunities and the necessary support to be included in community life, have interdependent relationships, live in homes and communities,	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Other:	• UCEDD Director/faculty/staff • Community collaborators • Individuals with developmental disabilities • Family members

and make contributions to their families, communities, and States, and the Nation. Sec. 101(c)(8).		• Other:
Comments:		
IV.4 Core Function: Research	***Document***	***Interview***
The UCEDD conducts research, which may include basic or applied research, evaluation, and the analysis of public policy in areas that affect or could affect, either positively or negatively, individuals with developmental disabilities and their families. Sec 101 (b)(3)(C).	• 5-year application (specify pages) • Annual Report (Specify Pages) • IRB documents • NIRS reports • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Individuals with developmental disabilities • Family members • Other:
Comments:		
The UCEDD obtains funding to carry out research-related activities. Sec 101 (b)(3)(C) & Sec. 154 (a)(3)(C)	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Grant documents • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
IV.5 Core Function: Dissemination	***Document***	***Interview***
The UCEDD disseminates information related to UCEDD activities thereby demonstrating that the DD network is national resource that includes specific substantive areas of expertise that may be accessed and applied in diverse settings and circumstances. Sec 101 (b)(3)(D) & Sec.154(a)(2)(D)	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Grant documents • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The UCEDD educates, and disseminates information related to the DD Act to – ➢ The legislature of the State in which the Center is located, and ➢ Members of Congress from such State. Sec. 154 (a)(3)(H)	• 5-year application (specify pages) • Annual Report (Specify Pages) • NIRS reports • Grant documents • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		

V. EVALUATION AND REPORTING

Annual Reports		
The UCEDD evaluates program effectiveness using the	• Annual Report	• UCEDD Director/faculty/staff

indicators of progress to describe and measure- ➢ The satisfaction of individuals with developmental disabilities with the advocacy, capacity building, and systemic change activities; ➢ The extent to which the advocacy, capacity building, and systemic change activities result in improvements; and ➢ The extent to which the UCEDD collaborates with the DD Council and P&A Agency in the State. Sec. 104 (a)(3) (D).	• Other:	• Consumer Advisory Committee • Other:
Comments:		
The UCEDD annually prepares and transmits a report containing information on progress made in achieving the projected goals of the Center for the previous year, including- ➢ The extent to which the goals were achieved; ➢ A description of the strategies that contributed to achieving the goals; ➢ To the extent to which the goals were not achieved, a description of factors that impeded the achievement; and ➢ An accounting of the manner in which funds paid to the Center for a fiscal year were expended. Sec 154 (e)(1).	• Annual Report • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The UCEDD annual report provides information on proposed revisions to the goals. Sec 154 (e)(2).	• Annual Report • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		
The UCEDD annual report provides a description of successful efforts to leverage funds, other than funds made available by ADD, to pursue goals consistent with the DD Act. Sec 154 (e)(3)	• Annual Report • Other:	• UCEDD Director/faculty/staff • Consumer Advisory Committee • Other:
Comments:		

VI. FISCAL

Funds	*Document*	*Interview*
The UCEDD uses the funds made available through the grant to supplement, and not supplant, the funds that would otherwise be made available for its activities. Sec.154(a)(3)(C).	• 5-year application (specify pages) • Annual Report • NIRS reports • Other:	• UCEDD Director/faculty/staff • Other:
Comments:		

The UCEDD, to the extent possible, utilizes the infrastructure and resources obtained through funds made available under the grant to leverage additional public and private funds to successfully achieve the projected goals developed in the 5-year plan. Sec.154 (a)(3)(F).	• 5-year application (specify pages) • Annual Report • NIRS reports • Other:	• UCEDD Director/faculty/staff • Other:
Comments:		
The UCEDD uses the funds made available through the grant to supplement, and not supplant, the funds that would otherwise be made available for Center activities. Sec. 154 (a)(3)(C).	• 5-year application (specify pages) • Annual Report • NIRS reports • Other:	• UCEDD Director/faculty/staff • Other:
Comments:		

RESOURCES FOR DETERMINING COMPLIANCE WITH CONSUMER ADVISORY COMMITTEE REQUIREMENTS

The DD Act requires that the Consumer Advisory Committee be comprised of a majority of members who are individuals with developmental disabilities and family members of individuals with developmental disabilities. Members in the minority are individuals representing different organizations, including the DD Council, State P&A, and a State self-advocacy group. **When indicating compliance with this component of the DD Act, the UCEDD needs to document a distinction between individuals with developmental disabilities and family members serving on the Consumer Advisory Committee from the organizational representatives serving on the Committee.** Individuals with developmental disabilities and family members cannot represent both an organization *and* individuals with developmental disabilities and family members. This is not to say that the UCEDD cannot have CAC members who work for disability-related organizations. Instead, it needs to be clear whether cannot A clear delineation in roles must be made between the majority and minority. Thus, when a UCEDD asks individuals with developmental disabilities and/or family members to serve on the Consumer Advisory Committee, they should communicate that they are there to represent primary and secondary consumers. In cases where such individuals work for self-advocacy and/or parent organizations, the UCEDD should clearly indicate to them that they are representing themselves as a consumer and they are *not* there to represent the organization. The chart below can be used to determine compliance with the DD Act. It is followed by a sample of a completed chart.

		UCEDD Consumer Advisory Committee					
		PRIMARY STAKEHOLDERS A majority of the members shall be individuals with developmental disabilities and family members of such individuals.		ORGANIZATION REPRESENTATIVES One representative is required for each of the groups below.			
	Name	Individuals with developmental disabilities and related	Family members of individuals with	DD Council	State P&A organization	State self-advocacy organization led by individuals with developmental	Other stakeholder organizations

		disabilities	developmental disabilities			disabilities	
1							
2							
3							
4							
5							
6							
7							
8							

Sample

		UCEDD Consumer Advisory Council					
		PRIMARY STAKEHOLDERS A majority of the members shall be individuals with developmental disabilities and family members of such individuals.		ORGANIZATION REPRESENTATIVES One representative is required for each of the groups below.			
	Name	Individuals with developmental disabilities and related disabilities	Family members of individuals with developmental disabilities	DD Council	State P&A organization	State self-advocacy organization led by individuals with developmental disabilities	Other stakeholder organizations
1	Jane Apple		X				
2	John Ball				X		
3	Polly Casserole					X	
4	Peter Dairy	X					
5	Susan Egg						X (Parent and Training Information Center)
6	Sam Fig			X			
7	Tom Grape		X				
8	Theresa Guava						X (State MR/DD Agency)
9	Jack Pancake	X					
10	Susan Pickle		X				
11	Sarah Orange	X					
12	Jim Cookie		X				

The DD Act requires that the Consumer Advisory Committee reflects the racial and ethnic diversity of the State. The MTARS team will use U.S. Census data to determine whether the Consumer Advisory Committee reflects the racial and ethnic diversity of the State. The UCEDD might want to follow the same procedures in preparation for the MTARS review. Below is an example of how the MTARS review team will use the State Census data to determine compliance with this part of the DD Act:

U.S. Census Data for State	Demographic Data for UCEDD Consumer Advisory Committee
85% White	83% White
10% Black	10% Black
2% Asian	1% Asian
2% American Indian and Alaska Native	3% American Indian and Alaska Native
1% Native Hawaiian and Other Pacific Islander	3% Native Hawaiian and Other Pacific Islander
15% Latino	10% percent Latino

Tab E.2 – UCEDD Program Operations and Practices Checklist

I. COLLABORATION	
Collaboration	***Comments***
Collaboration is an integral part of the UCEDD scope of work. The DD Act includes requirements for collaboration across the DD Network and with community partners. In addition, UCEDDs have unique opportunities to collaborate with local, state, national, and international organizations and agencies. Effective collaborations strengthen the UCEDD's ability to outreach and engage multiple audiences in projects and activities.	
The UCEDD is a member of the State Developmental Disabilities Council and participates in Council meetings and activities.	
The UCEDD is a member of the P&A Agency Board and participates in any P&A Agency meetings and activities.	
The UCEDD actively participates in community networks and has a range of collaborating partners.	
The UCEDD has cultivated relationships with state, national, and/or international agencies/organizations.	
The UCEDD maintains collaborative relationships with the UCEDD network and individual organizations and other universities.	
The UCEDD strategizes with the DD Council and P&A how the resources available at the UCEDD might be used to strengthen the DD Network.	

II. ORGANIZATIONAL ADMINISTRATION	
University Affiliation	***Comments***
A key part of a UCEDD's organizational administration is its association and partnership with a university. As an integral component of the university system, the UCEDD is positioned as an organization to promote the independence, productivity, integration, and inclusion of individuals with developmental disabilities and their families.	
The university demonstrates its support for the UCEDD.	
Financial and other resources committed to the UCEDD to carry out the purposes of the DD Act.	
The UCEDD maintains the autonomy and organizational structure required to carry out the core functions of the program mandated activities.	
The UCEDD is responsible to a university	

administrator who represents the interest of the UCEDD within the university and the UCEDD Director reports to that university administrator.	
Mission	***Comments***
Having a mission helps an organization communicate to others their vision and scope of work. In having a mission, the UCEDD is guided by values of independence, productivity, integration, and inclusion of individuals with developmental disabilities and their families. UCEDD principles are guided by the mission statement.	
The UCEDD has a mission that reflects the purpose of the DD Act stated in Sec. 101(a): to assure that individuals with developmental disabilities and their families participate in the design of and have access to needed community services, individualized supports, and other forms of assistance that promote self-determination, independence, productivity, and integration and inclusion in all facets of community life, through culturally competent programs.	
The UCEDD's mission carried out in a manner that enhances community capacity to support the independence, productivity, and integration and inclusion of individuals with developmental disabilities.	
The UCEDD's goals, objectives, and activities consistent with the mission statement?	
The UCEDD's mission reflects a life span approach.	
The UCEDD's mission reflects a commitment to culturally competent attitudes and practices, which are responsive to local culture and needs.	

III. CONSUMER ADVISORY COMMITTEE	
Consumer Advisory Committee	***Consumer Advisory Committee***
Consumer involvement and input is a crucial component of any UCEDD program. The UCEDD must involve consumers, in the form of a committee, who represent individuals with developmental disabilities in the State, including those who come from culturally and linguistically diverse backgrounds. The Program Operations and Practices checklist for the Consumer Advisory Committee has been formatted to be accessible to multiple audiences should the UCEDD decide to complete all or some of the checklist with its CAC members. The checklist can be found in Tab E.5.	

IV. PROGRAM ADMINISTRATION	
5-Year Application for Core Center Grants:	***5-Year Application for Core Center Grants:***
Every five years UCEDDs must submit an application for core center grants that outlines a 5-year plan. In the application, the UCEDD must provide a number of assurances, many of which relate to the administration of the program. The applications must identify goals for the UCEDD and indicate consumer involvement in the development of those goals.	
The UCEDD canvases the State to determine needs within.	The UCEDD canvases the State to determine needs within.
The Consumer Advisory Committee is involved with collecting information for and providing input into the development of the 5-Year Application.	The Consumer Advisory Committee is involved with collecting information for and providing input into the development of the 5-Year Application.
The UCEDD has procedures in place for long range planning to enable response to emergent and future developments in the state and field, in general.	The UCEDD has procedures in place for long range planning to enable response to emergent and future developments in the state and field, in general.
The goals, objectives, and activities identified in the 5-Year Application address state needs and reflect a commitment to influencing practices statewide.	The goals, objectives, and activities identified in the 5-Year Application address state needs and reflect a commitment to influencing practices statewide.
Interdisciplinary Preservice Preparation and Continuing Education	***Comments***
UCEDDs are required to engage in interdisciplinary preservice preparation and continuing education. Such programs strive to reflect state of the art practices and prepare personnel concerned with developmental disabilities to promote the independence, productivity, integration and inclusion of individuals with developmental disabilities and their families.	
The UCEDD senior professional staff holds faculty appointments in appropriate academic departments of the host or an affiliated university, consistent with university policy.	
The UCEDD faculty and staff represent the broad range of disciplines and backgrounds necessary to implement the full inclusion of individuals with developmental disabilities in all aspects of society, consonant with the spirit of the DD Act.	

The UCEDD has agreements with departments, which may include those housed in other Institutes of Higher Education in the State, to form an interdisciplinary training program.	
The interdisciplinary program reflects a balanced mix of students from diverse academic disciplines/academic programs.	
The interdisciplinary program offers a variety of learning experiences.	
The training program is based on identified personnel preparation needs.	
The interdisciplinary program reflects state-of-the-art practices.	
Trainees are prepared to serve in a variety of roles including advocacy and systems change, and graduates work in situations where they promote the independence, productivity, integration and inclusion of individuals with disabilities and their families.	
The UCEDD has a core curriculum. • The core curriculum incorporates cultural diversity and demonstrates cultural competence. • The core curriculum prepares trainees to be consumers of research as it informs practice and policy.	
Community Services – Training, Technical Assistance, and Services	***Comments***
UCEDDs are required to provide a variety of community services, including training, technical assistance, and services. The training and technical assistance activities should aim towards strengthening the capacity of communities, systems, and service providers to promote the independence, productivity, integration and of	

individuals with developmental disabilities and their families. UCEDDs should offer a variety of services including health, mental health, prevention, education, vocational, family support, personal assistance, and clinical in community based settings to promote the independence, productivity, integration, and inclusion of individuals with disabilities and their families.	
The community training and technical assistance is responsive to identified community needs.	
The community training and technical assistance is planned collaboratively, including the participation of individuals with developmental disabilities and their families.	
The community training and technical assistance utilizes capacity building approaches and techniques to strengthen the capacity of communities, systems and service providers.	
The UCEDD reaches a wide range of audiences, including individuals from culturally and linguistically diverse backgrounds, through community training and technical assistance.	
The community training and technical assistance activities are planned and structured in a manner that facilitates the participation of targeted audiences.	
The community training and technical assistance addresses the unique needs of individuals with developmental disabilities and their families from diverse cultural and ethnic groups who reside within the geographic locale.	
The direct services and projects are integrated into community settings.	
The direct services interact with and involve community members, agencies and organizations.	
Te basis for the direct services is local or universal needs that reflect critical problems in the field of	

developmental disabilities or an emerging, critical problem that reflects current trends or anticipated developments in the field.	
The UCEDD engages in state of the art and innovative practices, including practices, models, or projects that: • Facilitate independence, integration, productivity and human rights • Are economical and highly beneficial	
Research:	***Comments:***
UCEDDs are required to engage in research. The research activities should employ rigorous methods.	
UCEDDs evaluate by accepted scientific means state of the art and innovative practices by: • Employing research methods to test hypotheses • Validating procedures and field-testing projects	
The UCEDD involves people with developmental disabilities and/or family members in the development of research studies.	
The UCEDD develops valid and reliable studies using research designs appropriate to the research problem and purpose.	
The UCEDD has research protocols identifying methods for collecting and analyzing data.	
The research findings contributes to existing knowledge and/or highlights new issues.	
Information Dissemination	***Comments***
UCEDDs are required to disseminate information. The dissemination of information includes distribution of research findings such empirical validation of activities related to training, best practices, services and supports, and contributes to the development of new knowledge. Dissemination activities promote the independence, productivity, integration and inclusion of individuals with developmental disabilities and their families.	

The UCEDD is identified in the community as a resource for information.	
The UCEDD disseminates information on best practices and approaches in training, services, and supports.	
The UCEDD produces a variety of products to promote public awareness and visibility of the UCEDD.	
The information dissemination activities facilitate replication of best practices.	
The materials disseminated by the UCEDD are available in formats accessible to individuals with a wide range of disabilities and individuals from differing cultural and linguistic backgrounds.	
The UCEDD contributes to the development of the knowledge base through publication and presentations.	
The UCEDD identifies specific target audiences for dissemination activities and include individuals with developmental disabilities, family members, service providers, administrators, policy makers, university faculty, students, researchers, and the general public.	
The UCEDD utilizes a variety of networks, including Developmental Disabilities Planning Councils, Protection and Advocacy Systems, other UCEDDs and state service systems to disseminate information to target audiences.	
The process of developing and evaluating materials utilizes the input of individuals with developmental disabilities and their families.	

V. EVALUATION AND REPORTS	
Evaluation and Reports	***Comments***
UCEDDs are required to report annually on their progress. UCEDDs will begin using a standard format for submitting annual reports to ADD. The UCEDD should have or should be working towards putting data collection systems in place to facilitate the collection and maintenance of data for reporting purposes. In addition, UCEDDs should include evaluation activities as part of their work to assess impact of projects and activities.	
The UCEDD has the necessary staff to support data collection activities.	
The UCEDD has data management systems (written policies and procedures) in place that support ADD reporting requirements (e.g., Annual Reports)?	
There are written policies and procedures that relate specifically to data collection and aggregation, validation of data accuracy, etc.	
Data management occurs on some schedule (e.g., staff and contractors are expected to provide data at certain times; quality checks performed at certain times; monthly, annual, as data are available).	
Quality checks are in place to verify accuracy of reporting.	
Quality control of data is done with primary sources (i.e., point of entry or original documents).	
Data management roles are defined and are specific staff assigned to them.	
Data definitions and data entry instructions exist and are used.	
Where data estimates are used, standards that are followed to ensure consistency.	
The UCEDD utilizes state-of-the-art methods, including the active participation of individuals, families and other consumers of UCEDD programs and services to evaluate programs and their impact.	

VI. FISCAL	
Fiscal	***Fiscal***
The DD Act requires that UCEDD leverage resources to carry out the core functions.	
The UCEDD shows the ability to leverage overtime funds to support the core functions.	The UCEDD shows the ability to leverage overtime funds to support the core functions.
The funds leveraged support project activities that promote the independence, productivity, integration, and inclusion of individuals with developmental disabilities and their families in communities.	The funds leveraged support project activities that promote the independence, productivity, integration, and inclusion of individuals with developmental disabilities and their families in communities.

Tab E.3 - UCEDD Best or Innovative Practices Checklist

Instructions: The elements below are criteria to use to identify a best or innovative practice. Although a practice does not need to excel in every one of the elements, it must be noticeably superior to what is regarded as common practice among grantees to qualify as a best or innovative practice. Reviewers should rely on information provided by the grantee and will need to use their personal judgment when determining if a practice does qualify as a best practice. A best practice may be a research or evaluation project, policy analysis, data assessment, outreach initiative or awareness effort. It may provide direct service or supported opportunity to people with developmental disability, indirect support to family and
community care givers or interdisciplinary training for students, fellows, professionals and policymakers. It may involve leadership development, community work or clinical practice. While best practices are diverse in their workings, they share these common characteristics:

ELEMENT #1: *It reaches the population of focus*
Grantee should explain how the practice reaches the population of focus and improves the lives of people with developmental disability, who are people with severe and multiple disabilities, without regard to disability label.

ELEMENT #2: *It is an effort characterized by quality*
Grantee demonstrates how this practice rises above the routine and can be fairly characterized as an outstanding or significant achievement due to model or innovative methods which are reasonable in cost; supported by individuals, families, policymakers and professionals; easily taught; replicable and adaptable by others.

ELEMENT #3: *Its impact is measurable*
Grantee can quantify the impact on people with developmental disabilities, families, community care givers, students, fellow, professionals, direct services and policy makers. Grantee can quantify
the result of the practice with respect to leadership development, community work, litigation, mediation or clinical practice. Grantee describes the impact in terms of increased services, new individual supports, additional access to enriching community opportunities, improved awareness, better compliance monitoring, new legal precedent or a trained workforce. Grantee demonstrates that impacts are sustainable.

ELEMENT #4: *It addresses the aspirations of individuals*
Grantee demonstrates how the practice supports individuals with developmental disabilities in exercising choice, self determination and control of resources and how the practice contributes to the ability of

individuals with developmental disabilities to live in the community in full and unqualified integration and inclusion with non-disabled peers and associates. The practice may, for example, provide access to safe and appropriate child care, after school services, public transportation, recreation, leisure and social activities; but it will certainly do so in the most integrated setting. It is often a practice which provides an opportunity to contribute and participate in the community, develop new friendships and lead a meaningful and productive life.

ELEMENT # 5: ***It is respectful in its methods***

Grantee demonstrates how the practice reflects a social service philosophy that uses the strengths, resources and capabilities of the individual, respects the individual's dignity and priorities. It and views the individual as the primary decision maker in the service delivery process. The design, focus and direction of such a practice are derived from the involvement of people with developmental disabilities and their families. They support access to generic services rather than isolation within services specific to disability. They are cultural competent and reflect the meaningful preferences of many different communities.

ELEMENT #6: ***It safeguards those it intends to benefit***

A best practice is one which is free of risk, abuse, exploitation, neglect or violation of civil rights.

Use the checklists below to describe best or innovative practices by identifying 2 or 3 of the most significant accomplishments during the past five years (or since the last MTARS visit). In your description, discuss the steps that the UCEDD took to achieve the significant accomplishment.

BEST OR INNOVATIVE PRACTICES	
Accomplishment	***Description and Relevant Comments***
Describe accomplishment 1 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	
Describe accomplishment 2 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	

Describe accomplishment 3 – • Was it related to a goal in the 5-year application? • Were there barriers to its completion? • If so, how were they resolved? • What community partners were involved? • What was the impact on consumers? • What was the impact on the community and/or state? • Was the impact systemic? • Was the impact statewide?	

Tab E.4 - UCEDD Fiscal Review Checklist

I. ORGANIZATIONAL STRUCTURE			
Please describe the organizational units in the University responsible for fiscal oversight of the UCEDD program:			
Use the space below to list the individuals responsible for fiscal oversight of the UCEDD program:	**Name of Office**	**Position**	**Contact Information**

II. RISK ASSESSMENT				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Is the grantee named in pending or recent litigation? Are there pending or current disallowances from any funding source?				
Is the agency in danger of losing one or more major programs and/or funding sources?				
Are prior year costs charged to the current budget year?				
Have ADD funds been used to cover costs normally paid by other funding streams (interfund borrowing)?				
Do the core grant budget projections submitted to ADD reflect budget actuals?				
Does the grantee have a reserve account or other mechanism to pay for unanticipated expenditures?				

III. STAFF, WAGE & BENEFITS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Does the UCEDD have a qualified fiscal manager on staff?				
Does the University have a qualified fiscal officer providing oversight on the UCEDD grant?				
Does the UCEDD maintain an accurate list of all employees on the current payroll? *(Please provide a copy of the UCEDD organizational chart prior to the site visit).*				
Who on the payroll/organizational chart is covered by the ADD core grant? *(Please highlight any employees on the organizational chart)*				
Are ADD core grant funds used to pay wages for appropriate staff positions?				
Is separation/termination of employment immediately reported to the payroll department?				
Who authorizes payroll changes? IS there an established system of checks and balances with regard to payroll changes?				
Are staff salaries and benefits reasonable and supported by appropriate wage comparability data?				
Are positions vacant for a significant period of time?				
Are benefits withheld from employees' paychecks (i.e., Federal and state taxes, health and retirement contributions) paid in a timely manner to the appropriate vendor?				
Does the agency maintain a code of conduct as part of its personnel policies and procedures? *(please provide a copy of the code of conduct while fiscal reviewer on site)*				
Are the codes periodically acknowledged by signature from all employees?				
Has there been excessive personnel turnover in key functions, such as operations and program management, accounting, or internal audit that would indicate a problem with the agency's emphasis on internal control?				

IV. INTERNAL CONTROLS				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Is the last required annual audit available and complete? If so, please provide a copy of the significant findings page prior to the site visit.				
Does the grantee have a history of repeated audit findings?				
Has the agency been cited for issues in more than one program or by other funding sources?				
Is the UCEDD reconciling financial/accounting statements monthly? If so, who does the reconciliation?				
Are there written accounting procedures? If so, are the procedures allowing the grantee to determine the necessity, allowability, allocability and reasonableness of costs as required? *(Please provide a copy of the accounting procedures to the fiscal reviewer during the site visit).*				
Are ADD Core Funds being used for appropriate expenses according to ADD guidance? ✓ ADD core funds are used to support the administration of the UCEDD core functions. ✓ Are core funds are not used to carry out the activities of other grants. ✓ ADD core funds are used to support activities of the Consumer Advisory Committee. ✓ ADD core funds are used to support travel to ADD-sponsored UCEDD meetings.				
Are ADD Core Funds being used for appropriate expenses ACF discretionary grants requirements of 45 CFR 74 or Sec. 92.22 of 45 CFR 92?				
If the UCEDD charges indirect costs, are these costs supported by an agreement?				
Has the UCEDD/University appropriately applied the indirect cost rate?				
What percent of the indirect cost rate is returned to the UCEDD from the University?				

If there are delegate agencies, is the grantee exercising required and adequate fiscal and program oversight of the delegate? If so, please provide to the fiscal reviewer while on site a copy of a sample current contract from the request for proposal stage to the first invoice from the delegate.				
Are there safeguards in place for financial data systems in the event of data failure?				
Are all procurement transactions conducted in a manner providing for open and free competition?				

V. COST ALLOCATION				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Does the UCEDD have written allocation procedures? If so, please provide a copy to the fiscal reviewer prior to the site visit.				
Is the UCEDD using an allocation base that best measures the relative degree of benefit for all benefiting functions, including personnel? Please Note: Unacceptable methods for allocation include: ▪ Budget amounts ▪ Ratio of funds received ▪ Estimates of time spent of a program or activity ▪ New funds are used only for incremental cost ▪ Dividing up resources and claiming the share ▪ Concept “it is the responsibility of that program anyway, so that program should pay.”				
Does the allocation/distribution base reflect an after-the-fact determination of the actual activity?				
Is there evidence that all funding sources benefiting from the shared functions have been charged appropriately and consistently based on the methodology described in the procedures?				
Are allocated costs properly documented and do they reconcile with the proposed costs?				

VI. MONITORING				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Are there unusual and irregular end of year payments?				
Is there a method so that budgeted costs are compared with actual costs?				
For the most recent completed budget period, do budgeted expenditures and actual expenditures differ significantly?				
Does the UCEDD have inadequate supplies, materials, or outdated equipment?				
Does top-level management regularly review actual performance against budgets, forecasts, and prior period results.				
Is there evidence of ongoing planning and forecasting of financial objectives (funds)?				
How many carry over requests have been submitted in the past three years? (Please provide documentation prior to the site visit).				
What was the amount of the past carry overs?				
If the carry over funds were approved, are the funds used for the intended budget categories and in budget period? *(Please provide documentation of activities carried out specific to the carry over request prior to the site review).*				

VII. FINANCIAL PROCEDURES AND REPORTING				
Review Prompt	**Yes**	**No**	**N/A**	**Comments**
Do current financial reports exist? Are they available when requested?				
Does the UCEDD/University submit accurate reports (SF-269, PMS-272; etc.) in a timely manner?				
Do agency decision-makers receive regular and timely financial statements that allow them to make sound management decisions?				
Is fiscal information being disseminated to the management staff in a timely fashion (e.g., UCEDD staff/director)?				

Does the UCEDD have procedures for programmatic and fiscal monitoring of ADD Core Grant funds?				

ADDITIONAL DOCUMENTS TO REVIEW

CASH FLOW: Current and Prior Year Financial Statements to Determine If:

- The University is accurately covering the costs of the UCEDD Core.
- ADD funds have been drawn down without documented expenses.
- ADD funds have been drawn in excess of documented requirements.
- Prior year salaries or other expenses have been charged to the current budget year.

STAFF, WAGES & BENEFITS

- IRS 941 to determine if Federal taxes have been paid in a timely manner. If not, document the amount of the delinquency.
- IRS 990 to verify salary of top executives/officers.
- Financial statements to ensure prior year salaries or benefits have not been charged to the current budget year.
- Personnel policies and procedures to determine if employment is properly authorized. Look at the type of document, who approves it, the assignment of employee position and department (cost center) and the distribution of the authorization form?

Tab E.5 – UCEDD Program Operations and Practices Checklist for the Consumer Advisory Committee

Directions: This part of the Program Operations and Practices Checklists can be completed with members of the University Center for Excellence in Developmental Disabilities (UCEDD) Consumer Advisory Committee (CAC). **The CAC Program Operations and Practices checklist is organized into the following 5 sections:**

1. **Member Supports**

2. **Financial Supports**

3. **Communication and Coordination**

4. **Leadership Development and Orientation**

5. **Values and Outcomes**

Each section has a series of questions. The UCEDD is not required to do all the things listed. The UCEDD may do some things that are not listed. The UCEDD may have suggestions of things that are not listed in the checklist.

1. Member Supports

The questions about member supports are separated into 4 areas:

A. Accessibility and accommodations for meetings

B. Cultural and linguistic diversity

C. Childcare, respite, and personal assistance services

D. Transportation

EXAMPLES OF MEMBER SUPPORTS:

- interpreters, alternative formats
- pre-teaching at meetings
- slower pace at meetings
- plain language, translated materials
- providing rides

Section 1: Member Supports

A. Accessibility and Accommodations

1. How does the UCEDD make sure that all CAC members can participate in meetings?

2. How does the UCEDD assess the needs of individual CAC members to ensure that meetings are accessible to all?

3. How does the UCEDD make accommodations to assist with communication needs?

4. Does the UCEDD provide sign language interpreters, closed captioning services, amplified hearing devices, or other assistive communication devices?

5. How does the UCEDD make sure that meeting materials are provided in format that everyone can understand?

   For example, are materials made available in Braille, large print, or in disk formats?

6. How does the UCEDD make sure that individuals with cognitive disabilities are able to participate in the meeting?

   For example, does the UCEDD provide materials in advance to allow members to understand information?

   Does the UCEDD use support persons to help with preparation and understanding before and during meetings?

   Does the hold separate meetings before and/or after the larger CAC meeting for individuals to develop and focus ideas?

7. Does the UCEDD develop agendas and other meeting materials using plain, simple, jargon-free language that is easily understood?

8. Does the UCEDD use pictures or clip art to assist with understanding materials?

9. Does the UCEDD maintain a pace that accommodates individual styles? Is there enough time to ask questions?

10. Does the UCEDD make CAC members feel comfortable sharing their views?

11. Does the UCEDD use an outside facilitator to monitor and promote more inclusive meetings?

12. Are meetings scheduled at a time when everyone can be there?

    For example, does the UCEDD make sure that the meeting is scheduled at a time when everyone can be there?

13. Please describe any other strategies the UCEDD uses to accommodate CAC members.

Section 1: Member Supports

B. Cultural and Linguistic Diversity

Note: Cultural and linguistic diversity refers to differences such as those in language, race, ethnicity, and disability.

1. What strategies does the UCEDD use to ensure that the CAC reflects the cultural and linguistic diversity of the State?

   For example, does the UCEDD have relationships within a variety of diverse communities?

2. Does the UCEDD have a plan for recruiting members from diverse backgrounds? If yes, please describe.

   For example, does the UCEDD have relationships with community-based organizations that are prominent in culturally and linguistically diverse populations to find new CAC members?

3. Does the UCEDD provide training for UCEDD staff and members of the CAC so they better interact with people from diverse backgrounds?

4. Does the UCEDD provide translated materials and interpreters, as needed, for members who speak a language other than English?

5. Please describe any other strategies the UCEDD uses with diversity.

Section 1: Member Supports

C. Child Care, Respite, and Personal Assistance Services

1. Does the UCEDD make arrangements to provide childcare or respite on-site?

2. Does the UCEDD provide financial supports (e.g., reimbursements or stipends) to cover the cost of child or respite care?

3. Does the UCEDD cover the costs of personal assistance services, including their travel and other expenses?

4. Please describe any other strategies the UCEDD uses.

Section 1: Member Supports

D. Transportation

1. How does the UCEDD find out if CAC members need help with transportation?

2. If needed, does the UCEDD provide rides to CAC members to ensure they attend meetings?

3. Does the UCEDD contract with cab companies to pick up individuals from home, bus stations, or airports?

4. Does the UCEDD use other ways to meet (e.g., conference calls, regional meetings)?

5. Please describe any other transportation strategies the UCEDD uses.

Section 2. Financial Supports

The questions about financial supports are separated into 2 areas:

A. Travel and other expenses

B. Monetary compensation

EXAMPLES OF FINANCIAL SUPPORTS:

- Hotel expenses
- Meal expenses
- Taxis, shuttles or other car travel
- Cost of missing time off of work to attend committee meeting
- Stipend or honorarium

Section 2. Financial Supports

A. Travel and Other Expenses

1. Does the UCEDD have written policies with regard to the kinds of travel and other expenses will be paid for?

2. What kinds of travel and other expenses are paid for CAC members?

   For example, does the UCEDD pay for hotel rooms, transportation, or food expenses?

3. Please describe any other travel and other expenses that are covered by the UCEDD.

Section 2. Financial Supports

B. Monetary Compensation

Note: Monetary compensation may be a stipend or honorarium.

1. Does the UCEDD offer CAC members any kind of monetary compensation for the time they take to attend meeting?

2. Please describe other monetary compensation strategies the UCEDD uses to support CAC member participation in meetings and activities?

Section 3. Communication and Coordination

The questions about communication and coordination are separated into 3 areas:

A. Staffing of the CAC

B. On-going communication

C. Informing CACs about UCEDD activities

EXAMPLES OF COMMUNICATION AND COORDINATION ARE:

- staff coordinator position
- listserv
- more than 2 meetings a year
- using conference calls or video conferencing
- coordinating forums on specific topics
- matching CAC members with specific projects within the UCEDD where they can play a more of a participatory role

Section 3. Communication and Coordination

A. Staffing of the CAC

1. Does the UCEDD have a staff person who plans the activities of the CAC?

2. If the UCEDD has a staff person, how is this staff person funded?

   For example, are core funds used to pay for the staff position?

3. Describe other staffing strategies the UCEDD uses to support the coordination and communication of the CAC.

Section 3. Communication and Coordination

B. Ongoing Communication

1. How does the UCEDD tell members about upcoming meetings with the CAC?

   For example, does the UCEDD send out information about the time and location of the meeting?

   Does the UCEDD provide members with an agenda and other materials before the meeting?

2. How does the UCEDD communicate with the CAC in between meetings?

   For example, does the UCEDD schedule conference calls to communicate in between meetings?

   Does the UCEDD use video conferencing to communicate between meetings?

   Does the UCEDD have a listserv for the Committee?

Does the UCEDD have a website for the Committee? Does the website have a message board?

3. How does the UCEDD find out about the preferred communication strategies of CAC members?

4. Does the UCEDD have more than two meetings per year?

5. Does the UCEDD have task forces within the Committee to work on issues between meetings?

6. Does the UCEDD take advantage of other statewide meetings, where CAC members may be gathered, to meet with the CAC?

7. How does the UCEDD make sure that all members have access to the technology that used for communicating with the CAC?

8. Describe other strategies the UCEDD uses to communicate with the CAC.

Section 3. Communication and Coordination

C. Informing CACs about UCEDD Activities

1. How does the UCEDD inform CAC members about UCEDD activities related to the goals in the five-year plan?

   For example, does the UCEDD schedule regular staff presentations about projects at committee meetings?

   Does the UCEDD organize interactive poster sessions to allow CAC members and staff to interact around projects?

   Does the UCEDD have meetings on specific topics?

2. Is staff trained on universal design principles and how to make presentations accessible?

3. Does the UCEDD schedule retreats where staff and CAC members can get to know each other, share information, and develop ideas for the future?

4. Does the UCEDD match CAC members with specific projects within the UCEDD where they can play a more of a participatory role?

5. Describe other strategies the UCEDD uses to inform CACs about UCEDD Activities.

Section 4. Leadership Development and Orientation

Leadership Development and Orientation is separated into 2 areas:

A. Leadership development

B. Orientation

EXAMPLES OF LEADERSHIP DEVELOPMENT AND ORIENTATION:

- mentoring
- opportunities to attend other meetings and conferences formal orientation
- informal opportunities to meet with staff

Section 4. Leadership Development and Orientation

A. Leadership Development

1. How does the UCEDD offer leadership development opportunities to CAC members that are emerging leaders?

2. How does the UCEDD identify and recruit emerging leaders as members of the CAC?

   For example, does the UCEDD utilize self-advocacy conferences to share information about the Center and recruit individuals for the CAC?

   Does the UCEDD asking more “seasoned” advocates for their recommendations?

   Does the UCEDD actively recruit younger individuals with disabilities, sometimes high school and college students?

3. Does the UCEDD offer and/or support participation in formal trainings to build leadership skills? If yes, please describe.

4. Does the UCEDD mentor new members with limited experience on boards or committees? If yes, please describe.

5. Does the UCEDD offer collaborative leadership development opportunities where UCEDD faculty and staff as well as CAC members gain new perspectives and skills? If yes, please describe.

6. Does the UCEDD support member participation in other national activities and events? If yes, please describe.

7. How does the UCEDD structure meetings to build leadership skills of the CAC members?

8. Describe other strategies the UCEDD uses to build the leadership skills of CAC members.

Section 4. Leadership Development and Orientation

B. Orientation

1. How does the UCEDD plan for the orientation of new and current members of the CAC to the structure, program, projects, and activities of the UCEDD?

   For example, does the UCEDD offer formal orientation sessions for new members, using appropriate and accessible materials?

   Does the UCEDD utilize informal opportunities to provide information to new members about the UCEDD?

2. If the UCEDD offers a formal orientation session, does the orientation:
   a. Outline the roles and responsibilities associated with membership on the CAC?
   b. Introduce members to the DD Act and requirements for UCEDD programs?
   c. Provide information about DD Council and P&A programs?

3. Does the UCEDD create opportunities for new and current members to interact either formally or informally with members of the P&A Board and DD Council?

4. Does the UCEDD schedule time for members to spend time with UCEDD faculty and staff to learn more about UCEDD projects and activities?

5. Describe other strategies the UCEDD uses to orient CAC members.

Section 5. Value

Value Placed on the CAC is separated into 2 areas:

A. **Use of suggestions from CAC members**

B. **Feedback to the CAC**

EXAMPLES OF VALUE:

- showing importance of member feedback
- giving many opportunities for members to see how their input is being used in the work of the Center.

Section 5. Value

1. How does the UCEDD show members that their input is important to the UCEDD?

2. How is the input from the CAC used by the UCEDD?

   For example, are CAC members able to draw a link between their input and the activities of the UCEDD?

   If recommendations have not been used, does the UCEDD offer tell the CAC why the feedback was not used?

3. Does the UCEDD add time to meeting agendas to talk about how input is being used?

4. Describe other strategies utilized to demonstrate the value of CAC members.

Tab F – Tips for Effective Team Work

One of the benefits of working in any team is the experience and perspective of different members. Individuals who come from different backgrounds and points of view will create a team that, when working well, responds to challenges with different ideas and solutions.

> A team that is diverse in the experience and perspectives of its members will bring more ideas to discussions and thus solve problems more strategically.

Even individuals who have similar experience often have different perspectives on what the problem is, and thus may have different solutions. More collective knowledge and varied perspectives enable a group to identify more criteria than an individual working on the same problems. It is with that in mind that the MTARS team was developed.

There are many types of teams. Some teams function together over a long period of time, working for a long-term goal. Other teams are brought together to address a single issue or event. The latter is the case with the MTARS. Because individuals on the MTARS team may not know one another the review starts off with a team meeting. The first team meeting is important in that it allows the team members to meet one another, share their backgrounds, and 'get on the same page.' Individual team members have different responsibilities during the review. These responsibilities are assigned at the first team meeting. Knowing what is expected of them helps team members feel more comfortable.

Effective Teams

Know your responsibilities: Learn these by attending the team meeting, even if you have done a review before.

Be clear on expectations and timelines: The success of the entire team rests on the ability of each team member to do their job when it is necessary.

Ask questions and share information: Information that is shared benefits the team decision-making process. In other words, communicate!

Support one another: If another team member is struggling or not participating in the discussion, make room for their point of view. Ask questions! Everyone's ideas are important to the problem-solving process.

Ask for help: Voicing your needs may put an issue on the table that others are struggling with.

Tab G – Sample Conference Call Agenda

CONFERENCE CALL AGENDA
Arizona MTARS

December 18 from 1:00 – 2:00 p.m. EST

AGENDA

1. **Brief overview on the purpose of MTARS**

2. **Review of team structure and team members**

3. **Hotel arrangements & logistics**

4. **Self-assessments**

   a. What is the purpose of the self-assessments?
   b. What is the responsibility of the programs?
   c. What is the responsibility of the team members?
   d. Identifying need for technical assistance
   e. Documentation
   f. Interviews
   g. Timelines
   h. Sending out checklists

5. **Overview of the MTARS**

Entrance meeting videoconference

   a. Logistics for the videoconference
   b. Presentation on the State of the State
      i. Overview of the State
      ii. Demographics (unserved/underserved, cultural, geographic – related to service system)
      iii. Service system structure – please provide a highlight summary of issues/challenges
      iv. IDEA
      v. Adult services
      vi. Medicaid/waiver
      vii. Vocational ed
      viii. Institutional services
      ix. Governor's plan for services
      x. Olmstead
      xi. Legislative factors
      xii. Economic factors (funding issues)
      xiii. Brief overview of each program and how it works in the state
   c. Presentation on DD Network Collaboration Meeting
      i. How have the programs fused their respective roles in collaborative efforts?
      ii. How do you make collaboration work in your State? For example, how do you collaborate with other entities? How do you develop/implement the State plan?

iii. In what ways does the DD Network strategically plan for collaboration?
iv. What are specific examples of collaboration within the collaboration index?
v. What is your impact as a Network? For example, what has changed for individuals with developmental disabilities in your state as a result of your collaboration?
vi. What are your strengths as a Network?

Public Forum:

a. Logistics for the public forum
b. The MTARS team wants to hear from people how the programs have changed their lives.
c. The Team Coordinator leads the public forum.
d. Remote hook-ups in outside areas are encouraged.
e. Schedule on first day of review

Site Visit:

a. Program Teams visit individual programs and conduct interviews and document reviews
b. Interview questions are generated from programs' completion of self-assessment as well as from standard interview questions provided to team members.
c. Examples of people who are interviewed:
    i. Council team interviews:
        1. Council Chair
        2. Executive Director
        3. Council members
        4. Key Council staff including fiscal staff
        5. DSA representative
        6. Sub-grantees
        7. Individuals and families benefiting from program activities
    ii. P&A team interviews:
        1. Board/Advisory Council President and members
        2. Executive Director
        3. Accountant/bookkeeper and other key staff
        4. Clients
        5. Governor liaison
    iii. UCEDD team interviews:
        1. Director
        2. Faculty/staff
        3. Dean and/or Provost/University President
        4. Current and Former Trainees
        5. Community Collaborators
        6. Consumer Advisory Committee
        7. Individuals with DD/Family members
d. Teams may conduct additional interviews or provide technical assistance
e. Exit interview conducted on the last day of the site visit
    i. May last up to two hours
    ii. MTARS team meets to develop format for exit interview and prepare collaboration information
    iii. Program teams develop key points for exit interview
    iv. All MTARS team members and grantees are present
    v. Grantees determine the location of the exit meeting

6. **Questions**

Tab H – Hotel Amenities Checklist

HOTEL AMENITIES

Hotel Features	
	Close to grantee
	Accessible rooms available
	Non-smoking rooms available
	Toll-free phone service
	Restaurant(s) on-site or within walking/driving distance
	Near public transit, if available
	Hotel parking if teams have vehicles
	Low noise – not on street level in busy, congested area

Business Services	
	Full-service business center or Copy and Fax Service
	Free Wi-Fi and/or cable connectivity for computer access (check to see that it is in both group meeting space as well as in individual rooms)
	Meeting space available to accommodate MTARS team discussions
	Water/Refreshments for meetings held in hotel
	Conference call capability
	Overnight delivery/pickup

Accessibility Needs	
	Service animals allowed for persons with disabilities
	Roll-in showers for those with wheelchair/mobility needs
	ADA compliant doorways
	Elevator access to rooms

Note: Please visit the Access Board website for resources on accessibility:
http://www.access-board.gov/adaag/checklist/a16.html

Tab I – MTARS TEAM COORDINATOR CHECKLIST

State:	
Dates:	

SITE VISIT PREPARATION	Timeline	Council	P&A	UCEDD
MTARS announcement Confirm MTARS announcement letter, checklists, and MTARS manual was received from the Commissioner was received by grantees				
Recruiting review team members • Remind Team Leads to ask grantees for any particular needs or issues for which they want assistance and select appropriate team members • Keep in mind location, geographic size and allotment of state, etc. • Get approval from ADD Administration for proposed MTARS team members • Work with ADD Administration to identify and confirm the fiscal reviewer				
Invitation to team members • Confirm Program Team Leads have contacted team members to request participation in MTARS. • Confirm that Team Leads asked members for information on accommodations and have explained the time requirement for meetings, including entrance meeting, as well as estimated time commitment for training, checklist review, and onsite monitoring • Ensure that Program Team Leads provide contact information for Program Team members				
Team member and grantee contact sheet • Develop sheet of team member and grantee contact information (see Tab M in MTARS notebook for contact sheet format). Include: Central Office staff, peers, consumers, fiscal reviewer from regional office • Send to grantees and all team members • Send to logistics contractor via ADD Project Officer • Send to ADD Administration				
Travel for non-federal members Communicate through ADD Project Officer with logistics contractor to ensure that travel arrangements for non-federal team members are made for the Entrance Meeting and site visit: • communicate individual needs (e.g., need for accessible room, transportation, etc.) • communicate travel and hotel reservations for entrance meeting, training and onsite review • set deadline for making travel reservations				
Initial conference call				

Schedule and conduct conference call with grantees and Team Leads • Purpose: to review MTARS process; announce team members; discuss logistics; get hotel recommendations; give date for return of checklists; determine date of entrance meeting one month before onsite MTARS review; public forum; etc. • select date and time for initial conference call • make call arrangements (conference call or webinar setup) • facilitate call (see Tab G in MTARS notebook for sample agenda for the call) o Remind grantees to keep in mind the reader, err on the side of simplicity and accessibility o Give examples of materials needed o use to call to reinforce the need for accessible space during all aspects of the review, including the public forum • take notes and provide follow-up summary of call to team members and grantees		
Follow-up email to grantees Following initial conference call, electronically provide information about the call, including the entrance meeting/public forum to grantees including: • Deadline for submitting checklists- *encourage use of materials provided by electronic means* • Regarding the entrance meeting: o Date for the entrance meeting o Sample schedule for entrance meeting (see Tab L of the MTARS notebook) o Purpose o Lead coordinator for the grantees for Video/audio/webinar who will check on capability and serve as contact for logistics o Deadline for submitting presentation materials to ADD and team members (minimum one week ahead of entrance meeting) - *encourage use of materials provided by electronic means* • Regarding the public forum o Format for the public forum (i.e., no presentations by review team; three minutes per speaker; note taker and timer at each site) (see Tab K of the MTARS notebook) o Note taker guidelines (see Tab K of the MTARS notebook) o Room setup, including accessibility of site (see Tab K of the MTARS notebook) o Sample public forum notice (see Tab O of the MTARS notebook) (Recommend the notice be done in English and Spanish) o Accommodations are provided (e.g., accessible site, sign language interpreters present) o Research the availability of videoconferencing technology to set up various sites across the State.		

• Regarding the site visit: o Hotel amenities checklist (see Tab H of the MTARS notebook)				

Research hotel accommodations for the site visit
• Determine where Program Teams will be staying. For Program Teams staying in a different location, ensure the Lead is researching hotel accommodations.
• For the Program Teams staying in the same location as the MTARS Team Coordinator, utilize the hotel amenities checklist to research hotels and determine if they meet ADD specifications and team needs:
  o consider whether meeting space is needed
  o ensure that accessible rooms are available and provide appropriate accommodations based on person's needs
  o Ensure that the hotel is able to offer the federal rate. *Note:* find out the federal rate for the area traveling to by going to http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0
  o If federal rate cannot be secured, work with director to seek approval of using hotel at the non-federal rate
• Review all possibilities with the Program Team Leads and ADD's Logistical Contractor to reach a final decision.				

Checklist and documentation receipt Confirm due date is met for grantees to send completed checklists and documentation to the Program Team Leads and team members (Team Leads provide grantees with mailing addresses for team members)				
Entrance meeting confirmation • Contact ACF to get information about setting up videoconference and/or Webinar capability • Confirm date, schedule and logistics for entrance meeting with grantees, ADD staff, and team members • Review entrance meeting format with grantees • Ensure that presentation materials (power points and electronic materials) are received by ADD staff and MTARS team members minimum one week ahead of entrance meeting • Confirm audio/video linkup with the grantee lead coordinator and ACF • Confirm with program team lead who will be in attendance or participating remotely • Make sure that program Team Leads have confirmed that team members participating remotely have the appropriate electronic hook-ups				

Public forum confirmation • Confirm date and location of public forum (with entrance meeting or first day of onsite review) • Review and approve announcement of public forum sent out (provide sample announcement – see Tab O of the MTARS notebook) • Confirm format with grantees (i.e., no presentations by review team; three minutes per speaker; note taker and timer at each site) • Confirm name of notetaker and timekeeper(s) • Confirm that space is accessible • Coordinate with Z-Tech staff to secure ADD fact sheets, program brochures, etc. in advance of the visit to distribute at the Public Forum. Send to grantees for distribution. • Provide on-site coordinator with information about the public forum (e.g., time, location, notetaker, timekeeper, etc)				
MTARS Team Meeting logistics • Working through the ADD Project Officer with the logistics contractor, determine where the MTARS team meeting will be held • Ensure that hotel space is secured, as needed • Ensure that travel arrangements are made for team members that will be on site for the meeting • Ensure that team members participating remotely have all the logistical information (for the training, entrance meeting, and team meeting) • Provide on-site coordinator with information about the MTARS team meeting logistics				
Confirm onsite interview locations with Program Team Leads • Determine if hotel meeting space is necessary for interviews/team discussions				
Confirm checklist correspondence with grantees • After checklist reviews confirm that Program Team Leads correspond with grantees regarding questions and further information requested by review teams. • Ensure that Program Team leads o Identify and discuss potential compliance issues o Discussed other issues/concerns are o Recognize best practices o Discuss specific interviews and site visit schedule				
Confirm grantee response Confirm grantees reply to questions and subsequent info is sent to/discussed with team members				
Confirm team leads are developing schedule for review week; track draft schedules and draw up Master Schedule when finalized				
Conduct teleconference with grantees to confirm final logistics				

• Finalize logistics • Finalize schedule • Answer lingering questions • Finalize transportation arrangements • Communicate this information to Team leads as necessary				
Confirm travel plans for non-federal team members				
Remind federal Team Members to schedule travel prior to MTARS onsite review				
Distribute Master Schedule to grantees and team members. Include team members travel information with Master schedule: • Team members flight arrangements • Team members cell phone numbers • Hotels for teams • Logistics Contract contact numbers				
Reserve conference call line for on-site MTARS team meeting • The MTARS team will meet the day before the Exit Meeting to discuss feedback on network collaboration • Schedule a conference call line for the full team meeting • Share the conference call number with on-site coordinator				

REPORT WRITING				
As much as possible, draft State-of-the State and collaboration reports ahead of onsite review (see Tab R of the MTARS notebook for guidelines for the report format)				
Develop time line for report and track report status (see Section 7 of the MTARS notebook for a timeline)				
Confirm individual draft program reports are circulated to grantees and to team members for review				
Confirm draft state-of-the-state and collaboration reports are circulated to team members for review				
Confirm comments on draft report received from team members and grantees and incorporated into report if appropriate				
Schedule one-hour meeting with Commissioner to review and approve the report				
Send draft report to editor for formatting				
Send draft report to program leads for final editing				
Confirm cover letter is drafted and final report with corrective action plan letter to grantees (see Tab S of the MTARS notebook for sample) • If a report is held up for AG review discuss release of other program reports so that they are not help up				
Copy of final report and cover letter sent to Team Leads and saved on F drive at F:\MTARS\2008				

Tab J – ON-SITE COORDINATOR CHECKLIST

State:	
Dates:	

SITE VISIT PREPARATION	**Timeline**	
Ensure that the Team Coordinator provides logistical information		

SITE VISIT		**Timeline**
MTARS team meeting • Ensure everyone knows what room they are meeting in • Start and end the meeting on time • Ensure the conference call and phone is working before the meeting is scheduled to start		
MTARS team meeting to prepare for Exit Meeting • Ensure the conference call and phone is working before the meeting is scheduled to start • On the call, ask that team members share their prepared notes on network collaboration • Identify summary points regarding network collaboration • Determine the format for the Exit Meeting (e.g., which team will go first, second, third, etc.)		
Exit Meeting • Prepare notes that summarize the team's findings with regard to network collaboration • Facilitate the Exit Meeting		
Addresses		

• Using the contact sheet prepared by the MTARS coordinator, confirm addresses for mailing the final report
• Get addresses for:
  o DD Council Chair
  o P&A Board
  o University administrator		

TAB K - PROGRAM TEAM LEAD CHECKLIST

State:	
Dates:	

SITE VISIT PREPARATION	TIMELINE
Recruiting MTARS Program Team members • Ask grantee for any particular needs or issues for which they want technical assistance and select appropriate team members • Keep in mind location, geographic size and allotment of state, etc. • Provide list of proposed Program Team members to Team Coordinator. Include name, role of member (e.g., peer, consumer) and accommodations needed • Once proposed Program Team members are approved, contact potential Program Team members to recruit them for the MTARS. In doing so, ensure availability, explain commitment necessary of team members, and get information on accommodations • Once confirmed send MTARS team coordinator list of team members. Include contact information and role of reviewer.	
Participate in initial conference call with grantees facilitated by the MTARS team coordinator • Answer any questions grantee may have about the checklists and documents required • Follow-up as needed with grantee to further discuss MTARS logistics and/or checklists	
Research and confirm accommodations for the site visit For MTARS where Program Teams stay in different locations, research hotel accommodations for your team • Contact grantee for hotel recommendations. Use the hotel amenities checklist (see Tab H of the MTARS notebook) • After receiving recommendations from the grantees, utilize the hotel amenities checklist to research hotels and determine if they meet ADD specifications and team needs: o consider whether meeting space is needed o ensure that accessible rooms are available and provide appropriate accommodations based on person's needs o Ensure that the hotel is able to offer the federal rate. *Note:* find out the federal rate for the area traveling to by going to http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0 o If federal rate cannot be secured, work with director to seek approval of using hotel at the non-federal rate	

Prepare for On-site Meeting Logistics • Determine site for interviews (hotel or grantee office) • coordinate with Team Coordinator or ADD Project Officer for the logistics contract if meetings will be held in hotel to ensure that expense is within MTARS budget	
MTARS Team Meeting logistics Check with Team Coordinator to determine • where the MTARS team meeting, public forum, and Exit Interview will be held • travel arrangements for Program Team members who will be on site for the meeting • Conference call/webinar information for team members participating remotely	
Checklist and documentation receipt • After initial conference call with grantees, ensure grantees have mailing addresses for Program Team members to send checklists and documentation. • Contact Program Team members to ensure all have received checklists and documentation	

Checklist and documentation review
• After receiving the checklists and documents, set aside at least three to five days to thoroughly read and review all materials.
• Take notes on items that you want to hear more about (note – these may be positive accomplishments or areas of concern)
• After checklist reviews, hold at least one meeting with Program Team members to discuss the review of the checklist. *Note:* this may be done after the entrance meeting videoconference
• Hold additional calls, as necessary with Program Team to discuss the review of the materials
• After discussion(s) with Program Team members, develop a document that summarizes the team's findings. Include:
  • Areas of strength/promising practices
  • Questions about issues that need to be further reviewed
  • Identify potential compliance issues
• Email program team members summary to ensure that all comments and questions have been captured
• Make changes to summary as needed
• Get available dates from Program Team members for conference call with grantee	

Conference call with grantee • Email final draft of summary of Program Team findings to the grantee. Include at least two possible dates for a conference call to discuss the summary. • Set up conference line for conference call once a date has been set • Use the conference call to discuss questions and get further information requested by review team. Ensure that: o Promising practices are recognized	

○ Potential compliance issues are discussed ○ Other issues/focus areas are discussed ○ Specific interviews for the site visit are discussed ○ The on-site schedule is discussed • Schedule follow-up conference calls with Program Team and/or Exec if necessary	
Confirm grantee response • Confirm grantees reply to questions and subsequent information is sent to/discussed with Program Team members, as needed • Hold additional conference calls with grantee and Program Team members as needed.	
Developing schedule for site visit Communicate with Executive Director to confirm the schedule site visit • Request that the Director develop a draft schedule. Refer to Tab N of the MTARS notebook for a sample schedule. • Ensure that the Director provides a copy of the draft schedule at least three weeks before the site visit. In reviewing the site visit schedule, ensure that the proposed agenda: ○ allows sufficient time for interviews ○ allows for travel time and is accommodating to review team ○ build s in meeting time for Program Team and for full MTARS team review of collaboration ○ addresses all the areas the review team identified in the summary • Ensure that the Director sends a final schedule at least two weeks before the site visit that includes the following: ○ Specific times and individuals to be interviewed ○ Interview sites • Email a copy of the final schedule to the MTARS team coordinator and to Program Team members	
Plan for the on-site travel logistics • Schedule personal travel, including rental car if needed, prior to MTARS onsite review and communicate it to MTARS team coordinator • Work with the grantee and Program Team members to determine logistics for on-site travel (e.g., traveling to interview locations) • Determine ground transportation from the airport to the hotel and get directions from the airport to the hotel and from the hotel to the interview sites, as needed • Keep current on travel regulations	
Prepare for on-site visit • Once the final schedule is received from the Director, have a conference call with Program Team members to discuss site visit schedule. On the call, ○ Review the site visit schedule ○ Assign Program Team members responsibilities for leading interviews	

o Discuss suggested interview questions (refer to manual and develop specific questions for each site based on checklists and issue areas) o Team meeting times o Designated note takers (utilize lap top to take notes – Program Team lead generally is note taker) o Reinforce the important role that team members play in conducting the review and writing the report o Discuss travel logistics o Decide whether team members will need to travel with their documents due to weight restrictions. o Include Logistics contractor (Wanda) on calls with the team to review final logistics • After conference call, develop detailed schedule to include: o Specific times and individuals to be interviewed o Interview sites o Program Team member responsible for interview o Designated note takers • Disseminate detailed schedule to Program Team members and Team Coordinator • Ensure that a set of documents are on-site for reference.	

SITE VISIT	TIMELINE
On-site Meeting Logistics • Meet with Program Team, as needed, the evening before the first day to review logistics • Determine how the Program Team will get to the site where interviews are taking place • Determine morning meeting times to ensure the team arrives on time • Get directions to the meeting locations, as needed • Determine if the Program Team will meet at night to discuss the site visit observations	
Exit Meeting • Meet with Program Team to discuss findings from the site visit and to discuss Exit Meeting logistics and the leads for presenting the findings*. Note:* ensure Program Team members each present part of the findings • Reinforce the important role that team members play in writing the report	

• Prepare notes that summarize the Program Team's findings based on the topic areas of the checklist • Makes copies of the Exit Meeting notes for Program Team members • Schedule pre-Exit meeting interview with Executive Director and Chair (as appropriate) to discuss findings • Present findings at Exit Meeting	

REPORT WRITING	TIMELINE
As much as possible, draft any parts of the report ahead of time	
Based on timeline provided by Team Coordinator: • Prepare draft report using own notes and notes from Program Team members • Send draft report to Program Team members for review • Edit draft report based on Program Team comments • Send draft report (with edits by Program Team Members) to Executive Director and Chair (in the case of the Council) for review • If necessary, discuss grantee comments with Program Team members • Edit draft report – include grantee comments if appropriate. *Note:* grantee comments should be used only if they are correcting data. Grantee comments should not be incorporated if they are changing the content or intent of the team's report. • Send draft report to Team Coordinator • Work with the Team Coordinator to make any final edits to the report.	

Tab L – Format of the Contact Sheet for MTARS Team Members

STATE		
COUNCIL	***P&A***	***UCEDD***
GRANTEE: Developmental Disabilities Council Street Address City, ST ZIP Phone: FAX: E-Mail: Web Page: Executive Director: Email: Chair: E-Mail:	***GRANTEE:*** Protection and Advocacy Street Address City, ST ZIP Phone: FAX: Web Page: Executive Director: E-Mail:	***GRANTEE:*** UCEDD Street Address City, ST ZIP Phone: FAX: Web Page: Executive Director: E-Mail:
ADD: ADD/ACF 370 L'Enfant Promenade SW Mail Stop: HHH 405D Washington, DC 20447 Phone: (202) Fax: (202) 205-8037 E-mail:	***ADD:*** ADD/ACF 370 L'Enfant Promenade SW Mail Stop: HHH 405D Washington, DC 20447 Phone: (202) Fax: (202) 205-8037 E-mail:	***ADD:*** ADD/ACF 370 L'Enfant Promenade SW Mail Stop: HHH 405D Washington, DC 20447 Phone: (202) Fax: (202) 205-8037 E-mail:
PEER Name Street Address City, ST ZIP Phone: Fax: E-mail:	***PEER:*** Name Street Address City, ST ZIP Phone: Fax: E-mail:	***PEER:*** Name Street Address City, ST ZIP Phone: Fax: E-mail:

PEER: Name Street Address City, ST ZIP Phone: Fax: E-mail:	***PEER:*** Name Street Address City, ST ZIP Phone: Fax: E-mail:	***PEER:*** Name Street Address City, ST ZIP Phone: Fax: E-mail:
OTHER MTARS TEAM MEMBERS		
FISCAL REVIEWER: Name Street Address City, ST ZIP Phone: Fax: E-mail:		

Tab M – Sample Joint Entrance Meeting Videoconference Agenda

8:30 a.m. – 9:00 a.m.	**Sign on to videoconference and check to make sure everyone is on-line**
9:00 a.m. – 9:30 a.m.	**Welcome and Opening Remarks** *MTARS Team Coordinator and DD Network Staff*
9:30 a.m. – 10:00 a.m.	**Introduction to the Network** *Director, UCEDD* *Executive Director, P&A* *Executive Director, DD Council*
10:00 a.m. – 10:20 a.m.	**State of the State** *DD Network Staff*
10:20 a.m. – 10:35 a.m.	**BREAK**
10:35 p.m. – 11:15 p.m.	**State of the State cont.** *DD Network Staff*
11:15 a.m. – 11:30 a.m.	**Q & A**
11:30 a.m. – 12:30 p.m	**LUNCH**
12:30 p.m. – 1:1 5 p.m.	**Network Collaborations** *DD Network Staff*
1:15 p.m. – 1:30 p.m.	**BREAK**
1:30 p.m. – 2:15 p.m.	**Network Collaborations cont.** *DD Network Staff*
2:15 p.m. – 2:30 p.m.	**Q & A**

Tab N – Sample Notice of Public Forum

Date and Time
Building and Room Number
Street, City, State

Representatives of the federal Administration on Developmental Disabilities will be visiting (insert State and date) to solicit comments from interested parties on:

Your experiences with the work, program, and strategies employed by the following organizations in meeting the needs of individuals with developmental disabilities and their families in INSERT NAME of STATE.

- State Developmental Disabilities Council
- State Protection & Advocacy for Individuals with Developmental Disabilities
- State University Center for Excellence in Developmental Disabilities

We encourage you to share your experiences in any way that you are comfortable:

IN PERSON	If you plan on attending and wish to speak, we encourage you to contact the (entity) by c.o.b. (date) so that we may place you on the schedule and provide any needed accommodations. **Accommodations will be provided if requested prior to (date).**

If you are unable to attend, you may submit your statement via the following methods, to arrive on or before, but no later than (date).

MAIL	(insert address)
TELEPHONE	Call (toll free number) (Voice/TDD) between (time), (date)
FAX	Forward your written comments to (phone number). Please note "public forum comments" on the subject line.
E-MAIL	Please e-mail your comments to (insert email address).
WEBSITE	A form for providing comments can be found on the following websites: http:_____

Tab 0 - Sample On-Site Meeting Schedule

MONDAY	
MORNING/AFTERNOON	**MTARS Team members travel to site** **If time allots, the MTARS Team will conduct initial meetings and/or interviews with grantees**
5:00 – 6:00 p.m.	**MTARS Team Meeting**

TUESDAY			
TIME	**DD COUNCIL**	**P&A**	**UCEDD**
9:00	Overview/orientation to Council	Overview/orientation to the Center	Overview/Orientation to UCEDD and Programmatic Activities
10:00	Interview with Executive Director	Interview with the Executive Director	Overview of Training Program and Interview with Trainees
11:00	Interview with Council Chair	Interview with Board Chair	
12:00	LUNCH	LUNCH	LUNCH
1:00	Interview with Council members: self-advocate members parent members state agency members	Interview with P&A Board	Community Services Overview
2:00		Case File Review	Visit Community Service Projects
3:00			
4:00 – 6:00	**4:00 – 6:00** **Public Forum on DD Network Programs, if not held before the site visit**		

WEDNESDAY			
TIME	**D COUNCIL**	**P&A**	**UCEDD**
9:00	Interview with Council staff	Management Interview	Research Overview
10:00	Interview with Council staff		
11:00	Grantee presentation	Interview with Legal Team	Information Dissemination Overview
12:00	LUNCH	LUNCH	LUNCH
1:00	Grantee presentation	Interview with DSA	Interview with Community Partners

2:00	Grantee presentation	Client Interviews	Evaluation and Reporting
3:00	Interview with designated state agency or Governor's liaison		Interview with University Leadership
4:00	Team meeting	Team Meeting	Team Meeting

THURSDAY

TIME	DD COUNCIL	P&A	UCEDD
9:00 10:00 11:00	Meeting with Executive Director and Chair to discuss preliminary findings. Provision of technical assistance	Meeting with Executive Director to discuss preliminary findings. Provision of technical assistance	Meeting with Executive Director to discuss preliminary findings. Provision of technical assistance
12:00	LUNCH	LUNCH	LUNCH
1:00 – 3:00	MTARS Team Meet to prepare for Exit Meeting (come up with summative comments, write notes, recommendations, etc.)	MTARS Team Meet to prepare for Exit Meeting (come up with summative comments, write notes, recommendations)	MTARS Team Meet to prepare for Exit Meeting (come up with summative comments, write notes, recommendations)
4:00	**4:00 – 4:30** **MTARS Team Meeting to discuss Network collaboration and prepare for Exit Meeting**		

FRIDAY

9:00 a.m. – 11:00 a.m.	**EXIT MEETING**

Tab P – Joint Exit Meeting Report Format

1. COLLABORATION	
Strengths	Areas for Improvement
Recommendations	Best practices

2. ORGANIZATIONAL ADMINISTRATION	
Strengths	Areas for Improvement
Recommendations	Best practices

3. MEMBERSHIP/CAC	
Strengths	Areas for Improvement
Recommendations	Best practices

4. PROGRAM ADMINISTRATION	
Strengths	Areas for Improvement
Recommendations	Best practices

5. EVALUATION AND REPORTS	
Strengths	Areas for Improvement
Recommendations	Best practices

6. FISCAL	
Strengths	Areas for Improvement
Recommendations	Best practices

7. DESIGNATED STATE AGENCY (For DD Councils only)	
Strengths	Areas for Improvement
Recommendations	Best practices

Tab Q – Public Forum Checklist

_____ Multiple sites have been identified

_____ Accessible meeting space has been secured at the various sites (visit the Access Board website for resources related to accessibility http://www.access-board.gov/adaag/checklist/a16.html)

_____ The requirements for the room set-up have been confirmed with the sites

Site room set up:

- Head table for the MTARS Team Members that is accessible (e.g., ramp for wheelchair)
- The building accessible
- The room is accessible

_____ At least one conference call line has been set up for the public forum

_____ A sign language interpreter has been scheduled

_____ A note taker has been identified

Name of note taker_____

_____ A back-up note taker has been identified

Name of back up note taker_____

_____ Three-minute timers have been identified at each site

Name of time keeper_____

Name of time keeper_____

Name of time keeper_____

Name of time keeper_____

_____ Public Forum notice has been approved by MTARS Team Coordinator

_____ Public Forum notice is available in English and Spanish

_____ Public Forum notice has been disseminated through multiple outlets

_____ Participants have signed up in advance to speak

Tab R – Interview Tips

The most important component of interviewing is developing a positive relationship with the speaker. This is accomplished by listening to what the speaker is saying.

Give the speaker your undivided attention:

☐ Maintain eye contact
☐ Keep a positive attitude
☐ Don't lean back in the chair
☐ Don't fidget
☐ Don't prop head up with hands
☐ Don't chew on a pencil or obviously chew gum
☐ Don't eat (if necessary, ask permission first)

Participate through non-verbal feedback:

☐ Nod the head
☐ Lean forward
☐ Make appropriate gestures
☐ Smile

Participate through verbal feedback:

☐ Use verbal affirmation (yes, I understand, really, wow)
☐ Ask questions that allow the speaker to elaborate
☐ Clarify what was heard (so what you are saying is…, I heard you say…)
☐ Summarize what was heard (so you feel that…)

Be professional:

☐ Tolerate bad habits or technique of the speaker
☐ Judge the message and content, not the personal traits of the speaker
☐ Avoid generalizations (watch your perspective!)
☐ Control your own emotions
☐ Be objective
☐ Be sensitive to differences
☐ Ask if the speaker is comfortable
☐ Hold off judgment of the message until all the information has been presented

In advance of the interviews, determine if any of the speakers require accommodations:

☐ If the speaker uses sign, make sure there is an interpreter
☐ If the person uses a chair, make sure there is room at the table
☐ If the person is visually challenged, make sure that any written materials you might be using are available in alternative format

☐ Allow the speaker to bring a companion
☐ Allow extra time for a speaker with a speech impairment so you aren't rushing them through their interview.

In advance of the interviews, determine if English is a second language and if an interpreter is required:

☐ Ask the interpreter for guidance in the cultural norms of the speaker related to interview techniques.
☐ Check with interpreter about understanding of key concepts that may not have direct translation such as advocacy

Explain the time frame at the beginning of the interview:

☐ Make sure the speaker knows that time is limited
☐ Provide the speaker at least five minutes notice before ending the interview. This will allow the speaker an opportunity to summarize their message or make what is left of their points

Ask open-ended questions:

☐ Don't be afraid of silence; allow the speaker to think or gather their thoughts. However, don't be afraid to prompt the speaker if they are having trouble.

The closing of the interview is as important as the opening. Interviews should not come to an abrupt end. Never give the impression that there is no further interest in the interviewee once you have what you want. Thank the person for their time and work. Do not stop listening until the person leaves, because sometimes a person will relax after the interview and may provide additional information.

Explain to the interviewee what they can expect to happen next in the review process. Tell the person how long it will take to hear from the Team regarding their findings, and how they can reach you if they wish to provide more information. In your notes, write down any promise you make to the person, and be sure to follow through on these commitments. Reliability will increase trust and the Review Team's credibility.

Sample Council Questions

Governance - reviewers should look for State Council independence in implementing its activities without DSA or other interference. The DSA should provide fiscal and other services and support.

Where is the State Council located organizationally in State government? (Request an organizational chart and copies of legislation or executive order establishing the State Council.)

Is the State Council located at a level that enables it to work effectively with other agencies of the State government?

What agency is the DSA? What officials(s) of the DSA have responsibilities related to the State Council?

Describe any other roles or responsibilities that the DSA might have with respect to the State Council.

Is there a memorandum of understanding outlining the roles and responsibilities of the DSA? Please obtain a copy if it exists.

Describe the State Council's organizational structure. Include information on any committees.

How frequently does the State Council review the DSA with respect to the Council and DSA activities?

Have recommendations for change been made to the Governor? If so, explain.

State Council membership and activities — 60% or more of the State Council membership should be representatives of individuals with developmental disabilities; the remainder should be representative of agencies and organizations. Reviewers should look for evidence of timely appointment, rotation of members, application of the Federal definition of developmental disabilities, and good relationships among and between Council members and staff.

How many members serve on the State Council?

Are at least 60% of the State Council individuals who have developmental disabilities, parents or guardians of children with developmental disabilities?

Based on the Council's composition, does the membership reflect the State's cultural, ethnic and racial diversity?

Do consumer members of the State Council meet the Federal definition of developmental disabilities?

How many members represent agencies and organizations? What are those agencies and organizations?

Describe the Governor's appointment process?

Are there any long-standing vacancies that have not been filled?

What is the process for assuring rotation?

What role does the State Council play with regard to membership appointments?

Do you have any concerns regarding the appointment process?

Does the State Council have a clear Conflict of Interest Policy?

How are members with developmental disabilities involved in State Council activities?

Discuss how other members (parents, agency reps, volunteers, etc.) are involved in State Council activities.

What is the role of the P&A and University Centers on the State Council?

Does the State Council have an executive committee? Are the members selected or appointed to this committee? Who are the members of the Executive Committee and what is its function?

Does the State Council operate through a system of committees? If yes, describe. If no, explain.
Are there any operating policies and procedures for the committees of the Council? Do they address the following (obtain a copy):

Frequency of meetings
Responsibilities of the committees
Reimbursement of committee members
Selection, term limits and rotation requirements for committee members
Selection process for committee chairs
Staff support for the committees

Relationship to the Executive Committee of the State Council

How frequently does the full State Council meet?

The following are questions specific to State Council members — reviewers should look for knowledgeable members who are active and committed to the efforts of the State Council.

How did you learn about the Council and become a member of the Council? How long have you been a member? (Determine the date of appointment, reappointment, and end of term.)

What information about the Council or developmental disabilities did you receive when you joined the State Council?

What is your role on the State Council? Have you been, or are you currently, a committee member? Are you on the Executive Committee? Do you have other responsibilities?

What is your primary responsibility as a State Council member?

What does the Executive Committee do? If you are not on the Executive Committee, how are you informed about what they do?

How are you involved in the State Council planning process? The budget process? Grants and contracts?

How do State Council staff keep you and other members informed of trends, best practices, emerging issues, and important events?

How does the State Council deal with conflicts of interest?
What State Council activities are you most proud of (greatest achievement, most important activity, etc.)?

What, if any, are the State Council's most significant weaknesses? How are they being addressed?

Council responsibilities — reviewers should look for State Council involvement in these and similar activities: outreach; training; community support; interagency collaboration and coordination; coordination with related councils, committees, and programs; barrier elimination and systems design and citizen participation; public education and coalition development; informing policymakers; prevention; and other systemic change- capacity building, and advocacy activities designed to expand and enhance the independence, productivity, and integration and inclusion of individuals with developmental disabilities throughout the State .

What is the philosophy of the State Council? Has a mission or vision statement been developed? (If so, request a copy.)

What is the State Council's purpose and role in the State?

Describe the State Council's planning process, including examination of priority areas, needs assessment, and State Plan development.

What are the State Council's current priorities?

How do you determine what should be included in the State Plan?

How does the State Plan address the planning, design or monitoring of the quality of services the State provides individuals with developmental disabilities?

Describe some of the systemic change, advocacy, and capacity building activities currently underway or planned this year.

How often does the State Council monitor the State Plan? Describe the process.

Describe the way(s) in which the State Council implements the State Plan. What percentage is through direct staff activities? State Council funded projects? Other mechanisms?

How do you know if the State Plan is effective? How do you measure its outcomes?

Is the State Plan effective in responding to the needs and concerns of individuals with developmental disabilities and their families?

What is the State Council's process for developing its annual budget? Is this done in conjunction with the State Plan development?

Does the State Council collaborate and coordinate with the P&A and University Centers? Describe.

What mechanism does the State Council use to obtain public input/comment on the State Plan?

Council Staff - reviewers should look for staff knowledge and experience; relationships with State Council members and other staff; workload and source of assignments; supervisory lines and whether or not there is any confusion about who is making assignments; hiring and firing procedures, etc.

Does the Council have an up-to-date organizational chart that depicts clear lines of responsibilities and decision making? Please provide.

Is professional staff qualified according to accepted standards of their respective professions?

Does the staff reflect the State's ethnic and racial diversity? Explain.

Does the agency have clear job descriptions for each position in the agency, outlining qualifications, responsibilities, accountability and conditions for employment?

Do all employees have annual performance reviews that include: performance standards, periodic rating, and bases for any pay increases including merit and career development?

Does the agency have a written disciplinary process that includes procedures to be followed and documentation protocol?

How are staff assignments made?

Who supervises the Executive Director? What role, if any, does the Chairperson play in this process? The DSA?

What is the process for hiring staff? What role does the DSA have in hiring or other personnel matters?

Describe the relationship between State Council and staff.

Describe impediments to State Council activity when there are State financial crises or cutbacks (e.g., hiring freezes, training or travel limitations, restrictions on obtaining and maintaining equipment, materials, supplies, or services.)

Does the State Council have any personnel problems that should be addressed?

Designated State Agency - reviewers should focus on the DSA's designated status; its roles, relationship and responsibilities, and services and supports provided to assist the state Council in carrying out its mission.

What authority (e.g., Governor's executive order, State legislation, etc.) establishes the current State agency designation? On what date? Request a copy.

What type of agency is the DSA? Does the DSA provide services to individuals with developmental disabilities?

Describe the State Council's periodic review of the current designation.

Has the State Council considered, recommended or requested that the Governor change the current State agency designation? If so, why? What was the response from the Governor?

What is the relationship between the State Council and the DSA? (If the State Council is not its own administering agency.)

What is the role of the DSA in relationship to the State Council?

Describe the support services the DSA provides the State Council. Do you provide fiscal services or support? Does the State Council have immediate access to its records and financial reports? What assistance do you provide the State Council with assurances, etc.?

Is there a Memorandum of Understanding or other formal agreement describing DSA's services and support to the State Council? Request a copy.

How does the DSA interact with the State Council with regard to the State Plan? Provide examples of how the DSA assists the State Council in carrying out its mission and implementation of the State Plan and budget.

What is the DSA's relationship to the Executive Director and staff? Does the DSA have any role in addressing personnel issues? Are there any personnel issues?

What role does the DSA have in hiring or firing the Executive Director?

What role does the DSA take with regard to the State Council's Request for Proposal (RFP) and grants and contracts award process?

State Council grants and contracts - reviewers should evaluate the State Council's process for monitoring projects it funds. This may happen through reviewing project documentation or interviewing project staff. The review team may interview project personnel and, if appropriate, beneficiaries of project activities. If an on-site visit is made to a project then a Review Team members must examine project records such as personnel records and policies, fiscal records, and data collection procedures. Sample interview questions include:

What is the purpose of the project? What are its goals and projected impact?

How did your agency determine the need for such a project/service?

How did you learn of possible funding from the State Council?

What was the application process? (Request a description or copy of the RFP.)

Describe your budget and program planning process for this project.

How many clients are you serving? How are they referred to your agency?

How do you plan to sustain this project after State Council funds are ended?

What kind of reports are you required to submit to the State Council?

Are you having any problems in implementing this project? Is the State Council aware of these issues? What kind of support do they offer you?

Does the State Council handle your requests for payment in a timely manner? What is the process?

Sample Protection and Advocacy System Questions

Authority and Independence — reviewers should look for P&A independence in pursuing legal and other appropriate measures on behalf of clients with developmental disabilities without State or other interference.

Is the P&A independent of State government in its action and authority? Request examples.

If the P&A is housed in state government, where is it located in the administrative structure of the State?

What procedures and mechanisms are used to preserve the P&A system's independent authority?

How can the P&A strengthen its independence?

Describe impediments to possible P&A actions against other government agencies.

If the P&A is housed in state government, describe impediments to P&A activity when there is a State financial crisis or cutbacks (e.g., hiring freezes, training limitations, restrictions on obtaining and maintaining equipment, materials and supplies and services.)

What is the relationship of the P&A to the Office of the Governor? Please describe.

How does the P&A exercise its independent authority to pursue legal remedies either for individuals or through class action litigation? Please describe.

Does the system have the ability to investigate incidents of abuse and neglect of individuals with developmental disabilities?

What is the current caseload using litigation as a strategy?

Have P&A legal activities and advocacy placed the P&A's independent authority in any jeopardy or caused any problems?

What is the current caseload that uses administrative remedies as a strategy?

What other appropriate remedies are frequently used by the P&A?

Describe any formal or informal links to service providing agencies on the P&A governing authority.

Has the P&A experienced any barriers to accessing clients, facilities or records?

Does the P&A have a grievance procedure in place for clients or prospective clients?

Governance/Board membership and participation — reviewers should look for membership with a shared commitment to the protection of the rights of all people eligible for the program.

If the P&A is a non-profit, answer the following questions:

Does the Board of Directors have policies and procedures for its operation?
- Is there a conflict of interest policy?
- Are there term limits and rotation?
- Is there a written reimbursement policy for Board members?
- Is there a process for removing individuals from the Board?
- Is there a formal recruitment and replacement of members that requires approval by the full Board?
- Are there specific standards of conduct for Board members?

Does the membership of the Board reflect its constituents?
- Does the Board have a majority of persons with disabilities or their family members? How many are persons with developmental disabilities?
- Does the Board have racial/ethnic diversity?
- Does the Board have geographic distribution?

Does the Board of Directors have regular meetings?
- Are the minutes of the meeting distributed in a timely manner?
- Are all decisions (motions) recorded with a second and a record of the vote?
- Are accommodations made for members with differing abilities?

Is the Board appropriately trained?
- Does the Board allocate resources related to orientation new members?
- Does it allocate resources for ongoing training of all members?
- Is there a mentor program for training new leaders within the Board?

Is the Board fulfilling their fiduciary responsibilities?
- Is the Board aware of the federal requirements for each of the mandated P&A programs?
- Does the Board review financial statements on a regular basis?
- Does the Board look at the priorities of the agency in conjunction with approving the budget?
- Does the Board conduct any fund raising activities to fund activities beyond the ability of the federal grants?

Is the Board taking responsibilities for planning?
- How does the Board establish priorities for the agency?
- Does it establish case selection criteria in conjunction with the priorities?

Does the Board understand the difference between management and governance?

Is there clear separation between (the lines of authority) Board and the executive director?

Does the Board involve itself unnecessarily in day-to-day operations?

Does the Board evaluate the executive director on an annual basis?

Are there appropriate mechanisms for communication with non-management staff, such as employee grievance procedures?

Other sample questions for interviewing individuals on the Governing Board to the Governance function

Do Board members have to disclose potential conflicts? How does this happen?

How long have you been on the Board and when does your term expire?

How do you recruit new Board members?

What happens if a Board member does not come to meetings or is disruptive?

Do you have guidelines for how a meeting should run?

Do you think the Board reflects the diversity of the agency's client base?

When you do get the minutes of previous Board meeting? Do you get minutes of Board committees?

Do you think the Board does a good job accommodating members with differing abilities?

When you were a new member did you get oriented to the Board?

What kinds of training do Board members get related to their job on the Board?

How are new leaders identified on the Board?

Do you think that you have a good understanding of the federal mandates?

How often do you get financial statements?

How do you approve the budget? What information do you get when it is time to make that decision?

Does the Board do any fundraising? What for?

How did you decide what the priorities should be for this year?

How does the staff know which cases to take? Who makes that decision?

Which staff do you relate most to? How often do you talk with other staff?

How often does the Board evaluate the executive director?

Who writes the job descriptions for staff?

If the P&A is located in State Government, ask the following questions:

Does the Advisory Council (AC) have policies and procedures for its operation?

Is there a conflict of interest policy?

Are there term limits and rotation?

Is there a written reimbursement policy for AC members?

Is there a process for removing individuals from the AC?

Is there a formal process for recruitment and replacement of members that requires approval by full AC?

Are there specific standards for conduct of AC members?

Does the membership of the AC reflect its constituents?
Does the AC have racial/ethnic diversity?
Does the AC have disability diversity?
Does the AC have geographic distribution?

Does the Advisory Council have regular meetings?
Are the minutes of the meeting distributed in a timely manner?
Are all decisions (motions) recorded with a second and a record of the vote?
Are accommodations made for members with differing abilities?

Is the AC appropriately trained?
Does the AC allocate resources for orientation of new members?
Does it allocate resources for ongoing training of all members?
Is there a mentor program for training new leaders within the AC?

Is the AC taking responsibilities for planning?
How does the AC establish priorities for the agency?
Does it establish case selection criteria in conjunction with the priorities?

Other sample questions for interviewing individuals related to the Advisory function:

Do AC members have to disclose potential conflicts? How does this happen?
How long have you been on the AC and when does your term expire?
How do you recruit new AC members?
What happens if an AC member does not come to meetings or is disruptive?
Do you have guidelines for how a meeting should run?
Do you think the AC reflects the diversity of the agency's client base?
When you do receive the minutes of previous AC meeting? Do you receive minutes of AC committee meetings?
Do you think the AC does a good job accommodating members with differing abilities?
When you were a new member, did you get oriented to the AC?
What kind of training is provided for AC members related to their job on the AC?
How are new leaders identified on the AC?
Do you think that you have a good understanding of the federal mandates?
How often do you get financial statements?
How did you decide what the priorities should be for this year?
How does the staff know what cases to take? Who makes that decision?
Which staff do you relate most to? How often do you talk with other staff?

Staff — reviewers should look at the recruitment, employment, assignment and promotion of program staff without regard to race, gender, religion, age, disability, sexual preference or any legally impermissible criteria.

Does the agency have an up-to-date organizational chart that depicts clear lines of responsibilities and decision making? Please provide.

Are professional staff members qualified according to accepted standards of their respective professions?

How many attorneys does the P&A employ? Is this sufficient to cover the demands for legal work?

Does the agency have clear job descriptions for each position in the agency, outlining qualifications, responsibilities, accountability and conditions for employment?

Do all employees have annual performance reviews that include performance standards, periodic rating, and the bases for any pay increases, including merit and career development?

Does the agency have a written disciplinary process that includes procedures to be followed and documentation protocol?

Does the agency have adequate malpractice insurance coverage to protect its personnel?

If the agency uses volunteers, are there policies and procedures that include screening, supervision, training, instruction and performance expectations?

How does the agency work with other organizations in order to ensure that referrals are made where necessary or appropriate?

As a staff member, do you have any difficulty in meeting your assigned responsibilities? Describe.

How does the P&A recruit individuals with disabilities and other protected classes to work at the P&A?

Does the P&A staff reflect the State's ethnic and racial diversity? Explain.

Collaboration — reviewers should determine the extent to which the P&A is collaborating with other organizations including the State Council.

Describe the relationship between the P&A and the State Council.

Do the State Council and the P&A have mutual Board members? Are they voting members?

Do Council members serve as advisors to the P&A system?

How do the Council and the P&A share planning information?

Are there any joint projects between the Council and P&A or the P&A and the University Center?

Does the P&A have collaborative relationships with other organizations?

Does the P&A have a relationship with other advocacy agencies in solving problems on behalf of individuals? Please explain.

Priority Setting — reviewers should look for priorities that are consistent with the mission statement and goals established by the program.

How are the priorities (goals and objectives) of the agency established?

How does the P&A obtain input from the public?

When is the input obtained?

Who participates in this process? What is the role of the Board or AC?

Does the P&A use data from the State Council or University Center in setting its priorities?

What kind of cases has the P&A been primarily involved with over the last three years?

Give approximate percentages for the following:

Quality Assurance (including abuse & neglect in both institutions and community-based programs)
Education and early intervention
Child Care
Health care
Employment
Housing
Transportation
Recreation

What type of strategies does the P&A routinely use to resolve its cases? Please give percentages for legal remedies, administrative remedies, other.

Program evaluation and monitoring — reviewers should look at whether the program has developed and implemented outcome measures and procedures for evaluating the impact of its advocacy activities.

Does the agency have a data collection mechanism as part of their program evaluation mechanism?

Describe how staff time is utilized. What is the percentage of time spent on the following activities (approximately)?

Individual case work
System change activities (including class action)
Administration (priority setting, planning and evaluation, etc.)
Information and referral
Educating policymakers
Public awareness and outreach

Does the agency have a system of information collection and utilization that is timely, relevant to the agency and communicated to the appropriate personnel?

Describe the process related to the preparation of the program performance report.

Does the agency have clear procedures to determine the short and long term requirements and expectations of its clients?

Has the agency conducted any formal evaluation of its activities (such as a peer review)?

Are the agency's services accessible to the client population to whom they are directed? What kinds of outreach activities are conducted?

Does the agency include clients in policy and decision making process by including clients as Board or advisory council members?

Does the agency clearly identify the communities and/or target populations that are under served?

Does the agency seek regular feedback from its consumers regarding its performance and future activities?

Does the agency have a customer satisfaction survey? How is this information used?

Does the agency evaluate all customer grievances?

Sample UCEDD Questions

I. Collaboration

1. What is the relationship of the UCEDD to the DD Planning Council and the P&A
2. In what ways does the UCEDD contribute to the collaborative activities of the DD Network?
3. What special skills/expertise does the UCEDD bring to the collaboration?
4. What are some of barriers to collaboration?
5. What is working well?
6. What is the relationship of the UCEDD to State agencies?
7. How is the UCEDD connected to provider agencies and consumer organizations?
8. What community agencies does the UCEDD collaborate with?
9. What has been the impact of the community collaborations?
10. How has the UCEDD been able to develop community collaborations?
11. How has the UCEDD been able to maintain collaborative relationships with community organizations?

II. Organizational Administration

Questions for University Leadership and/or UCEDD Director regarding the relationship with the University:

1. How often does the UCEDD director meet with University leadership personnel?
2. What kind of support does the University provide to the UCEDD?
3. To what extent do the University leadership personnel understand what a UCEDD is?
4. How does the UCEDD report on their activities to the University?
5. Where is it located organizationally within the university?
6. Whose personnel policies are used?

Questions for UCEDD Director and/or UCEDD staff regarding the mission of the UCEDD:

1. Does the UCEDD have a written mission statement?
2. To what extent are consumers involved in the development, review, and revision of the mission statement?
3. Does the UCEDD mission reflect a lifespan approach?
4. Does the UCEDD mission reflect a commitment to culturally competent attitudes and practices?

Questions for UCEDD Director and/or UCEDD staff regarding the staff of the UCEDD:

1. What is the line staff organization of the UCEDD?
2. Does the UCEDD have sufficient person power to carry out its responsibilities?
3. What are percentages of time assigned to areas of responsibility?
4. Are UCEDD faculty officially connected to academic departments?
5. Who influences rank and tenure issues?
6. Does the UCEDD staff have experience in their core function area (e.g., training, community service, research, information dissemination)?

7. Does the UCEDD director provide the necessary support and oversight to staff and faculty?
8. Do UCEDD staff and faculty understand the structure of the UCEDD program and its core functions?
9. Do the staff and faculty have experience and expertise in working with people with developmental disabilities and their families?
10. How is performance determined and evaluated?
11. To what extent does the UCEDD staff demonstrate sensitivity to the dignity of consumers in its language, behavior, and written materials?

Questions for UCEDD Director and/or UCEDD staff regarding UCEDD responsiveness to stakeholders:

1. Are funds available for special accommodations such as real-time transcription, personal assistants, child care, transportation, stipends?
2. Is someone assigned to promote consumer responsiveness with the UCEDD and its various projects?
3. How does the UCEDD assure that materials are available in accessible formats?
4. Are the UCEDD's physical facility and community program initiatives fully accessible to individuals with disabilities?

III. Consumer Advisory Committee

1. How is the Consumer Advisory Committee (CAC) organized and used?
2. Do they have sufficient representation of individuals with developmental disabilities and families?
3. What kinds of supports does the UCEDD offer to the CAC?
4. How is input solicited from the CAC?
5. How is the CAC involved in setting priorities of the UCEDD?
6. Are there role descriptions for members specifying expectations?

IV. Program Administration

Questions to ask regarding the Interdisciplinary Preservice Training program:

1. What are the disciplines of the UCEDD trainees?
2. Describe the UCEDD training curriculum and interdisciplinary training experiences. Are there certified practica and/or field placement opportunities?
3. How are trainees supported financially?
4. How does the UCEDD monitor student progress?
5. In what types of settings does interdisciplinary training take place?
7. Who has primary responsibility for the training program?
8. To what degree do trainees participate in problem identification, problem solving, group decision-making, and clinical practices?
9. Does the UCEDD have a core curriculum with optional activities?
10. Does the UCEDD demonstrate a commitment to culturally competent services?
11. What are the methods of measuring trainees' skills and knowledge?

Questions to ask regarding the Community Services:

1. Is there a written community services plan?
2. How is community services evaluated for effectiveness?
3. What is the balance between campus-based and community-based activities?
4. Does the UCEDD deliver any direct services? If so, what are they and where and how are they delivered?
5. What role do UCEDD trainees play in community services and projects?
7. Are activities at times and in places that are convenient and accessible?
8. Does the UCEDD address lifespan issues in its community services and projects?
9. Are services delivered in a culturally competent manner?
10. Is there a written technical assistance plan?
11. Are there formal memoranda of agreement with other entities for technical assistance? If so, do they include financial arrangements or fee schedules?
12. Is there a primary person assigned to oversee the technical assistance?
13. Is the technical assistance delivered in a culturally competent manner?
15. Do technical assistance activities address lifespan issues?

Questions to ask regarding the research activities:

1. Are UCEDD faculty given specific responsibilities to develop and conduct research?
2. Is the research designed in manner that will yield reliable and valid results?
3. Does the focus of the research address an identified need?
4. Will the research provide meaningful results?
5. Does the research have standard protocols that are developed and followed?
6. How is research information disseminated?
7. Is the research developed and conducted in a culturally competent manner?

Questions to ask regarding the dissemination activities:

1. Does the UCEDD have a well-developed and well-written plan for the dissemination of information?
2. Who has the primary responsibility for dissemination activities?
3. How do recipients and users of products evaluate the UCEDD's effectiveness in dissemination of information?
4. Does the UCEDD generate income through its dissemination efforts?
5. Does the UCEDD use other information-generating resources at the university or in the UCEDD network?
7. Does the UCEDD use individuals with developmental disabilities and their families to develop and evaluate dissemination materials?
8. Are materials prepared and disseminated in a culturally competent manner?

V. Evaluation and Reporting

1. Does the UCEDD use follow-up data to determine the effectiveness of its training?
2. Are client outcome measures used to determine effectiveness? If so, what are they?
3. How are the technical assistance activities evaluated?
4. How does the UCEDD monitor and evaluate its dissemination activities?

5. Does the UCEDD have a data management system for recording and maintaining data that will be submitted for the Annual Report?
6. Is there a data manager? If yes, what kind of training and/or supports does the data manager receive from the UCEDD?

VI. Fiscal

1. What are sources of UCEDD funding?
2. What is the ratio of university to State to Federal funding?
3. Describe in-kind contributions, university line items, space, maintenance and operation support to the UCEDD from the university.
4. How are grants and contracts managed fiscally?
5. How are resources allocated?

For all sections, reviewers document overall impressions, strengths, and opportunities for future development. These are presented and discussed in the exit interview.

Tab S – Note-Taking Tips

The following are tips to keep in mind when interviewing staff, listening to presentations, performing document reviews, conducting on-site team meetings, preparing for exit meetings and when recording highlights to assist with the MTARS report writing.

Keep the following in mind:

- Notes should be prepared when memories are fresh
- Information should be short and sweet (perhaps using a bullet format), but use as much space as needed to provide background information and the facts
- Summarize facts, separate the good from the bad,
- Note what really knocked your socks off,
- Note, how many goals, described by area of emphasis and type, that were reviewed. Where do things stand on the goals reviewed (on target, brand new, off track)? Did the grantee have information that can be used in the report to Congress?
- What technical assistance needs were raised, emerged or were addressed?
- What best practices were brought to your attention? Do we need more details before they can be disseminated?
- What if anything is the grantee going to do or send us that will help us in writing the report?
- What follow-up did grantee promise?
- What did we promise to do before we issue the report?

Organize the information using the following outline of key facts (or using the suggested report outline):

I. Significant Highlights
II. Findings on Collaboration
III. Findings on Compliance and Organizational Structure
IV. Findings on Accountability and Progress on Goals and Outcomes
V. Technical Assistance Needs
VI. Best Practices
VII. Follow-up by Grantee Expected before the Report is Issued
VIII. Follow-up by ADD Expected Before the Report is Issued

Notes should focus on getting answers to gaps and questions on the checklists and other monitoring tools in Exhibits E-J, on areas of strength and weakness and the impact of grantee's efforts on individuals with developmental disabilities. The checklists and monitoring tools at Exhibits E-J are designed for note-taking. If there is no checklist or monitoring tool designed for a specific meeting, interview or document review, reviewers can use the optional note-taking form at Exhibit D.6. When reviewing case records, reviewers may want to use the client record review checklist at Exhibit D.7.

Tab T – Format for MTARS Report

TABLE OF CONTENTS
State MTARS Team Members
Executive Summary

Part I: Purpose And Scope of the Review

A. Developmental Disabilities Assistance and Bill of Rights Act of 2000
B. Overview of MTARS
C. MTARS Visit to (insert State)
1. Demographics
2. Institutional Population
3. State Service Delivery System

D. Overview of Site Visit
1. Conduct of the Site Visit
2. Public Input

Part II: (Insert State) Developmental Disabilities Network

A. Overview of Grantee Projects
B. State DD Network Collaboration

Part III: Individual Grantee Findings & Recommendations

A. (Insert Name of State Council)
1. Organizational Administration
2. Council Membership
3. Program Administration
4. Interagency Collaboration
5. Designated State Agency
6. Evaluation and Reports
7. Compliance
8. Recommendations
9. Innovative Approaches
10. Fiscal Review and Findings

B. (Insert Name of State Protection and Advocacy Agency)
1. Organizational Administration
2. Board and Advisory Council Membership
3. Program Administration
4. Designated State Agency
5. Evaluation and Reports
6. Summary of Public Input
7. Compliance
8. Recommendations
9. Innovative Approaches
10. Fiscal Review and Findings

C. (Insert Name of State UCEDD)

1. Organizational Administration
2. Consumer Advisory Committee
3. Program Administration
4. Community Collaboration
5. Evaluation and Reports
6. Summary of Public Forum
7. Compliance
8. Recommendations
9. Innovative Practices
10. Fiscal Review and Findings

Tab U – Sample Cover Letter for the MTARS Report

February 6, 2007

Alan Kerzin
Executive Director
California State Council on Developmental Disabilities
1507 21st Street
Suite 210
Sacramento, CA 95814

Catherine Blakemore
Executive Director
Protection and Advocacy Inc.
100 Howe Ave, Suite N
Sacramento, CA 95825

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Andrew Russell, M.D.
Co-Directors
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300 UCLA Medical Plaza
Suite 3302
Los Angeles, CA 90095

Robert A. Jacobs, M.D.
Director
Children's Hospital Los Angeles UCEDD
5000 Sunset Blvd, 7th Fl
Los Angeles, CA 90054-0070

Dear Colleagues:

We are pleased to provide you with the enclosed Monitoring and Technical Assistance Review System (MTARS) Report conducted for the California Developmental Disabilities Network on May 22 – 26, 2006. We appreciated your cooperation with all aspects of the review.

The report outlines the approaches and contributions of the Protection and Advocacy Inc. (PAI), the Tarjan Center – a University Center of Excellence in Developmental Disabilities and the Children's Hospital Los Angeles - a University Center for Excellence in Developmental Disabilities. These programs support and promote self-determination, independence, productivity, integration, and inclusion of persons with developmental disabilities in all facets of community life through culturally competent programs authorized under the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (DD Act, PL 106-402). As a result of complex findings during the review of the California Council on Developmental Disabilities, there is a delay in the release of approaches and contributions of that DD Network partner. You will be given a copy of the full report upon its release. The three main parts of the report are:

I. Purpose and Scope

II. California Developmental Disabilities Network Findings and Recommendations

III. Individual Grantee Findings and Recommendations

Given the strong foundation of collaboration, the MTARS team recommends that the state DD Network enhance their current level of collaboration to become more visible to external entities. Please refer to the report for specific strategies.

As a result of the review, the Administration on De velopmental Disabilities (ADD) found issues regarding compliance with the DD Act. Within sixty (60) days of receipt of this letter, please prepare a corrective action plan addressing how the issues will be addressed. The plan should include specific actions and projected dates for com pletion. In add ition, p lease provide a respons e within 60 days to the other o bservations and recommendations contained in the report. Please send the corrective action plan plan and comments to:

Patricia A. Morrissey, Ph.D.
Comm issioner
Administration on Developmental Disabilities
370 L 'Enfant Plaza Promenade, SW
Mail Stop: HHH-405D
Washington, DC 20447

If you have any questions or need additional information, please contact Jennifer Johnson at 202-690-5982.

Again, we appreciate your cooperation with the review process and look forward to working with you on behalf of individuals with developmental disabilities in the state of California.

Sincerely,

Patricia A. Morrissey, Ph.D.
Adm inistration on Developmental Disabilities

Enclosure: MTARS Report

cc: MTARS Team Members